

**CRITICAL ECOSYSTEM PARTNERSHIP FUND**

**MID-TERM REVIEW**

**PREPARED FOR THE  
CRITICAL ECOSYSTEM PARTNERSHIP FUND  
AS REQUIRED BY THE WORLD BANK**

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**June 18, 2003**

**MID-TERM REVIEW****FINAL REPORT****June 18, 2003**

<b>SUMMARY</b>	<b>3</b>
<b>OVERVIEW OF THE CEPF</b>	<b>5</b>
<b>FRAMEWORK FOR THE REVIEW</b>	<b>7</b>
<b>MANAGEMENT AND OVERSIGHT</b>	<b>9</b>
<b>THE STRATEGIC FOCUS</b>	<b>12</b>
<b>CEPF GRANT-MAKING: PORTFOLIO AND PROCESS</b>	<b>16</b>
<b>MONITORING AND EVALUATION</b>	<b>25</b>
<b>PUBLIC INFORMATION AND OUTREACH</b>	<b>26</b>
<b>CONCLUSIONS AND RECOMMENDATIONS</b>	<b>26</b>
<b>APPENDIX 1. QUARTERLY FUND REPORT</b>	<b>31</b>
<b>APPENDIX 2. APPROVED GRANTS</b>	<b>36</b>
<b>APPENDIX 3: CONSULTANT CURRICULUM VITAE</b>	<b>74</b>

\* This document has been expanded since it was discussed at the Fifth Meeting of the Donor Council in July 2003. It now includes the CEPF Management Team Response at the end of the document. The management team prepared the response for discussion at the Sixth Meeting of the Donor Council in March 2004.

## **SUMMARY**

### **Critical Ecosystem Partnership Fund**

The Critical Ecosystem Partnership Fund (CEPF) is designed to advance the cause of conservation in the richest centers of biodiversity on earth by providing strategic assistance to civil society and private sector organization engaged in protecting and managing these critical hotspots. The Fund was conceived as a model to demonstrate the effectiveness of mobilizing innovative alliances among non-governmental organizations to achieve conservation objectives.

At present, the Fund's partners are the World Bank the Global Environment Facility (GEF), the Government of Japan, the MacArthur Foundation and Conservation International. Each partner has committed \$25 million over five years to the CEPF bring its current level of funding to \$125,000,000. The Fund has a stated goal of \$150,000,000 and is actively seeking new partners. As each partner's commitment to the Fund is for five years, the overall life of the Fund will depend upon the date of the last partner's commitment to it. Since the CEPF began operations in January 2001, it has disbursed over \$26.4 million for 162 projects in 11 critical eco-regions of Asia, Africa and Latin America.

### **Purpose and Scope**

This Mid-Term Review is designed to assess the performance of the Critical Ecosystem Partnership Fund (CEPF) during the period from January 2001 to May 2003. The Review is required by the World Bank under the terms of its five-year commitment to the Fund and will inform the Bank's Development Grant Facility (DGF), which authorizes additional disbursements to the Fund. The review seeks to evaluate how effectively the CEPF has met the objectives set forth in the Memorandum of Understanding signed by the World Bank, the GEF, and Conservation International when the partnership was established. While the review's most immediate aim is to provide a progress report to the DGF to inform its deliberations, it is also intended to help define the focus of a number of complementary field evaluations of CEPF programs that will be undertaken in the near future.

The review examines whether the model for the Critical Ecosystem Partnership is working as expected. It explores a number of questions about its principal aims, organization and management, including the effectiveness of its strategic focus and its experience with grant-making and management; its experience to date with monitoring

and evaluation and public information and outreach; and the effectiveness of the oversight functions performed by the partners to the Fund. Following a brief overview of the CEPF, as it now stands, the report will examine these functions in order to suggest what issues CEPF management needs to address to improve the program in the future.

It is important to note that the scope of this review is limited to what could be obtained through a desk study of CEPF documents and interviews with members of the CEPF and CI staff, interested parties at the World Bank and the Global Environment Facility, and members of the CEPF Working Group, and some outside NGOs, such as the World Wildlife Fund. While this exercise has been sufficient for a general assessment of the management and operation of the partnership, it does not allow for substantive analysis of the experience and effectiveness of CEPF's work on the ground in the "hotspots" it targets around the world. It goes without saying that additional valuable lessons will be derived from CEPF's work in the field.

### **Overall Assessment**

An overall assessment of whether the Critical Ecosystem Partnership Fund is meeting its stated goals concludes that the CEPF has gotten off to a very satisfactory start in the past two and a half years. Under the guidance of the Donor Council, the Fund is demonstrating a new model for mobilizing strategic assistance to civil society and non-governmental organizations to work on coordinated strategies for protecting and managing endangered ecosystems of exceptional biodiversity. Its strategic focus and support for non-governmental initiatives is addressing a genuine need in developing countries, and the CEPF Management Team has shown that it can respond quickly and effectively to that need. In a relatively short time for a program of this magnitude, the CEPF Management Team has built a strong and competent staff, developed effective systems for grant-making and has steadily expanded the coverage of the Fund and its level of funding. In addition the Fund now has an effective system in place for monitoring and evaluating its activities, which should allow it to draw valuable lessons from its experience and improve its operations in the future.

The CEPF is now beginning to take stock of its experience to date, and this Mid-Term Review has identified a number of issues that should be addressed by the Donor Council and the CEPF Management Team. Although these are reviewed in the body of the report, three stand out for consideration here. The first has to do with strengthening the CEPF Management Team's capacity to handle expansion of the Fund's activities in the future. In light of the coming addition of new ecosystems to the Fund later this year and next, CEPF Management should carefully assess the roles and workloads of the Grant Directors and the roles of the Coordinating Units in country with an eye to strengthening the capacity of the Coordinating Units to support the grant-making and supervision process. A stronger, more decentralized structure should not relieve the Grant Directors of their ultimate responsibility for grant approval, but it should enhance the implementation of the program in the field. The second is that, despite its fundamental merits, the strategic focus of the program may not be fulfilling its own promise. In some cases, the strategic priorities defined in the Ecosystem Profiles may still be too broad to

facilitate grant making, making it hard to move from the identified strategic priority to a rapid and effective definition of concrete programs to address it. This gap between priority setting and implementation should be analyzed in forthcoming, field-based evaluations in order to define effective methodologies for bridging it in the future. Finally, as part of the Fund's reflections on lessons learned, the Donor Council should begin to explore the future of the Fund. The model CEPF represents is proving effective and the partners should carefully consider alternatives for extending the life of the Fund.

In sum, the CEPF is up and running well, but now is the time to take stock of its experience to date in order to strengthen its performance in the future. Some of the issues that need to be addressed are examined next while others should be analyzed in greater detail in the forthcoming field evaluations that both the CEPF Management Team and the World Bank are planning for the near future.



Hotspots map is courtesy of National Geographic

Red Shading indicates hotspots where CEPF grants are now available.

## OVERVIEW OF THE CEPF

The Critical Ecosystems Partnership Fund was created to advance the cause of conservation in threatened ecosystems that contain the richest biodiversity in the world. The specific aim of the Fund is to enhance the role and effectiveness of civil society in the conservation of these designated “hotspots“ by providing funding to NGOs, community organizations, universities and private sector enterprises to engage in conservation and sustainable development activities within them.

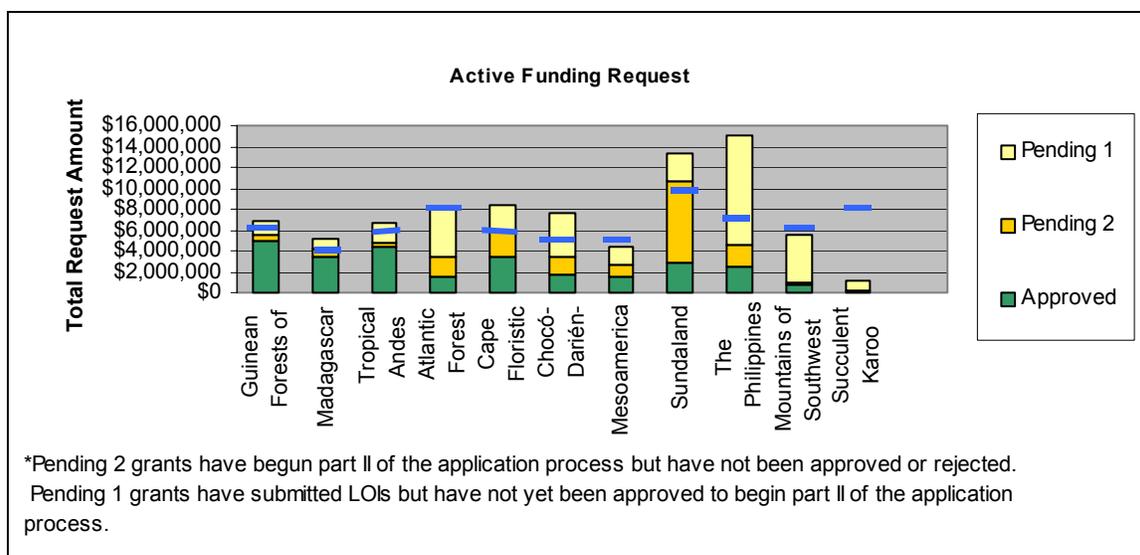
The principal partners in the Fund are the World Bank, the Global Environment Facility (GEF), the Government of Japan, the MacArthur Foundation, and Conservation International (CI). Each partner has committed \$25 million to the Fund over five years, and CEPF's goal is to bring in additional partners in order to invest upwards of \$150

million during the life of the project. Conservation International is responsible for the management of the Fund with oversight from the partner's Donor Council.

During 2000, CI developed the CEPF with a \$1.5 million planning grant from the World Bank. The grant enabled Conservation International, working closely with World Bank and GEF staff, to refine the goals and objectives of the partnership; establish its initial organizational structure, information systems and operating procedures; recruit staff; design an initial monitoring and evaluation system; prepare promotional materials; and develop strategies, plans, and budgets for its initial operations. The fundamental programmatic, financial and management agreements governing the CEPF were set forth in the Memorandum of Understanding, the Finance Agreement and the Operational Manual signed by CI, the World Bank, and the GEF at the end of that preparatory year. The Fund was officially launched in August 2000 and began operations in January 2001, following the first meeting of the Donor Council.

CEPF is authorized by its donors to work in 19 critical "hotspots" in Asia, Africa and Latin America that are eligible for assistance from the World Bank and the GEF. For each critical region, CEPF develops an ecosystem profile prior to initiating grant-making operations. The ecosystem profile establishes a strategic framework for CEPF activities, as well as the rationale and size of the block grant of funds allocated for each region to be drawn upon for grants to organizations submitting proposals to the CEPF. Once the Donor Council approves the ecosystem profile strategy and allocation of funds, the CEPF Management Team begins grant making for that particular region. CEPF prepares profiles in cycles and, to date has completed three cycles covering the 11 critical ecosystems in which the program is now working. A fourth cycle of ecosystem profiles is now underway.

The record of CEPF grant making in critical ecosystems shows a steady increase over the past 2.5 years. Since it began operations in 2001, the Fund has approved approximately \$26.4 million in grants to local, national and international conservation organizations for 162 projects in 11 critical ecosystems in Latin America, Asia and Africa. The total CEPF disbursements to date by ecosystem appear in Appendix I and the chart below illustrates the total request to CEPF that have been approved and currently are under active consideration. A more detailed analysis of the patterns of grant making will appear in the following sections of this review.



**Chart 1 Approved and Pending Applications in CEPF Portfolio**

## FRAMEWORK FOR THE REVIEW

In assessing the performance of CEPF, the central question to ask throughout is how well the CEPF has performed to date in meeting its stated objectives and carrying out the central tasks of developing effective strategies for addressing conservation issues in the designated ‘hotspots’ and making grants to mobilize non-governmental organizations to implement programs that advance the conservation of threatened areas. In other words, is the CEPF model a good one and is it working as expected?

In order to address these questions, it is necessary to look at the underlying rationale for the program as set forth in the Memorandum of Understanding, the Financing Agreement and the Operational Manual that established its goals and objectives, the strategic approach and procedures, and the overall governance structure of the Fund. It is against these stated aims and expectations that an overall assessment of the performance of the Fund must be made.

### Objectives and Rationale

As set forth in the Memorandum of Understanding, the overall goal of the CEPF is to provide strategic assistance to non-governmental and other private organizations for the protection of vital biodiversity ‘hotspots’ that are in countries eligible for World Bank and GEF funding.

In addition, the documents states the CEPF would be able to bring a new level of efficiency and effectiveness to conservation investment in a number of ways, such as:

- Creating strategic working alliances among diverse groups, combining unique capacities and eliminating duplication of efforts for a comprehensive coordinated approach to conservation.
- Combining the proven strengths and expertise of the participating partners;
- Implementing a geographic focus on ecosystem “hotspots” which is biological rather than political;
- Providing a new source of funding that can be delivered in a quick and agile manner to non-profit, community, and other groups, in a way that complements funding from governmental agencies, and;
- Providing an electronically accessible Internet mechanism for grant making to a wide variety of potential grantees around the world.

There are several points to draw out from these statements of objectives:

The first is that as a way of setting its priorities, the Fund, following Conservation International’s lead, focuses on those endangered regions and ecosystems that have the highest levels of biodiversity. There are other regions of the world that are experiencing degradation and the loss of biodiversity, but the CEPF approach chooses to limit itself to those threatened ecosystems considered by scientists to have the most rich and diverse concentrations of species. This priority is a cornerstone of the CEPF approach.

The second is that the Fund’s focus on civil society and the non-governmental is a deliberate acknowledgement of the need to strengthen and support private engagement in conservation action in the developing world. In general, civil society is relatively weak in the developing countries, and this is especially true among conservation organizations. With public governmental action on conservation being either weak, non-existent, or outright predatory, there is a pronounced need to enhance the capacity of the non-governmental conservation sector to mobilize and coordinate effectively to push and implement conservation programs. It is with this in mind, that the CEPF places strong emphasis on fostering and supporting alliances of civil society actors, as well as, helping individual organizations.

A third point, related to this focus on community organizations, NGOs, and the private sector, is that the partners view the CEPF approach and management as especially suited to reach these groups more effectively than themselves. The World Bank sees the CEPF as an instrument able to act more quickly and flexibly without the bureaucratic procedures and requirements that inhibit their ability to work with small-scale civil society initiatives. Although this is less true of the MacArthur Foundation, which has small grants programs of its own, the partners generally see the CEPF as able to work in areas where they are more constrained, and must work within the public governmental system.

This point leads to two final considerations for the review. The first is the degree to which CEPF has been able to create accessible Internet mechanisms for its operations around the world, and act with the quickness and agility envisioned by the partners. And

the second is whether the combined strengths of the partners have made a marked difference in the performance of the CEPF.

## **Approach**

The objectives and underlying rationale of the CEPF provide a sound framework for assessing the performance of the Fund. In the following sections, we will examine the overall management and organization of the fund, the oversight provided by the Donor Council, the Fund's strategic focus, its grant-making record and procedures, public information and outreach programs, and its monitoring and evaluation activities. The final section will summarize the conclusions and recommendations derived from this review.

## **MANAGEMENT AND OVERSIGHT**

### **CEPF Management**

Under the terms of the Memorandum of Understanding and the CEPF Financing Agreement, Conservation International is responsible for the administration and financial management of the Fund. CI has a fundamental fiduciary responsibility for the administration of the Fund in accordance with the highest standard of integrity, and Section 1.03 of the Financing Agreement specifically notes that it is CI's responsibility to "ensure that the projects and activities under the Fund are financed and carried out in compliance with the guidance of the Donor Council and the Operational Manual, in particular the GEF policies referred to in that Manual and the IBRD Safeguard Policies." Articles VI and VII of the Financing Agreement identify CI's responsibility for preparing and securing the approval of Ecosystems Profiles and for identifying, preparing, appraising, selecting and supervising projects and activities carried out under each of the approved profiles. Finally, the agreements limit CI's participation in the funding provided by CEPF to no more than 50% overall. In addition, CI must follow the same application process as other potential grantees when seeking funding from CEPF.

**Management Team:** In order to manage CEPF effectively, CI established a separate CEPF Management Team. Although the Team exists as a division within the CI organization, it operates with a degree of autonomy that reflects its separate governance structure, and its need to maintain an objective, transparent and separate posture in its grant-making activities. Under its Executive Director, the team has evolved and expanded to reflect the growth of the CEPF program. The current core, Washington-based headquarters staff is 15, but one must also take into account the staff in the Coordinating Units who spend a portion of their time on the CEPF program. Under the Executive Director, four directors carry out program-wide activities related to a) the development of the overall CEPF program, including coordination with the Donor Council and Working Group, the development of Ecosystem Profiles, and coordination with the Communications and Website activities; b) financial planning, management and monitoring, audit, and compliance information systems, and; c) portfolio coordination,

monitoring and evaluation. Four Grant Directors are responsible for all grant making and supervision.

**Assessment:** The CEPF Management Team receives high marks so far for the performance of the Fund. Strong and responsive leadership has guided the Fund to steady growth and helped it respond to changing needs. As noted in later sections of this Review, management recognized and corrected serious deficiencies in the grant application process and backed the redesign of the system for monitoring and tracking grants. It has also maintained effective relationships with the Donor Council partners.

In addition it has pursued a conservative policy with regard to the growth of CEPF staff, carefully trying to not let the number of staff outstrip the work to be done. This policy should be modified in the future, as the impending volume of work that will accompany the addition of up to 8 new Hotspots will require an expansion of the staff at headquarters and greater decentralization in the field.

Along with responding to the issues raised in other sections of this report, CEPF Management should give a high priority to drawing from the planned evaluations to deepen the consolidation of the CEPF program and engage the Donor Council in substantive discussions on the longer-term future of the Fund. Strengthening institutions for effective conservation is not an enterprise that lasts only five years.

### **Oversight of the CEPF**

The CEPF partners carry out their oversight functions through the Donor Council and the Working Group. The characteristics and functions of each of these is reviewed below.

**Donor Council:** The Donor Council is made up of the parties to the CEPF. At present, its membership includes the World Bank, the Global Environment Facility, the MacArthur Foundation, the Government of Japan and Conservation International. Additional members can be added as they join the Fund.

The Council provides oversight and guidance to the operations of the CEPF, reviewing its performance, administrative practices and financial management, and making recommendations for the changes to its Operational Manual. The Council also plays a central role in determining the hotspots for which Ecosystem Profiles will be prepared and, subsequently, in approving completed Profiles and the allocation of financial resources for grant making to address the strategic priorities for the region covered by the Profile. In addition, it bears a major responsibility for facilitating and supporting the fundraising efforts to reach the stated funding goals.

At its December 2000 meeting, the Donor Council decided to create a permanent **Working Group** to facilitate coordination and communication between the partners and the CEPF staff and to provide technical review and guidance on behalf of the partners. Representatives from each of the participating organizations with technical

responsibilities for CEPF sit on the Working Group along with key CEPF staff and the CEPF Executive Director.

**Assessment:**

The Donor Council has played an active role in accordance with the terms of reference agreed in the Memorandum of Understanding. The guidance and oversight provided by the Donor Council with the support of the Working Group has generally been effective and timely, and the Donor Council has played an active role in fundraising by securing new partners such as the Government of Japan. The Donor Council held its first official meeting in December 2000, at which it approved the first cycle of Profiles and funding for the Fund. The Council has held three subsequent meetings in December 2001, June 2002, and February 2003 at which an additional three cycles of Profiles and funding have been authorized. The next meeting of the Council will be held in July 2003. The CEPF staff has provided detailed documentation and materials for Council deliberations and kept thorough records of meeting and decisions made by the Council. Although some Working Group members wished that material for meetings were provided in a more timely way, most praised the CEPF staff for its responsiveness to their needs.

The Working Group has played an active role in several of the improvements to the Fund and provided strategic input and guidance to the CEPF on various issues, including having it play a more active role in the creation of the Ecosystem profiles. The Working Group has played a particularly active role in reviewing Ecosystems Profiles and annual investment plans before Council meetings. Working Group members have also participated in supervision visits to CEPF-funded operations in the field. The Working Group should play an active role in defining the scope of up-coming evaluations of the Fund.

In addition to the fiduciary role it plays through the Donor Council and the Working Group, the World Bank contributes positively to the CEPF through the support and coordination provided by its CEPF supervision team. The forthcoming field evaluations are part of this World Bank supervision strategy.

One issue that should be addressed by the Donor Council and the CEPF Management Team is the degree to which the program actually creates synergies between the CI, CEPF staff and grantees and the programs of the World Bank, GEF, or the overseas development activities of the Government of Japan and the MacArthur Foundation. The underlying rationale of the CEPF was that the comparative advantages of each partner would create synergies among them that benefited the program as a whole. On some levels, this has certainly been the case. The influence of World Bank and the GEF have certainly made it much easier for the CEPF staff to gain access to public officials in the field, and CI's credibility and experience with non-governmental conservation organizations and grass roots community activities does extend into areas that the Bank cannot easily reach. In addition, even though the MacArthur Foundation has done a great deal of funding at the NGO and grassroots levels, it does not have the field presence that enables it to actively help orient and support these activities on the ground. Also, it is

true that the staff of the partners' organizations plays a role in the review of Ecosystems Profiles through members of the Working Group. On other levels, however, more could be done to capitalize on the strengths of the partnership. A more fluid two-way relationship between the members of the Working Group and the CEPF Management Team might reveal areas of useful collaboration between the programs and funding of the partners and the activities supported by CEPF. Both CEPF staff and the staff of the Bank and the GEF might also find it useful to exchange ideas about the program experience in the field in order to dispel what some perceive as little interaction among them at the professional level. This is the kind of concern that is not easily resolved. The professional staff of the partner organizations and the CEPF Team are extremely busy and even those with the best intentions will find it hard to step up their contacts with one another without a clear and compelling operational purpose. Nevertheless, now that the CEPF is developing an interesting record of experience in the field, a deliberate program of routine briefings, discussions or workshops might be useful to generate a productive exchange among the partners.

## **THE STRATEGIC FOCUS**

The strategic focus of Conservation International's activity is on the earth's biodiversity "hotspots", defined as the biologically richest and most endangered eco-regions of the world. The 25 regions of the earth designated as "hotspots" make up only 1.4% of the surface of the earth, yet are estimated to contain 60% or more of its terrestrial biodiversity. With only an estimated 12% of their land area still intact, these "hotspots" are severely threatened by population pressures, unsustainable logging and agricultural practices, mining, and ill conceived public policies for economic and infrastructure development. CI seeks to conserve and protect these biologically diverse geographic areas, limiting or reversing their reduction in size and stopping the extinction of species within them.

As stated earlier the CEPF focuses on those 19 critical ecosystems that are in countries eligible for World Bank and GEF funding and are signatories to the Convention on Biological Diversity. The CEPF's approach to funding is characterized by the development of an Ecosystems Profile of a designated 'hotspot' that serves as the strategic framework for selecting and supporting proposals for action by NGOs, community organizations, or private sector groups in that region. The Profile also serves as the basis for defining the level of funding to be allocated to the overall program in that ecosystem.

Developed through a participatory process of assessment and priority setting, the Profile identifies the critical threats to biodiversity in the selected "hotspot", focusing particular attention on the potential for conserving and linking areas of vital importance into conservation "corridors". The Profile assesses what other organizations are doing to address those threats, and identifies the areas or "niches" in which CEPF funding might be used effectively to advance the conservation and protection of biodiversity in the corridors. The Profiles identify desirable outcomes for the ecosystem related to the protection of critical areas and species and set forth strategic priorities for future action

and investment. In addition, as an instrument for assessing the effectiveness of conservation activities, the Profile defines a five year Logical Framework for analyzing and evaluating the achievements of the proposed investment strategy.

Once completed, the Ecosystem Profile and the investment strategy is reviewed by experts within the region and the staff of the members of the Donor Council. The Donor Council is responsible for approving each Profile and the block allocation of funds that is made for its five-year implementation plan. Under the terms of the Financing Agreement, the Profile also must be approved by the GEF Focal point for the country it covers before the CEPF actually can disburse funds. In reviewing the chart below, this last point should be born in mind, as there is often a marked lag between the time of Donor Council approval and a sign off from the GEF country focal point.

The approved Profile provides the framework for all future grant making in the ecosystem. Prospective grantees not only must operate within the ecosystem/corridor covered by the Profile but they must also demonstrate how their proposals will help advance the strategic priorities enunciated in it. It is expected that the cumulative effect of successfully achieving the outcomes sought by each individual grantee's activity ultimately will lead to the overall conservation outcomes sought in the Profile.

The CEPF is now engaged in its fourth cycle of preparing Ecosystems Profiles. A chart illustrating the dates and regions covered by these Profiles appears below.

Cycle	Region	Preparation Phase	Authority Approved	GEF Focal Point Approval
1	Madagascar	March/June 2000/Profile app in December 00	Jan-01	Dec 00
1	Tropical Andes	March/June 2000/Profile app in December 00	Jan-01	Bolivia- Dec 00
				Peru- Dec 00
1	Upper Guinean Forest	March/June 2000/Profile app in December 00	Jan-01	Cote d'Ivoire- Dec 00
				Ghana- Dec 00
				Liberia- March 01
				Sierra Leone- April 01
				Togo- March 01
2	Cape Floristic Region	Dec 00/Dec 01/Profile app. In Dec.01	Jan-02	Nov 01
2	Atlantic Forest	Dec 00/Dec 01/Profile app. in Dec.01	Jan-02	March 02
2	Sundaland	Dec 00/Dec 01/Profile app. in Dec.02	Jan-02	Nov 01
2	Mesoamerica	Dec 00/Dec 01/Profile app. in Dec.01	Jan-02	Costa Rica- June 02
				Ecuador- Dec 01
				Nicaragua- Nov 01
2	Philippines	Dec 00/Dec 01/Profile app. in Dec.01	Jan-02	Nov 01
2	Chocó-Darién-Western Ecuador	Dec 00/Dec 01/Profile app. in Dec.01	Jan-02	Colombia- Dec 01
				Ecuador- Dec 01
3	Mountains of Southwest China	Dec 01/June02/Profile app. in June02	Jul-02	Nov 02
3	Succulent Karoo	Dec 01/June02/Profile app. in Dec 02	Jan.03	Namibia-March 03
				South Africa- Feb 03
4	Caucasus	June02/June03/Profile ant.July 03	Aug-03	
4	Eastern Arc and Coastal Forests of Kenya and Tanzania	June02/June03/Profile ant.July 03	Aug-03	
4	Northern Mesoamerica	June02/June03/Profile ant.July 03	Aug-03	
4	E.Himalayas	June02/Dec03/Profile ant.Dec 03	Jan-04	
4	Indo-China	June02/Dec03/Profile ant.Dec 03	Jan-04	
4	Western Ghats/Sri Lanka	June02/Dec03/Profile ant.Dec 03	Jan-04	
4	Polynesia/Micronesia	June02/Dec03/Profile ant.Dec 03	Jan-04	

**Assessment:** A review of a selected number of Profiles from the first three approved cycles supplemented by interviews with CEPF and outside staff leads to a number of observations. As Profiles are thoroughly peer reviewed before approval, these comments apply less to the technical scientific quality of the documents than to their usefulness for strategic programming and grant making.

Ecosystems Profiles provide invaluable insight into the character and dynamics of the ecosystems they cover, identifying the underlying causes of threats to biological diversity, and the activities, investments and actors involved in conservation efforts in the region. The process by which they are developed also serves as an excellent means for mobilizing public, private and community interest around the objectives of conservation, in general, and the aims of the CEPF “corridor” conservation approach, in particular. This has been particularly true for the Profiles prepared in later cycles that had more sustained community involvement and were prepared by institutions and local counterparts, rather than external consultants.

Where the Profiles often fall short, however, is in clearly defining a special “niche” for CEPF funding activity. It appears that the strategic priorities that emerge from the profiling process often are too broad and fail to provide focused operational guidance for programming and grant selection. Because of this, it is often difficult to discern the strategic rationale linking the variety of grantees in a given region, and the CEPF program may appear to be a random funding exercise for strengthening any NGO with a conservation project. This gap between strategic priorities that are too broad and more specific operational needs has been closed in some cases by CEPF staff visits and more intense, detailed planning sessions in country, as in the cases of Sumatra, the Succulent Karoo and the Philippines. This sort of “niche” definition and detailed programming exercise should become a standard procedure as a bridge between the profiling and grant-making phase of CEPF work.

A second concern is that the strategies that emerge from Ecosystems Profiles tend to focus so much on supporting NGO, private sector or community based conservation activity that they may tend to overlook opportunities for pushing public /private initiatives that would deepen government commitment to conservation. While CEPF cannot, and should not fund government activity, it has supported policy reform initiatives undertaken by non-governmental organizations and the private sector. It might be worthwhile to focus more attention on such opportunities, particularly since the long-term sustainability of the ecosystems will depend on public policy choices and economic trends, as much as it does upon on-the-ground conservation action.

Another important observation relates to the link between what the Ecosystem profiles define as desired outcomes for the eco-region in terms of species and acreage protected and the CEPF program itself. At the corporate level in CI and within the donor community a great deal of emphasis is being placed upon defining outcomes and measuring progress to achieve them. While CEPF funding and the activities of individual grantees may contribute to the conservation of a given eco-region or corridor in the long run, drawing a causal connection between their specific actions and the

ultimate preservation or degradation of the eco-region will be difficult, at best. The definition of outcomes and indicators of progress is a very useful and necessary exercise that should be used to sharpen one's thinking but not to generate spurious number crunching or to lay claim to victories that may only be attributable to multiple causes. The Profiling process should recognize this and be modest in its assumptions.

A final point relates to the approval process for Ecosystem Profiles. The agreements creating the CEPF required that GEF Focal points sign off on profiles before grant-making and funding can begin for a given Ecosystem. While this procedure is appropriate given the important role that GEF plays as a partner, it often causes bureaucratic delays to the implementation of the Ecosystem strategy. For instance, although the Donor Council approved the Ecosystem Profile for Southwest China in July 2002, GEF Focal point approval didn't come through until November. This kind of delay complicates the process of mobilizing commitment through the profile preparation process and then moving directly into grant making for implementation.

Many of the issues raised here should be revisited in the context of the evaluations that CEPF and others conduct of the CEPF programs in specific eco-regions. For purposes of this review, it can be said that Ecosystem profiles are an innovative and invaluable tool but the strategic priorities they identify need to be defined even more sharply to provide useful programming and selection criteria for CEPF grant-making.

## **CEPF GRANT-MAKING: PORTFOLIO AND PROCESS**

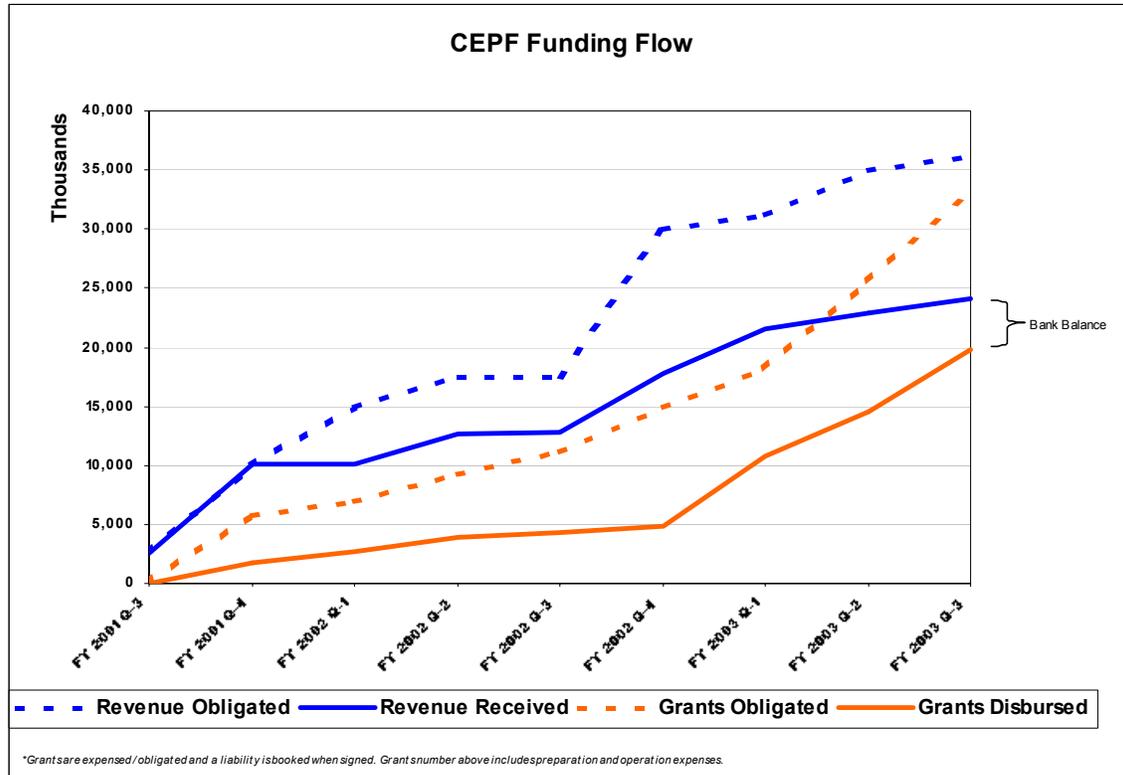
The central objective of the CEPF is to provide strategic assistance and funding to non-governmental organizations and private groups for conservation action in critical ecosystems. The record shows that the program has been remarkably effective in channeling funds to a variety of groups in a diverse number of critical 'hotspots'. In assessing this record, it is important to illustrate the size and breadth of the CEPF portfolio and comment briefly on the pattern of grant making. In addition, the process of grant making needs to be examined in order to illustrate some of the issues facing the CEPF Management Team.

### **The CEPF Portfolio**

**Funding Flow** Since it began operations in January 2001, the CEPF has steadily expanded its coverage of critical eco-regions and increased its disbursements for grants to community groups and non-governmental organizations engaged in conservation activities. The program has now approved grants for 162 projects in 11 eco-regions and disbursed \$ 26.4 million. Expenses for these Ecosystem grants are set for in the CEPF Fund Statement. (Appendix I)

The graph on CEPF Funding Flow illustrates this steady increase in grant making over time and the progressive closing of the gap between funds available and funds disbursed. In particular, it indicates that the dollar amounts Obligated for Grants is beginning to reflect the Revenue Obligated by the Donor partners and steady convergence of the

amounts Disbursed for Grants and the actual Revenue Received by CEPF. This suggests that the CEPF grant making is not only rising steadily as the project expands its coverage but also is becoming more efficient in its management of the resources of the Fund.



The latest Analysis of Spending Authority (see Appendix I) indicates that CEPF has reached 36% of its current spending authority of \$72 million as of March 2003. For Hotspots included in the first Cycle of funding, however, the Fund is at between 71-81% of its authority illustrating the trends that will emerge as subsequent Cycles of funding mature and new regions come on line. As the chart shown earlier on Cycles of Eco-profiles indicates a 4<sup>th</sup> cycle of profile preparation is coming to an end, which will add four more Hotspots to the program with an accompanying increase in the level of spending authority. As we will see later on, this has implications for the workload of Grant Directors and the role of CEPF Coordinating Units.

**Pipeline** The CEPF pipeline can be estimated by examining the number of grants pending. As the chart below indicates out of the total of 716 projects considered by the CEPF, 162 were approved and 296 were rejected. The balance of 258 are pending, either in the Letter of Interest stage (Pending 1) or in the proposal development and review stage (Pending 2) Combined, these two categories amount to some \$55 million in requests. To get a complete picture of the future pipeline, one must also estimate the requests that will come in once a new set of eligible Ecosystems is approved.

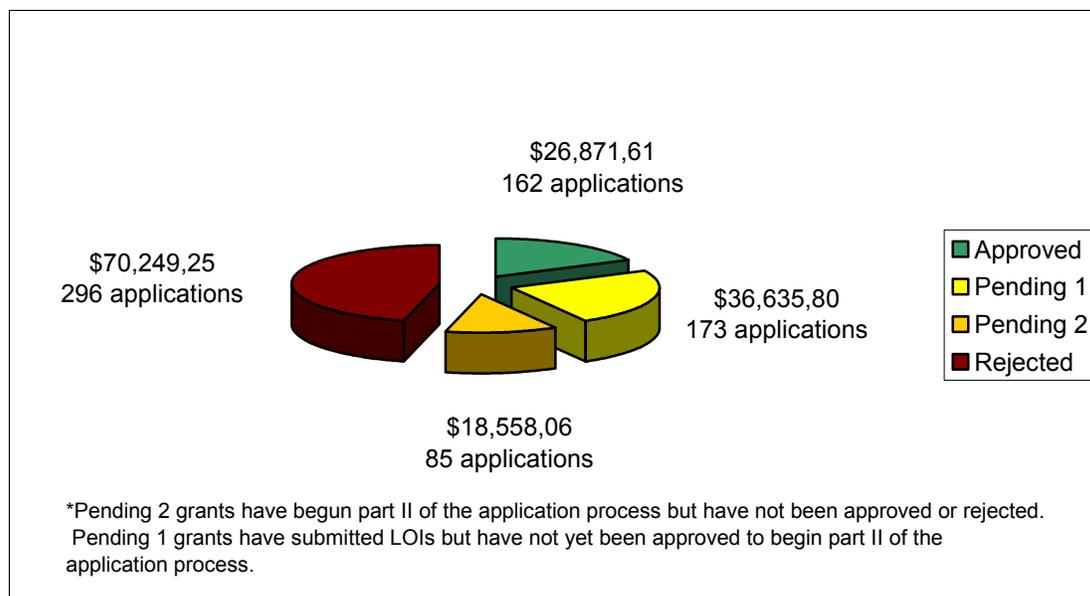


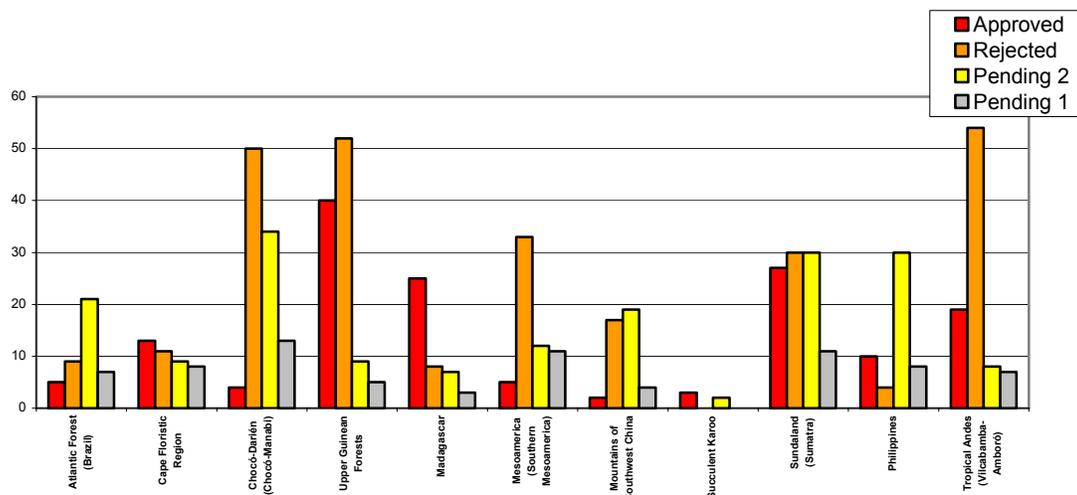
Chart 2 CEPF Portfolio by Application Status

**Geographic Distribution** The geographic distribution of grants by Hotspots is illustrated in the chart below and in Appendix I. The early Cycle 1 Hotspots in Madagascar, the Guinean Forests of West Africa, and the Tropical Andes have the received the highest percentage (51%) of grants at this time because of their maturity relative to regions which came into the program in later cycles. The bar graph below illustrates the distribution of grant making activity across the regions at this time.

Funding Region	Number of Projects	Total Funding Requested
Atlantic Forest	5	\$1,550,894
Cape Floristic Region	15	\$3,373,773
Chocó-Darién-Western Ecuador	4	\$1,659,925
Guinean Forests of West Africa	39	\$4,890,649
Madagascar	25	\$3,405,005
Mesoamerica	6	\$1,616,787
Mountains of Southwest China	2	\$667,811
Succulent Karoo	3	\$156,150.00
Sundaland	27	\$2,839,632
The Philippines	9	\$2,419,357
Tropical Andes	19	\$4,392,535
	162	\$26,972,518

\*There are 8 approved grants that are consistent with specific strategic directions but accrue across multiple ecosystems.

Table 1 Approved Grants By Funding Region



\*Pending 2 grants have begun part II of the application process but have not been approved or rejected.  
 Pending 1 grants have submitted LOIs but have not yet been approved to begin part II of the application

Chart 3 Portfolio Decisions by Hotspot

**The Size of Grants** One of the central aims of the Fund is to make small and medium sized grants. The data indicate that the Fund is right on target in this regard. Although CEPF's portfolio includes grants in the million dollar range, they represent only 7% of its funding. The vast majority of its grants ((93%) are under \$500,000, and 59% of these fall in the category under \$150,000. In the range, CEPF formally classifies as Small Grants (up to \$10,000) the Fund has done 26% of its grant-making to date. Overall, the Fund is responding to a demand for grants that are below the GEF's range of \$750,000 to \$1,000,000 for midsized grants, and also is reaching below the average GEF Small Grant of approximately \$30-40,000) to community groups and NGOs requiring even smaller amounts of funding.

In analyzing the workload of Grant Directors, it is important to note that, with the exception of Small Grants, which are not subject to the full levels of documentation required of grants above \$10,000, the amount of work that may be required in processing grants in the higher ranges may not vary a great deal between the medium and larger grants. Larger grants may often be requested by more experienced grantee, while the medium sized request may require considerable handholding on the part of the Grant Director.

Status	Grant Type	Total # of Proposals	Total Funding Requesting	Average Funding Request
Approved	Small Grant	42	\$318,913.09	\$7,593.17
	\$10,001-\$75,000	36	\$1,524,825.00	\$42,356.25
	\$75,001-\$150,000	27	\$3,052,369.16	\$113,050.71
	\$150,001-\$500,000	46	\$12,506,693.00	\$271,884.63
	\$500,001-over	11	\$9,468,816.00	\$860,801.45
Pending 1	Small Grant	18	\$85,289.97	\$4,738.33
	\$10,001-\$75,000	43	\$1,692,776.25	\$39,366.89
	\$75,001-\$150,000	29	\$3,291,643.60	\$113,504.95
	\$150,001-\$500,000	68	\$18,867,158.57	\$277,458.21
	\$500,001-over	15	\$12,698,936.85	\$846,595.79
Pending 2	Small Grant	3	\$26,385.65	\$8,795.22
	\$10,001-\$75,000	34	\$1,488,072.35	\$43,766.83
	\$75,001-\$150,000	16	\$1,858,646.00	\$116,165.38
	\$150,001-\$500,000	25	\$6,591,127.77	\$263,645.11
	\$500,001-over	7	\$8,593,831.12	\$1,227,690.16
Rejected	Small Grant	29	\$194,678.73	\$6,713.06
	\$10,001-\$75,000	89	\$3,629,859.80	\$40,784.94
	\$75,001-\$150,000	68	\$7,736,581.55	\$113,773.26
	\$150,001-\$500,000	87	\$22,874,860.63	\$262,929.43
	\$500,001-over	23	\$35,813,273.00	\$1,557,098.83
	<b>Total</b>	<b>716</b>	<b>\$152,314,738.09</b>	

Table 2 Grant Status by Grant Type

**Strategic Focus** In an attempt to determine the distribution of the portfolio according to the strategic priorities defined in the 11 Ecosystem profiles prepared to date, CEPF defined categories of priorities and distributed approved projects among them. While the categorization may not be exact, the results give some sense of the types of activities receiving the most attention by grantees. The most emphasis appears to fall in the areas of Institution Building (49%), Economic Development (18%), Policy Reform (9%), and Public Awareness (8%). While this trend may vary from region to region, it does give some indication, first of all, of the areas in which CEPF (and others, for that matter) might consider training and capacity building support, and, secondly, the substantive programmatic themes that should be examined in future evaluations of CEPF activities in the regions.

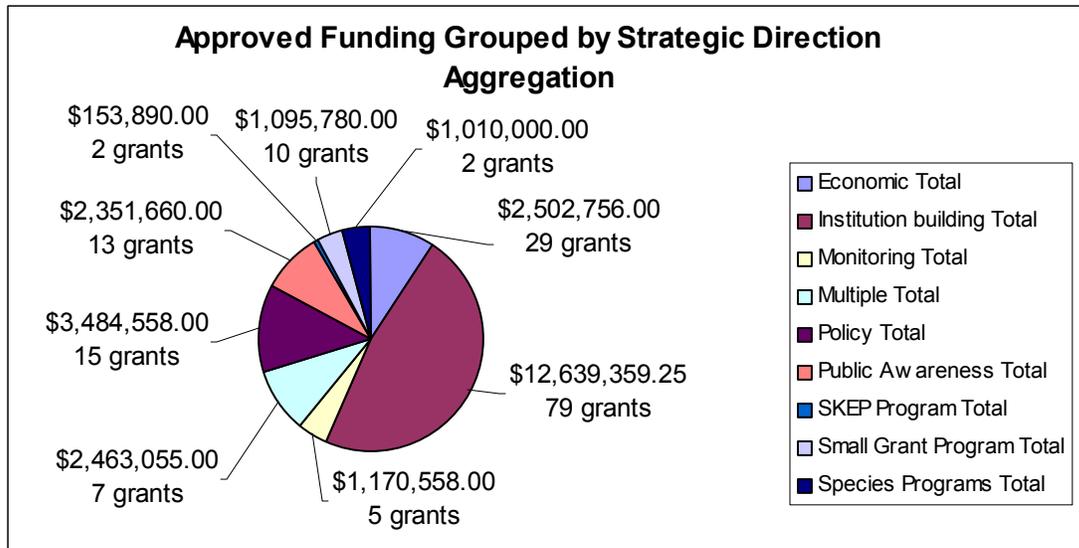


Chart 3 Approved Funding Grouped by Strategic Direction Aggregation

**Grant Recipients** The objective of the CEPF is to provide funding to community organizations, NGOs and private sector groups engaged in conservation and sustainable development in the designated Hotspots. The attached chart classifies approved and rejected proposals to CEPF **according** to whether the recipients are national or international organizations or internal country offices of Conservation International. As stated earlier, CEPF requires CI to submit to the same application procedures as other organizations to receive funding and also limits the amount of funding that may be awarded to CI to 50% of the overall obligations. As shown below, International NGOs, (i.e. WWF, Birdlife International, IUCN, etc.) received 30% (49) of the approved grants; national organizations were awarded 55% (53), and Conservation International received 37% (60) of the grants. In sum, the majority of grants -102 versus 60 – or 63% went to External grantees with a majority of these going to national organizations.

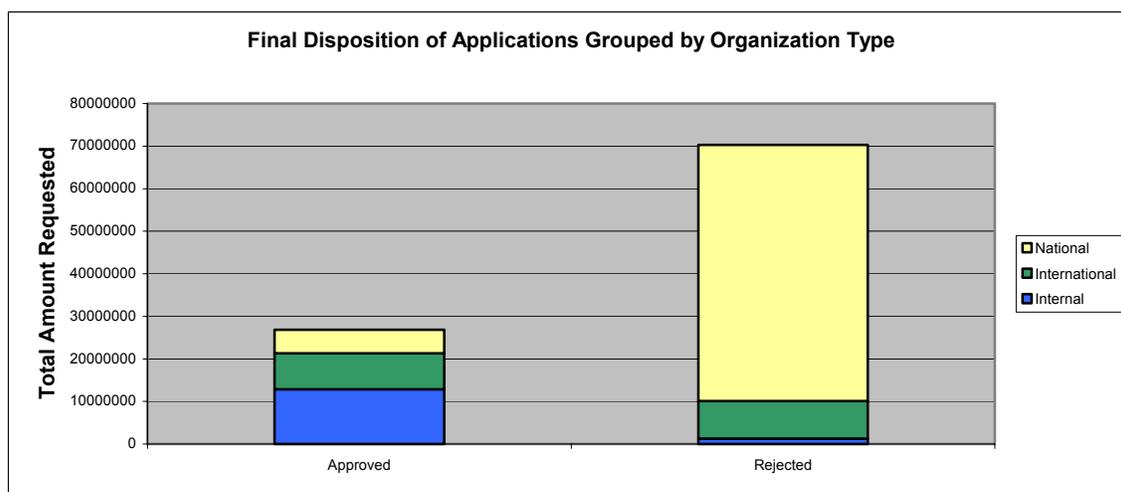


Chart 4. Total Amount Requested by CI, International and National Organizations

In terms of the amount of funds received, the distribution between External and Internal recipients is more balanced. This is largely a factor of the original policy mandated by the CEPF Donor Council for Cycle 1 Regions (Madagascar, Tropical Andes, and West Africa) where CI was mandated to disclose at the Council Meeting the full financial and programmatic scope of their projects up to a maximum of 50% of the grant resources. This policy skewed the funding amount towards internal grantees at the early days of the initiative, while at the same time, eliminated the opportunity for creativity and flexibility within the CI programs themselves who then became locked into certain projects prematurely. In consultation with the Working Group and Donor Council, this policy was re-conceptualized and since then the balance of awarding grants to external recipients has outpaced internal recipients. According to the latest Donor's Report (Appendix I), External Partners received \$ 13.8 million in grants while Internal Partners received \$12.7 million for the total of \$26.4 million. In addition, as more Ecosystems have come into the program in which CI has not had country offices, the trend in funding has moved increasingly toward external partners in the past two years. In sum, the data clearly indicates that the CEPF is reaching the external grantees targeted by the Donors, and the ratios of external to internal funding required in the Fund agreements are being met.

The data on the number of proposals rejected reflects the early experience of the Fund more than the present. Before the objectives, ecosystem boundaries and application procedures for the Fund had been broadly communicated, the CEPF received a great number of proposals that did not fit its requirements. Now that the Fund pursues more targeted public information strategies in the ecosystems, potential grantees are better informed about the program, and Grant Directors have more experience with the application process, the rate of rejection is lower. Now that the Grant Tracker monitoring system is in place, it might be useful to do a comparative review of the experience with rejected applications to see what trends emerge that might help improve the program.

### **Grant-Making Process**

The CEPF Operational Manual guides the overall CEPF program and specifies the procedures and requirements for the grant making process. Aside from spelling out the overall aims of the program, the procedures for financial and project cycle management, and the roles played by the Donor Council, GEF Focal Points and the World Bank Safeguards Policies, the Manual describes the process and format for developing and approving ecosystem profiles, explains their relationship to the grant-making process, and spells out in detail the procedures and proposal requirements for receiving and managing CEPF funding. In keeping with one of the central objectives of the CEPF, the Operational Manual and the materials for the grant-making process can be accessed and conducted entirely on-line through the Internet.

The core grant-making activities of the CEPF fall to four Grant Directors, each one of which is responsible for a cluster of eligible eco-regions. While activities in Africa and Asia remain under one director, activities in Central and South America have been divided between two directors, one of whom will be located in Brazil on an experimental

basis. Within the framework of the approved ecosystem profile, Grant Directors are responsible for informing prospective grantees about the CEPF program, receiving, reviewing and processing grant proposals, and supervising grantee performance. In addition, Grant Directors work closely with the people developing ecosystem profiles, provide training to prospective grantees on proposal preparation, and coordinate the activities of the CEPF with local Coordinating Units. Once the ecosystem profile is approved and investment funds allocated, the Grant directors have primary responsibility for the grant-making process and supervision of the implementation of the grants.

The application process involves two basic steps. The first is to submit a brief Letter of Inquiry describing the proposed project and its relation to the ecosystem and the strategic priorities of the ecosystem profile. In consultation with others, the Grant Director determines if the proposal idea merits development into a full proposal and then either rejects it or requests a full proposal from the prospective grantee. Guidelines and formats for full proposals are also available on-line, including examples of the content of the required Logical Framework. Requests for small grants under \$10,000 are not asked for these analytical frameworks. Upon receipt of a completed proposal the Grant Director then submits it for review within CI and to other knowledgeable parties before recommending it for approval to the CEPF Executive Director. The CEPF Executive Director makes final approval and a list of approved grants within each approved “hotspot” is submitted periodically to the Donor Council and is made available on the CEPF Web-site.

**Assessment:** Grant-making is the key to success for the CEPF. So far the CEPF Management Team and the Grant Directors, in particular, have shown a remarkable ability to respond effectively to the complex demands and pressures placed on their judgment, energy and time. Faced with diverse issues in distant places, they have worked closely with CI staff and other NGOs overseas to select and support grantees in some time difficult situations. As the record shows, the CEPF program is expanding and the rate of grant making is reaching a level in keeping with the expectations of the partners to the Fund. This very expansion raises a number of issues, however, about the role and workloads of the Grant Directors. There are a number of specific points to make about the grant-making process.

The first is that the CEPF Management Team has responded quickly and with imagination to early rigidities in the grant-making process that made it less flexible and agile than it was intended to be. Developing a quick and agile process for **Grant-making** was one of the central objectives of the CEPF. The aim was to devise an electronic, on-line system that would allow grantees easy access to the process. From the outset, grantees had on-line access to the program, but it soon became apparent that there were certain technical characteristics of the system that made it difficult for grantees with less sophisticated computer equipment to use the system easily. The CEPF staff conducted a survey of their grantees, determined what the key technical issues were, and designed a new system that is much more user friendly.

A similarly responsive approach was taken to modifying the grant application process. Whereas in the past, grantees were asked to prepare a relatively elaborate preliminary grant application before knowing if their basic concept was acceptable, it became apparent that the relatively substantial time and energy that went into this initial proposal constituted a burden for many potential grantees. Recognizing that the process could be streamlined for everyone's benefit, the CEPF Management Team instituted a new process based on requesting a relatively simple Letter of Inquiry on which to base a decision about whether to ask the prospective grantee to proceed with the preparation of a full proposal. This was a very practical change in procedure.

Few major difficulties emerged in the interviews regarding the management of the World Bank/ GEF Safeguard Policies, which are applied as part of the Funds grant application process. In part, this is because of the benign environmental nature of the activities undertaken by the grantees. However, it also appears to be because, indirectly, the policies act as de facto criteria for excluding proposals from consideration. In the case of projects with significantly adverse impacts, this is what is expected, but for projects whose impacts can be mitigated easily, the Safeguards should be a trigger for improvement rather than a reason for not preparing a proposal. This is a minor issue, but it is one worth keeping in mind.

With the Monitoring and Evaluation group in place, the CEPF Management Team is now developing information on the average duration of different stages of the proposal process for different sizes of grants. Given the early state of this effort, the data were not entirely reliable or comparable across regions. As it improves, however, it should be possible to monitor and assess the efficiency of the grant-making process in each region, and determine what trends in average "turnaround" times for grants are due to things that grant Directors can improve and which are due to such factors as the capacity of the prospective grantees, the complexity of the proposal, or civil unrest or other unavoidable factors. At present, it is only possible to observe impressionistically that the average turnaround times range from one to four months for Small Grants and are in the neighborhood of eight month for larger grants. Based on this reviewer's experience with public multilateral donors, this is a good average, but the data will have to be refined and subjected to more ecosystem-specific analysis in order to give concrete guidance to the CEPF Management Team.

From the point of view of this review, the Grant Directors carry a very heavy load of work. Although none of them raised this issue during the review, a look at the number of grant applications Directors must process, coupled with the variety of responsibilities they must handle in the field, as well as at headquarters leads one to conclude that most of them are spread quite thin. CEPF management is addressing this issue by providing assistance to each one and, in the case of Latin America, splitting the region in two. But to date CEPF has pursued a relatively conservative, though responsible, staffing policy that might bear reexamination.

Placing greater responsibility for aspects of grant -making on CEPF staff in the field might solve part of the staffing issue. The experimental move of a Grant Director to

Brazil can be seen as a step in this direction, and the current emphasis on strengthening CEPF Coordinating Units abroad is another.

The issue is complicated by the arm-length relationship that CEPF seeks to maintain when it comes to funding CI programs in participating regions, and also by the confusion that still exists among outsiders about the role that CI itself plays in the CEPF grant-making process. If responsibilities for grant-making are to be decentralized further to the field, the lines between CI and the CEPF funding process must be drawn ever more clearly and the autonomy of the CEPF Coordinating Unit made crystal clear.

One final point related to the grant-making process should be made here although it implies additional effort on the part of Grant Directors. In order to create stronger alliances among NGOs participating in CEPF funded strategies in a given region, it seems to me that the CEPF staff needs to deliberately support in-country strategizing and capacity building for alliances of grantees. Although this is being done in most regions to one degree or another, it should become a common part of the CEPF approach.

## **MONITORING AND EVALUATION**

Conservation International and the CEPF Management Team place a great deal of importance on establishing systems for monitoring and evaluating the results of the activities funded by the partnership. As mentioned earlier, both Ecosystem Profiles and Grant Proposals contain Log Frames in which the outcomes envisioned for proposed activities are identified and specific objectives and indicators defined for determining progress toward the achievement of those outcomes. As a measure of the priority that CI is giving the subject, monitoring and evaluating progress toward conservation outcomes was a central theme of its recent Annual Meeting.

Within the CEPF Management Team the importance of monitoring and evaluation has been underscored by the priority placed on redesigning the system for monitoring grants once it became clear that the Cybergrants program the project had been using did not satisfy CEPF's requirements. The new system, called Grant Tracker, was tailor made to CEPF needs and will greatly facilitate monitoring and evaluation. The system allows Management Team to monitor and analyze data on grant making, grant processing, the contract performance of grants; out reach and communications through the CEPF WEB and fundraising. When supplemented by field evaluations, this data provides invaluable information on the overall performance of the Fund

**Assessment:** The CEPF now has the staff and systems in place to begin routine monitoring and evaluation of the programs portfolio. A senior staff member has been made responsible for portfolio review, a new system for tracking grants has been designed and is now up and running, measures are being defined for assessing the performance of the program, and the Web Site is being used to exchange information and case studies about experiences in the field. In addition, fieldwork for the first evaluation of the portfolio in Madagascar was completed recently, although the analysis of the results has not yet been finalized. A second evaluation, which will cover the

Vilcabamba-Amboro program, is planned for early fall and will benefit from the lessons derived from the Madagascar exercise. In sum, a concerted effort is now being made to evaluate the experience of the CEPF and the information systems are in place to nourish it.

## **PUBLIC INFORMATION AND OUTREACH**

Until recently, the main thrust of the CEPF information and outreach activities focused on reaching people and organizations to inform them about the existence and purposes of the Fund and the procedures for applying for grants. The CEPF launch in August 2000 reached a wide general audience, and more focused briefings on the program were held with major international conservation NGOs such as the World Wildlife Fund, TNC, Birdlife International, WCS, IUCN and others during the preparation period. The ecosystem Profiling process also mobilizes and informs a wide array of groups, and after the Profile is approved, CEPF staff usually conducts briefings and training on the grant-making process.

CEPF's new Web site ([www.cepf.net](http://www.cepf.net)) that launched last December will be an invaluable tool in this information and outreach effort. The aim of the Website is to increase the ability of partners and grantees to easily keep abreast of CEPF goals, activities and opportunities, and to attract and retain existing and potential grantees. A review of the usage of the Web site for the first three months following its launch showed an average number of 305 visits to the site per day from some 15 countries for a total of 27,455 visits for the period. Visitors viewed 65,389 pages of information and downloaded over 28,000 documents. The analysis showed increasing usage over the period and indicates the value of the site to both the grant-making process and the dissemination of lessons learned by CEPF.

**Assessment:** The time may be right, however for the CEPF to be more vigorous in its efforts to draw lessons out of the experience of the program and disseminate them widely within the conservation and development community. The Web Site has expanded its coverage and established a variety of linkages that will permit its users to gain access to the experiences of the participants in the program, but, in the minds of some observers, it appears that the program could begin to do more to use seminars and workshops to discuss and take stock of what it is learning with interested parties within the CEPF Donor Council organizations, other multilateral development institutions, national governments in the affected eco-regions, and the NGO, civil society and academic communities engaged in development and conservation. A program of engagement of this sort would also help sharpen the focus of subsequent phases of the strategy development and implementation.

## **CONCLUSIONS AND RECOMMENDATIONS**

### **Principal Conclusions**

The main conclusion of this review is that the underlying rationale for creating the Critical Ecosystem Partnership Fund is sound and well founded. In the two and a half years since it began operations, the CEPF has shown that it is an effective model for meeting the objectives of the Fund's partners. The CEPF is now entering a period of consolidation and stocktaking, drawing lessons from its experience that can be used to sharpen its focus and improve its operations for the remainder of the project. While this review identifies a number of issues that should be addressed by the CEPF Management Team, on balance the Fund has gotten off to a very satisfactory start. There are a number of points that substantiate this record.

First of all, the management and oversight of the Fund has demonstrated that the partners can work well together to keep the Fund well focused and operationally effective. The Donor Council, supported by the Working Group has provided strategic vision to the Fund, timely and useful review and approval of CEPF ecosystem profiles and investment plans, and productive guidance and support for future fundraising. It has demonstrated that a well-designed alliance between NGOs, Multilateral Development Banks and Foundations can work effectively with civil society in the field of conservation.

The CEPF Management Team administered the Fund prudently, staffing conservatively and well, learning from experience and making adjustments along the way to vital procedures like granting applications and grant tracking, and developing a solid basis for future monitoring and evaluation of the program. Aware of the power of public perceptions, the Team has also made a concerted effort to maintain the transparency and autonomy of the CEPF. At present, the Team is focusing its attention on improving grant making and supervision in the field, through more effective decentralization and use of Coordinating Units, and evaluating the Fund's experience in the three Hotspots in which it began its work.

Secondly, the strategic focus represented by the ecosystem profiling process has proved a relatively effective instrument for identifying priorities for CEPF investment, and for forming and mobilizing alliances of community groups and non-governmental organizations for conservation action in the Hotspot Corridors upon which the project focuses. There are areas in which the process can be improved, particularly by sharpening priority setting and establishing participatory mechanisms for moving from priority setting to implementation plans. But, generally speaking, the CEPF has learned from its experiences in each Cycle of ecosystem profiling, and the process has made an innovative contribution to mobilizing and strengthening civil society action for conservation.

Finally, the CEPF has carried out grant making in a way that has reached a wide variety of recipients in a relatively timely and agile manner. Responding to early rigidities in the application procedure, the Management Team made adjustments and the process has been improved. While bordering on being overloaded in the mind of this reviewer, Grant Directors have done a first rate job of developing the pipeline, working with prospective grantees and progressively expanding the number of grants disbursed by CEPF while

managing the risks involved with such far flung operations and conforming to the Safeguard Policies of the World Bank and the GEF.

## Recommendations

On the other side of the ledger, there are a number of issues that should be addressed. Some of these have to do with the management of the program, its strategic focus, and the grant making process. Others are issues that should be examined in the field during future evaluations of the Fund. Underlying them all is the central strategic question of how best to capitalize on the CEPF model in the future. These themes will be covered by the recommendations presented below.

- The CEPF Management Team should carefully assess the grant making and supervision process to clarify the roles of Grant Directors and Coordinating Units in CEPF eco-regions in order to strengthen the capacity of the Coordinating Units to support the Grant Directors in grantee orientation and training, proposal development, and supervision while maintaining the Grant Directors ultimate authority for grant review and approval. A greater degree of decentralization would be desirable to relieve the workload of Grant Directors and focus Coordinating Units on the coherence and strategic impact of the grant portfolios in country.
- As confusion still appears to exist in the minds of outsiders over the role of CI in the CEPF grant making process, further efforts need to be made to define the role of the two entities clearly. It is important to adhere strictly to the requirement that CI not be given special consideration in the grant process or exercise inappropriate influence over the grant-making and approval procedure.
- The scope of future evaluations conducted by the Fund or other partners should focus particular attention on the linkages between CEPF Strategic Priorities and the cumulative effect of grants in working toward meeting those priorities. Is there coherence and synergy among the various recipients of grants and how can it be strengthened?
- Review the experience that each ecosystem profiling process has had with moving from strategic priority setting to program implementation in order to design a process that tightens the linkages between the them and leads to more effective implementation of integrated programs. The process followed for the Succulent Karoo, among others, may offer useful lessons.
- Review the opportunities the CEPF might have in supporting public/private initiatives in keeping with the objectives and strategies of the Fund. This might involve increasing support to policy reform initiatives carried out by non-governmental organizations or the private sector.
- Develop a vigorous public outreach strategy designed to capitalize on lessons the CEPF has learned in the field and stimulate discussion among grantees in the field, governments and civil society, and among the CEPF partners and the broader donor and NGO community. The outcomes of on-going monitoring and evaluation work, as well as documented experiences and lessons learned by grantees in designated Hotspots could all contribute to this strategy. All of the CEPF partners should help facilitate information sharing to this end, as well, so

- that in Washington, as well as in the critical regions, the CEPF can become a stimulus to innovative thinking about conservation.
- Management should begin to engage the Donor Council in a discussion about the future of the Fund. The road to conservation in the critical ecosystems of the world cannot be traveled in a mere five years, and the model CEPF is applying is proving to be of great worth. Both management and the Donor Council should take advantage of the evaluations and stock taking now underway to explore how best to extend the life of the Fund.
-

## Appendix 1. Quarterly Fund Report

### Critical Ecosystem Partnership Fund Summary Fund Statement As of March 31, 2003

<b>Revenue</b>	<b>Cumulative</b>
Funds Received	23,750,000
Pledges Receivable	12,500,000
Interest Earned	<u>380,209</u>
<b>Total Revenue</b>	<b>36,630,209</b>
<b>Expenses</b>	
Ecosystem Grants	26,457,994
Operations and Preparations	6,821,039
	<u>33,279,032</u>
<b>Total Expenses</b>	<b>33,279,032</b>
	<u><b>3,351,177</b></u>

#### FUND BALANCE AT THE END OF THE PERIOD CONSISTING OF:

Cash Net of Amount Due to CI	4,823,464
Pledges Receivable	12,500,000
Grants Payable	<u>(13,972,287)</u>
Fund Balance as of March 31, 2003	<u><b>3,351,177</b></u>

**Critical Ecosystem Partnership Fund**  
**Fund Statement**

As of March 31, 2003

<b>Revenue</b>	<b>Current Fiscal Year</b>	<b>Cumulative</b>
Funds Received	3,750,000	23,750,000
Pledges Receivable*	12,500,000	12,500,000
Interest Earned	95,953	380,209
	<hr/>	<hr/>
<b>Total Revenue</b>	16,345,953	36,630,209
 <b>Expenses</b>		
Grants:		
Guinean Forests of West Africa	1,266,901	4,998,666
Madagascar and Indian Ocean Islands	526,714	3,345,825
Tropical Andes	1,446,317	4,335,834
Atlantic Forest	1,494,394	1,556,444
Chocó-Darién-Western Ecuador	1,448,150	1,516,127
Mesoamerica	1,534,779	1,558,961
Philippines	1,858,704	2,394,410
Sundaland	2,388,309	2,794,305
Cape Floristic Region	2,688,193	3,271,076
Mountains of Southwest China	667,813	667,813
Succulent Karoo	18,532	18,532
	<hr/>	<hr/>
	15,338,807	26,457,994
Ecosystem Profile Preparation	1,305,197	3,443,007
Business Development, grant making, monitoring and evaluation, and knowledge management	1,625,926	3,378,032
	<hr/>	<hr/>
	2,931,123	6,821,039
<b>Total Expenses</b>	<b>18,269,929</b>	<b>33,279,032</b>
Excess of Revenue over Expenses	<b>(1,923,976)</b>	<b>3,351,177</b>
Fund Balance as of June 30, 2002	5,275,153	
<b>FUND BALANCE AT THE END OF THE PERIOD</b>	<b>3,351,177</b>	

**FUND BALANCE AT THE END OF THE PERIOD CONSISTING OF:**

Cash Net of Amount Due to CI	4,823,464
Pledges Receivable*	12,500,000
Grants Payable**	<u>(13,972,287)</u>
Fund Balance as of March 31, 2003	<u><u>3,351,177</u></u>

**Notes**

Cash disbursed to date equals funds received less cash balance --- \$18,926,535

\* Pledges receivable due as of March 31, 2003

\*\*Balance due on awarded grants

**Critical Ecosystem Partnership Fund**  
**Grant Summary - Analysis of Five year Spending Authority**

Inception through March 2003

**Spending Category: Ecosystem Grants**

<b><u>Cycle</u></b>	<b><u>Hotspot</u></b>	<b>Total Grants</b>	<b>Spending Authority</b>	<b>% of Authority</b>	<b>Active Years (%)</b>
1	Guinean Forests of West Africa	4,998,666	6,200,000	81%	45%
	Madagascar and Indian Ocean Islands	3,345,825	4,250,000	79%	45%
	Tropical Andes	4,335,834	6,150,000	71%	45%
2	Atlantic Forest	1,556,444	8,000,000	19%	25%
	Chocó-Darién-Western Ecuador	1,516,127	5,000,000	30%	25%
	Mesoamerica	1,558,961	5,500,000	28%	25%
	Philippines	2,394,410	7,000,000	34%	25%
	Sundaland	2,794,305	10,000,000	28%	25%
	Cape Floristic Region	3,271,076	6,000,000	55%	25%
3	Mountains of Southwest China	667,813	6,500,000	10%	15%
	Succulent Karoo	18,532	8,000,000	0%	5%
<b>Total Ecosystem Grants</b>		<b><u>26,457,994</u></b>	<b><u>72,600,000</u></b>	<b>36%</b>	

<b><u>By Grantee</u></b>	<b>Total</b>	<b>% of Total</b>	<b>% of Authority*</b>
<i>External Partners</i>	13,793,584	52%	21%
<i>Internal Partners</i>	<u>12,664,410</u>	<u>48%</u>	<u>20%</u>
<b>Total</b>	<b><u>26,457,994</u></b>	<b><u>100%</u></b>	<b><u>41%</u></b>

\*CI percentage cannot exceed 50% of the total authority of 72,600,000 (see page 1)



## Appendix 2. Approved Grants



### Approved Grants (January 2001 – To Date)

#### Atlantic Forest Hotspot Brazil

##### Strategic Direction 1: Stimulate landscape management initiatives led by civil society in the Central and Serra do Mar Corridors

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

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

##### **Using the Eco-Index to Allow Organizations Working in Neotropical Hotspots to Share Experiences and Glean Lessons from Colleagues**

Facilitate the exchange of information about experiences, challenges and best practices developed through various conservation projects throughout Central and South America, including CEPF-funded projects in the Atlantic Forest, Chocó-Darién-Western Ecuador, Mesoamerica and Tropical Andes hotspots. Project goals, experiences and information will be disseminated through the Eco-Index Web site in English, Spanish, and where relevant, Portuguese.

Funding: \$189,727.

Grant Term: 10/02 – 10/03

Grantee: Rainforest Alliance. Partners: US Fish and Wildlife Service, Fundación CR-USA, Spray Foundation, GEF Small Grants Program (SGP), Trust for Conservation in Guatemala, Mexican Fund for Nature Conservation.

\*Funding for this grant also came from the other hotspots listed above.

##### **Coordination of CEPF in the Atlantic Forest**

Play the lead role in facilitating the establishment of the Central and Serra do Mar biodiversity corridors. Activities include helping guide CEPF investment decisions in the region and strengthening the network of public and private sector conservation organizations, government agencies, nongovernmental organizations, companies and universities to facilitate partnerships and alliances to achieve biodiversity conservation goals.

Funding: \$511,471

Grant Term: 9/02 – 12/04

Grantee: Conservation International-Brasil. Partner: SOS Mata Atlântica

##### **Coordination of CEPF in the Atlantic Forest, Brazil-Preparation**

Develop a management strategy plan to most effectively and transparently implement the CEPF strategic objectives for the Atlantic Forest in Brazil. Coordinate with local and international partners in the region.

Funding: \$56,500

Grant Term: 5/02 – 7/02

Grantee: CI-Brazil Program. Partners: Fundação Biodiversitas, Fundação Mico Leão Dourado, Instituto de Estudos Sócio-Ambientais do Sul da Bahia, SOS Mata Atlântica

**Strategic Direction 3: Increase the number of private protected areas through civil society efforts****Program for the Support of Private Reserves (RPPNs) in the Atlantic Forest**

Support the creation of private reserves throughout the Central and Serra do Mar conservation corridors of the Atlantic Forest. This program will act as a grant-making program to local groups and organizations that will work directly with land owners to create reserves under the Brazilian RPPN mechanism.

Funding: \$674,318

Grant Term: 1/03 – 12/06

Grantee: SOS Mata Atlântica. Partners: Conservation International–Brasil, Associação Mico Leão Dourado, Instituto de Estudos Sócio-Ambientais do Sul da Bahia

**Strategic Direction 4: Create an Action Fund to improve civil society identification and management of critical habitats****Analysis and Ecological Relevance of Institutions in the Central Corridor of the Atlantic Forest**

In preparation for the establishment of a small grants mechanism in the Central Corridor of the Atlantic Forest, conduct an initial assessment of the presence, capacity, history and experience of nongovernmental organizations (NGOs) in the region. This project will also determine which areas are of greatest biological importance within the corridor and the overlap with current NGO activities.

Funding: \$20,000

Grant Term: 11/02 – 3/03

Grantee: Instituto de Estudos Sócio-Ambientais do Sul da Bahia

**Assessment and Capacity Building of NGOs Active in the Serra do Mar Corridor**

As preparation to manage the CEPF small grants program in this region, assess nongovernmental organizations (NGOs) working within the corridor, establish mechanisms necessary to run the small grants program and improve office infrastructure for future training programs.

Funding: \$73,580

Grant Term: 10/02 – 3/03

Grantee: Associação Mico Leão Dourado

## Cape Floristic Region Hotspot

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

#### **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, conducting the market research exercise and assisting with the development of a business plan.

Funding: \$10,000

Grant Term: 5/03 – 9/03

Grantee: Equals Three Communications. Partner: Africa Environmental News Service

\* Funding for this grant also came from the Succulent Karoo and Guinean Forests of West Africa hotspots.

#### **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 – 12/03

Grantee: Western Cape Nature Conservation Board. Partners: The Development Bank of South Africa, Conservation International – Southern Africa Hotspots Program, The Succulent Karoo Ecosystem Planning Project

#### **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–South Africa

#### **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. Partners: Western Cape Nature Conservation Board, Cape Bird Club, Western Cape Raptor Research Programme and the Avian Demography Unit of the University of Cape Town, Cape Lowlands Programme, Renosterveld Forum

#### **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. Partners: Department of Forestry, South African National Parks, Chrysalis Academy

#### **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. Partners: Eastern Cape Provincial Government Department of Economic Affairs, Environment and Tourism, Cape Action for the Environment stakeholders

#### **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. Partners: Numerous stakeholders associated with the Cape Flats area, in particular the City of Cape Town and the Botanical Society

#### **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. Partner: Western Cape Nature Conservation Board

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

##### **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. Partners: Francois Odendaal Productions, EcoAfrica Environmental Consultants, Flower Label Program, Western Cape Nature Conservation Board

##### **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. Partner: Fynbos Forum

##### **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. Partners: Western Cape Nature Conservation Board, Botanical Society of South Africa

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

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

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

#### **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: \$11,250

Grant Term: 11/02 – 3/03

Grantee: Durban Botanic Gardens. Partners: National Botanical Institute (South Africa), Aburi Botanic Gardens (Ghana), Botanic Gardens Conservation International, Missouri Botanical Garden, Southern Africa Botanical Network

\*Funding for this grant also came from the other hotspots listed above.

#### **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. Partners: Centre for Environment and Development (University of Natal), University of Montana, Wilderness Foundation, WILD Foundation, U.S. Forest Service, South African and Namibian nature conservation authorities, Game Rangers Association of Africa, Tourism and Hospitality Education Training Authority and many others

#### **Highlighting the Hotspots: Curating, Using and Sharing the C.A.P.E. Findings and other Biodiversity Data**

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. Partners: National Botanical Institute, Botanical Society of South Africa, Institute for Plant Conservation at the University of Cape Town, University of the Western Cape

#### **Support to CEPF 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: \$331,519

Grant Term: 7/02 – 6/04

Grantee: Conservation International-South Africa. Partners: Center for Environmental Leadership in Business, C.A.P.E. Coordination Unit

#### **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. Partners: C.A.P.E. Implementation Committee, comprised of government agency, municipality, NGO and university representatives

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

**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. Partners: C.A.P.E. Coordination Unit, C.A.P.E. stakeholders

**Chocó-Darién-Western Ecuador Hotspot  
Chocó-Manabí Conservation Corridor**

**Strategic Direction 1: Establish /strengthen local and regional mechanisms to foster corridor level conservation**

**Building a Global Constituency for Biodiversity Conservation**

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

**Regional Forum prior to the Summit for Ecology and Development in the Northern Region of Esmeraldas**

Support a meeting of more than 400 representatives from local and national organizations, government and the private sector through the Inter-Institutional Coordination Committee of San Lorenzo to discuss and recommend a conservation and development strategy for the Northern region of Esmeraldas.

Funding: \$9,900

Grant Term: 10/02 – 11/02

Grantee: Fundación Altropico. Partners: Inter-Institutional Coordination Committee of San Lorenzo, Ecuador Ministry of the Environment, German Development Agency, Proyecto Subir – USAID, Petroecuador

**Using the Eco-Index to Allow Organizations Working in Neotropical Hotspots to Share Experiences and Glean Lessons from Colleagues**

Facilitate the exchange of information about experiences, challenges and best practices developed through various conservation projects throughout Central and South America, including CEPF-funded projects in the Atlantic Forest, Chocó-Darién-Western Ecuador, Mesoamerica and Tropical Andes hotspots. Project goals, experiences and information will be disseminated through the Eco-Index Web site in English, Spanish, and where relevant, Portuguese.

Funding: \$189,727.

Grant Term: 10/02 – 10/03

Grantee: Rainforest Alliance. Partners: US Fish and Wildlife Service, Fundación CR-USA, Spray Foundation, GEF Small Grants Program (SGP), Trust for Conservation in Guatemala, Mexican Fund for Nature Conservation.

\*Funding for this grant also came from the other hotspots listed above.

**Building the Chocó-Manabí Conservation Corridor**

As the Chocó-Manabí Coordination Unit for CEPF, coordinate and catalyze the development of projects that, through the biogeographic and thematic priorities identified in the CEPF ecosystem profile, will have positive impacts on the region's biodiversity. The unit will strengthen the capacity for environmental management of governmental and non-governmental actors.

Funding: \$1,055,048

Grant Term: 7/02 – 6/05

Grantee: Conservation International-Andes Program. Partners: Corporación Autónoma del Valle de Cauca, Comité Departamental de Cafetaleros del Valle, Fundación Inguedé, Parques Nacionales Nacionales (Colombia), Universidad de Cauca, Ministerio de Medio Ambiente (Colombia), Instituto para la investigación y la preservación del patrimonio cultural y Natural del Valle del Cauca-INCIVA, Corporación Ecofondo, Fundación Proaves, Proyecto Pangan, Unidad Indígena del Pueblo Awá, Fondo Mundial para la Naturaleza, WWF, Unidad de Parques Nacionales Regional Noroccidental, Unidad de Parques Nacionales Regional Sur occidental, Instituto de Investigaciones Ambientales del Pacífico, Corporación Autónoma Regional del Cauca, Corporación Autónoma Regional de Nariño, Corporación Autónoma Regional para el Desarrollo Sostenible del Chocó, Corporación Vallecaucana de las Cuencas Hidrográficas y el Medio Ambiente, Red de Reservas Privadas de la Sociedad Civil, Fundación Espavé, Corporación Suna Hisca, Plan Pacífico, Fundación Yubarta, Fundación Natura, Fundación Ecovivero, Centro para la Investigación en Sistemas Sostenibles de Producción Agropecuaria, Corporación Serraniagua, Centro para la Cooperación al Indígena – Organización Indígena de Antioquia

**Preparing NGOs in Colombia and Ecuador for the Application Process in the Chocó-Manabi Conservation Corridor**

Conduct a series of workshops in Colombia and Ecuador to provide guidance to potential grantees on the CEPF application process and investment strategy for the Chocó-Manabi corridor.

Funding: \$62,427

Grant Term: 3/02 – 6/02

Grantee: CI-Andes Program

**Strategic Direction 3: Identify and promote sustainable development practices in communities near selected protected areas**

**Restoration of Mangrove Forests in Muisne, Ecuador**

Restore and monitor 13 hectares of mangrove forests in the buffer zone of the Mache Chindul Ecological Reserve that have been degraded by shrimp farming.

Funding: \$6,575

Grant Term: 5/03 – 5/04

Grantee: Fundación de Defensa Ecológica. Partners: Local community groups – Requema, Real Fortuna and Progreso

**Awacachi Corridor Project: Sustainable Community Development and Capacity Building**

Enable the development of an integrated landscape conservation approach for the Chocó-Manabi corridor area, whilst strengthening the institutional capacity of Fundación NYTUA to conserve and manage the biodiversity and ecological integrity in the Awacachi corridor.

Funding: \$330,066

Grant Term: 1/03 – 12/05

Grantee: Fauna & Flora International. Partners: Fundación NYTUA, Altropico

## **Guinean Forests of West Africa Hotspot Upper Guinean Forest**

### **Strategic Direction 1: Strengthen institutional capacities for conservation**

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

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

#### **Ankasa Exploration Base, southwestern Ghana**

Build an experiential learning center, the Ankasa Exploration Base, near the Ankasa Resource Reserve in southwestern Ghana to encourage school children and out-of-school youth to use their senses to explore the environment. Lessons are connected to the children's lives back home with clear possibilities for action in relation to building a more sustainable lifestyle.

Funding: \$250,600

Grant Term: 11/02 – 12/05

Grantee: Living Earth Foundation. Partners: Wildlife Division (Government of Ghana)

#### **Interim Support to the Management of Sapo National Park, Liberia**

Based upon experience gained and momentum begun under the Darwin- and WWF-funded program to restart management of Sapo National Park, continue supporting basic management of the park. This includes, for example, provision of basic training in protected area management skills to park staff and local volunteers; providing rudimentary motivational allowances and field rations; and installing basic park infrastructure.

Funding: \$136,193

Grant Term: 10/02 – 9/03

Grantee: Fauna & Flora International. Partners: Society for the Conservation of Nature of Liberia, Forest Development Authority (Government of Liberia)

#### **Phytomedica Network: Enhancing Exchange of Information**

Share information on sustainable use and conservation and management activities in ecosystems with high medicinal plant species diversity in Africa through Phytomedica, an information service to improve the exchange of ideas and information on medicinal plants conservation and natural products.

Funding: \$15,400

Grant Term: 7/02 – 6/03

Grantee: Conserve Africa Foundation. Partners: a wide range of institutions and individuals active as Phytomedica contributors

#### **Building Capacity for Biodiversity Conservation in West Africa**

Conduct capacity building with partner organizations in Ghana and Sierra Leone to improve capacity for biodiversity conservation and the development of conservation programs with national organizations in Côte D'Ivoire, Guinea and Liberia.

Funding: \$655,312

Grant Term: 1/02 – 12/04

Grantee: BirdLife International. Partners: Conservation Society of Sierra Leone, Ghana Wildlife Society, Guinée Ecologie, Royal Society for the Protection of Birds, Society for the Conservation of Nature of Liberia and a local group yet to be selected in Côte d'Ivoire.

### **Habitat Assessment, Ichthyological Inventory and Management Recommendations for High Priority Coastal Mangrove Zone and Fouta Djallon of Guinea**

Conduct inventory of fishes in the Fouta Djallon and coastal mangrove zone, including creating georeference and analysis through maps, databases and tissue samples. Provide technical assistance and equipment to local institutions to ensure sustainability of the project.

Funding: \$132,818

Grant Term: 1/02 – 6/04

Grantee: Museum of Natural History, University of Louisiana at Monroe. Partners: Centre national de Sciences Halieutiques de Boussoura, University of Kankan, University of Labe

### **Development of a National Biodiversity Strategy for Ghana**

Update the 1997 national biodiversity strategy to incorporate all the major initiatives that affect biodiversity conservation in the country. The Council for Scientific and Industrial Research in the Ghana Ministry of Environment, Science and Technology is also providing funding.

Funding: \$11,865

Grant Term: 11/01 – 8/02

Grantee: CI-West Africa Program. Partner: Government of Ghana

### **Strengthening Legal Capacity for Biodiversity Conservation and Management in Liberia**

Co-finance a Liberian environmental lawyer to pursue a graduate program in environmental law at Tulane University.

Funding: \$11,215

Grant Term: 8/01 – 8/02

Grantee: Green Advocates (The Association of Environmental Lawyers of Liberia)

### **Forest Conservation at Mount Peko, Côte d'Ivoire**

Conserve forests in the Peko-Nimba Highlands by building capacity in Mount Péko, training individuals and promoting interests with managers of other protected areas.

Funding: \$98,454

Grant Term: 6/01 – 5/02

Grantee: BirdLife International. Partners: Mont Péko National Park Management Unit and Government of Côte d'Ivoire (Directorate for Nature Protection, National Rural Development Agency)

### **Conservation of Biodiversity in Marahoué National Park, Côte d'Ivoire**

Establish park management systems to conserve biological diversity, ecological processes and productivity of the park.

Funding: \$360,787

Grant Term: 3/01 – 5/02

Grantee: CI-West Africa Program. Partner: Government of Côte d'Ivoire (Directorate of Nature Protection)

### **Ensuring Sustainable Funding for Conservation: An Analysis of Existing and Potential Conservation Finance Mechanisms for West Africa**

Assess and recommend finance mechanisms for conservation in Ghana, Côte d'Ivoire and Liberia, conduct workshop with stakeholders and facilitate implementation.

Funding: \$71,284

Grant Term: 1/01 – 6/02

Grantee: CI-West Africa Program

### **Strengthening the Role of Universities in Biodiversity Conservation in West Africa: An Analysis of Opportunities**

Conduct assessment of barriers that limit the involvement of academic institutions in conservation in Ghana and then develop and implement projects to strengthen the role of these institutions and build widespread support.

Funding: \$64,354

Grant Term: 1/01 – 6/02

Grantee: CI-West Africa Program. Partners: West African academic institutions

### **Strategic Direction 2: Hotspot Biodiversity Monitoring System**

**Acoustic Monitoring of Forest Elephants**

Develop and refine acoustic systems for assessing and monitoring local populations of forest elephants in Ghana's Kakum National Park. Detect and analyze elephant sounds, including infrasonic calls that are inaudible to human ears, to help researchers and conservationists generate abundance estimates and deduce population structure from acoustic information. This information will contribute to management strategies that will ensure the long-term survival of elephant populations.

Funding: \$75,000

Grant Term: 10/02 - 6/03

Grantee: Cornell University, Elephant Listening Project. Partner: Conservation International

**Liberia Sea Turtle Project**

Building on baseline data collected in 2000, conduct a survey in all the coastal communities from Sinoe to Maryland County and a series of communal meetings to gather basic data about sea turtles in this sector, including species identification, threats and potential for conservation of sea turtles and other endangered marine species.

Funding: \$6,500

Grant Term: 9/02 – 3/03

Grantee: Save My Future Foundation. Partners: National Bureau of Fisheries (Ministry of Agriculture)

**Increasing Our Knowledge of Biodiversity in Priority Areas of the Upper Guinean Forest through Biological Assessment**

Identify and train Rapid Assessment Program biologists, conduct two expeditions in the Haute Dodo region of southern Côte d'Ivoire and in a site in Liberia and publish the results of both assessments in French and English.

Funding: \$160,291

Grant Term: 12/01 – 12/03

Grantee: CI-West Africa Program. Partners: Selected NGOs, governments, universities in region

**Strategic Direction 3: Develop conservation corridors****Corridor Coordination – West Africa**

Maintain Conservation International's coordinating office in Abidjan, with the objective of establishing five biodiversity conservation corridors, thus expanding the range of conservation practices applied in a variety of land use contexts. The five corridors are partially defined by conservation priority areas as identified by experts at the 1999 priority-setting workshop. The proposed corridors contain more than 75% of the areas categorized as having the highest conservation priority in the Upper Guinean Forest.

Funding: \$350,776

Grant Term: 10/02 - 9/03

Grantee: Conservation International-West Africa Program. Partners: The project involves intensive coordination with stakeholders, including international and national conservation organizations, government agencies, the private sector, development organizations, local stakeholders and donors

**Implementation of Activities for Creating a Protected Area Network and Biodiversity Conservation Corridor in Liberia**

Support creation of a protected area system to include 1.5 million hectares of Liberia's remaining rain forest. Specific activities include providing management and expertise to plan and develop the network, recruiting and training appropriate staff, constructing and maintaining infrastructures at Sapo National Park and ensuring boundaries are demarcated, maintained and patrolled.

Funding: \$159,292

Grant Term: 7/02 – 6/03

Grantee: Society for the Conservation of Nature of Liberia. Partners: BirdLife International, Fauna and Flora International, Forest Development Authority (Government of Liberia), Conservation International

**Development of a Strategic Plan for the Establishment of International Corridors for Elephant Migration in West Africa**

Develop a plan for the management and protection of African elephant migration corridors across the countries of Western Africa, via a sub-regional workshop. The workshop will also determine next steps for implementation of the strategic plan.

Funding: \$46,432

Grant Term: 6/02 – 2/03

Grantee: IUCN-The World Conservation Union. Partners: IUCN/SSC African Elephant Specialist Group members, 13 West African governments

#### **Intensification of Liberia Forest Reassessment Project to Create New Conservation Areas in Liberia**

Complement and intensify the existing Liberia Forest Reassessment Project through additional surveys and new protected area proposals.

Funding: \$106,067

Grant Term: 5/02 – 10/02

Grantee: Fauna & Flora International. Partners: Conservation International, Society for the Conservation of Nature of Liberia

#### **Liberia: Laying the Foundation for the Creation of a Network of New Protected Areas in Liberia**

Form an alliance for conservation in Liberia, develop a strategy and implementation plan for the Conservation International-Government of Liberia agreement on protected areas and establish a protected area coordinating office in Monrovia.

Funding: \$100,784

Grant Term: 2/02 – 6/02

Grantee: CI-West Africa Program. Partners: Society for the Conservation of Nature of Liberia, WWF, Fauna & Flora International, Philadelphia Zoo, Government of Liberia (Forest Development Authority)

#### **West Africa Conservation Priority-setting Products and Dissemination**

In follow-up to the West Africa Conservation Priority Setting Workshop held in 1999, publish and widely distribute a French translation of the workshop report and a CD-ROM database, and create an interactive Web site.

Funding: \$78,145

Grant Term: 10/01 – 6/02

Grantee: CI-West Africa Program. Partners: NGOs, governments, donors throughout the region

#### **Long-term System for Monitoring the Illegal Killing of Elephants (MIKE)**

Coordinate and interpret data on the levels and trends in illegal killing of elephants to assist decision-makers. The European Union and the governments of Belgium, Japan and the United States are also supporting this project.

Funding: \$343,520

Grant Term: 2/01 – 12/03

Grantee: IUCN-The World Conservation Union. Partners: West Africa government wildlife departments and units charged with management of selected sites and protected areas

#### **Conservation Connections: Developing a Conservation Corridor for the Nimba Highlands and Sapo-Tai Complex in Western Côte d'Ivoire, Southeast Liberia and Eastern Guinea**

Create two biodiversity conservation corridors by establishing an office in Abidjan, developing and implementing a fundraising strategy and forming a committee to guide project development.

Funding: \$317,670

Grant Term: 1/01 – 6/02

Grantee: CI-West Africa Program. Partners: NGOs, governments, donors throughout the region

#### **Hunting to Extinction: Addressing the Bushmeat Crisis in Ghana**

Develop a comprehensive strategy to curb the bushmeat trade in Ghana and a handbook for the general public on endangered species and bushmeat trade issues. Review legal and traditional wildlife regulations.

Funding: \$493,249

Grant Term: 1/01 – 6/03

Grantee: CI-West Africa Program. Partners: Government of Ghana (Wildlife Division), traditional authorities

**Liberia Forest Reassessment**

Create a geographic information system database for Liberia's forests, train Liberian and international staff to interpret satellite images and create management plans for priority areas.

Funding: \$200,852

Grant Term: 1/01 – 12/03

Grantee: CI-West Africa Program. Partners: Fauna & Flora International, Government of Liberia (Forest Development Authority), Society for the Conservation of Nature of Liberia

**Strategic Direction 4: Collaborative public awareness, education and community outreach programs****National Public Awareness Campaign on the Bushmeat Trade in Liberia**

Create a national public awareness campaign about the trade in bushmeat. Involve local companies in a series of radio programs and live theater productions in rural communities.

Funding: \$67,955

Grant Term: 10/02 – 6/04

Grantee: Zoological Society of Philadelphia. Partners: Society for the Conservation of Nature of Liberia, the Forestry Development Authority, the National Environmental Commission of Liberia, University of Liberia, Cuttington University College, Talking Drums Studios, Flomo Theater Productions, Society Against Environmental Degradation

**Development of a Summer Camp**

Develop a summer camp that promotes conservation efforts and exposes both visitors and the local community to nature and environmental education.

Funding: \$25,970

Grant Term: 9/02 – 12/03

Grantee: Ghana Heritage Conservation Trust. Partners: Ghana Tourist Board, Wildlife Division of the Forestry Commission, University of Cape Coast

**Rural Bushmeat and Public Opinion Survey in Liberia**

Conduct a survey to evaluate biological, social and economic impacts of the bushmeat trade in select rural communities identified as sources for the urban bushmeat trade.

Funding: \$39,852

Grant Term: 6/02 – 5/03

Grantee: Zoological Society of Philadelphia. Partners: Society for the Conservation of Nature of Liberia, the Forestry Development Authority, the National Environmental Commission of Liberia, University of Liberia, Cuttington University College, Talking Drums Studios, Flomo Theater Productions, Society Against Environmental Degradation

**Healthy Ecosystems, Healthy People: Linkages Between Biodiversity, Ecosystem Health and Human Health**

Cover travel and full participation costs for individuals from biodiversity hotspots where the CEPF works to attend the Healthy Ecosystems, Healthy People conference.

Funding: \$27,200

Grant Term: 5/02 – 7/02

Grantee: University of Western Ontario. Partner: Center for Applied Biodiversity Science

\*Funding for this grant also came from the following regions: Atlantic Forest, Chocó-Darién-Western Ecuador, Madagascar, the Philippines and the Tropical Andes

**Reconstruction for Biodiversity Conservation, Research and Ecotourism in the Tiwai Island Wildlife Sanctuary, Sierra Leone**

In collaboration with local communities, construct facilities for scientific research and a visitor center at the Tiwai Island Wildlife Sanctuary in Sierra Leone. The project will be a model for protected area management and community development in the country.

Funding: \$250,930

Grant Term: 5/02 – 5/05

Grantee: Environmental Foundation for Africa. Partners: Local communities near Tiwai Island Wildlife Sanctuary

**Awareness Campaign on the Bushmeat Trade in Ghana**

Develop and implement a public awareness campaign in Ghana. Generate public debate on the bushmeat crisis and encourage journalists to write about the issue. This project includes development of a monitoring system.

Funding: \$97,186

Grant Term: 10/01 – 3/03

Grantee: CI-West Africa Program. Partners: Government of Ghana (Wildlife Division), traditional authorities

**Strategic Direction 5: Small Grants (Biodiversity Action Fund)**

**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, conducting the market research exercise and assisting with the development of a business plan.

Funding: \$10,000

Grant Term: 5/03 – 9/03

Grantee: Equals Three Communications. Partner: Africa Environmental News Service

\*Funding for this grant also came from the Cape Floristic Region and Succulent Karoo hotspots.

**Engaging the Private Sector in Conservation in Côte d'Ivoire**

Involve the private sector in conservation activities through public awareness tools such as a brochure and flyer for decisionmakers in the private sector and through meetings with private sector players.

Funding: \$9,100

Grant Term: 3/03 – 5/05

Grantee: Afrique Nature International

**Africa Environmental News Service: Phase Two – E-commerce Development and Market Research**

Develop a business plan for a new environmental news service designed to serve African and global audiences. The project will take place during the second phase of an AENS project to develop the news service.

Funding: \$10,000

Grant Term: 1/03 – 3/03

Grantee: Africa Environmental News Service

**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: \$11,250

Grant Term: 11/02 – 3/03

Grantee: Durban Botanic Gardens. Partners: National Botanical Institute (South Africa), Aburi Botanic Gardens (Ghana), Botanic Gardens Conservation International, Missouri Botanical Garden, Southern Africa Botanical Network

\*Funding for this grant also came from the other hotspots listed above.

**Bushmeat Awareness and Sustainable Development in Southeast Liberia Project**

Steer impoverished communities in three counties of Liberia away from slash and burn agriculture and hunting of wild animals toward the economic alternative of raising livestock. Activities include raising awareness about the unsustainable

bushmeat hunting; surveying local communities to determine acceptable alternatives to bushmeat that could be promoted in a future initiative and ultimately becoming involved in the management of buffer areas near protected areas.

Funding: \$9,978

Grant Term: 11/02 – 6/03

Grantee: Grand Gedeh Community Servant Association. Partner: Philadelphia Zoo

#### **Echoes of the Rain Forest**

Recruit talented local performance artists in eight communities surrounding National Kakum Park to be part of community performance groups who will inform target communities on issues related to biodiversity conservation through the use of music, dance and drama.

Funding: \$9,900

Grant Term: 10/02 – 6/03

Grantee: Agoro Centre for Intercultural Learning and Talent Development. Partners: Ghana Heritage Conservation Trust, Conservation International

#### **Preliminary Meeting to Establish Elephant Corridors between Ghana and Côte d'Ivoire**

Participate in a meeting at the Conservation International-Ghana office on the establishment of corridors for elephants between Ghana and Côte d'Ivoire and on a strategy to raise funds to conserve key areas.

Funding: \$1,000

Grant Term: 10/02 – 12/02

Grantee: Marcus Pieter Emilie Parren. Partner: Conservation International

#### **Protected Area Gap Analysis for the Upper Guinea Ecosystem – Contribution to Regional Workshop on Protected Areas in West and Central Africa**

Prepare background documents on the state of protected areas, gaps, opportunities and challenges for a regional workshop that will bring together protected area managers from West and Central Africa in preparation for the World Parks Congress in 2003.

Funding: \$5,650

Grant Term: 10/02 – 5/03

Grantee: Center for Applied Biodiversity Science at Conservation International. Partner: IUCN Regional Office for Central Africa

#### **Regional Workshop on Protected Areas in West and Central Africa**

Bring together protected area managers from West and Central Africa in preparation for the World Parks Congress in 2003. This project includes support for 10 people from five West African countries to attend the workshop.

Funding: \$10,000

Grant Term: 10/02 – 3/03

Grantee: IUCN-World Conservation Union. Partner: Center for Applied Biodiversity Science at Conservation International

#### **Support to Coordination of Biological Monitoring Program at Sapo National Park, Liberia**

Upgrade field and data analysis skills of Liberian staff implementing the biomonitoring program; ensure proper data analysis; expand, where possible, the program to new areas and provide training in these areas; and ensure monitoring results are incorporated in the five-year management plan for the park.

Funding: \$7,910

Grant Term: 1/02 – 4/02

Grantee: Fauna & Flora International. Partners: Society for the Conservation of Nature of Liberia, Government of Liberia (Forest Development Authority)

**Herpetological Survey in the Ghana-Togo Highlands**

Undertake a vertebrate field survey in the Ghana-Togo Highlands of the Upper Guinean Forests.

Funding: \$7,413

Grant Term: 7/01 – 9/01

Grantee: University of Würzburg. Partner: Government of Ghana (Wildlife Division)

**Photographic and Technical Field Support for Herpetological Survey of the Ghana-Togo Highlands**

Produce high-quality photographic images of a vertebrate field survey in the Ghana-Togo Highlands for use in illustrated report about the survey, other publications and the project's Web site.

Funding: \$3,535

Grant Term: 7/01 – 9/01

Grantee: University of Vermont. Partner: Government of Ghana (Wildlife Division)

**Madagascar and Indian Ocean Islands Hotspot  
Madagascar**

**Strategic Direction 1: Integrate local groups and individuals in the management of protected areas**

**Makira Forest Area Conservation Project**

At the request of the Government of Madagascar, assist in the creation and management of a new protected area in northeastern Madagascar. The future reserve is likely to aid in the conservation of a number of critically endangered species such as the Madagascar serpent eagle and three out of 11 varieties of Malagasy lemurs. Biodiversity and socioeconomic surveys will be conducted and the information used to demarcate the future protected area. A sustainable financing mechanism will be designed and funding sources identified.

Funding: \$201,771

Grant Term: 1/03 – 12/04

Grantee: Wildlife Conservation Society. Partner: Ministry of Water and Forests of Madagascar

**Catalyzing and Monitoring Community-based Forest Management of the Tandrofy Forests of Southern Madagascar**

Undertake work in four priority communes in the Spiny Forest of southern Madagascar to ensure that a participatory regional conservation action plan is adopted by conservation stakeholders in the Androy region and that an efficient method of transfer of management of natural resources using aerial photography is developed along with an appropriate monitoring system.

Funding: \$89,798

Grant Term: 11/02 – 4/04

Grantee: Centre Ecologique Libanona. Partners: WWF-Madagascar, Kiomba, Action Sante Organisation Secours, Circonscription Des Eaux et Forets, Tandrofy Conservation Trust

**Building a National Constituency for Bird and Biodiversity Conservation in Madagascar**

Establish a strong, independent and sustainable BirdLife network organization in Madagascar. Build the nucleus of an effective national conservation partner with enhanced staff capacity for institutional development and conservation of Important Bird Areas.

Funding: \$79,354

Grant Term: 7/02 – 6/03

Grantee: BirdLife International. Partners: ZICOMA, Directorate General/Ministry of Water and Forests, Conservation International

**Central Menabe Biodiversity: Plan for Protection of Nature's Rich Endowment through Development of a Regional Management Scheme**

Establish a regional management scheme for the highly endangered biodiversity in the Central Menabe region. A protected areas system will be based around the strategies and priority sites defined within the scheme.

Funding: \$94,900

Grant Term: 6/02 – 6/03

Grantee: Association Fanamby. Partners: Government of Madagascar (Ministry of Water and Forests, Ministry of Environment, ANGAP, Ministry of Tourism, Ministry of Territorial Management), WWF, Durrell Wildlife Conservation Trust

**Madagascar Community-based Wetlands Conservation Project**

Undertake community-based conservation in the wetland areas of Lake Befotaka, Lake Soamalipo and a project site in the Besalamy area. Develop wetland management strategies and plans, promoting sustainable fishing and forest use and conservation of the Madagascar fish eagle.

Funding: \$150,000

Grant Term: 10/01 – 9/04

Grantee: The Peregrine Fund. Partners: Fikambanana Fampanandrosoana Mamokatra Ankerika, Fikambanana Zanantany Adranobe Miray

**Natural Resource Management Program Between Loky and Manambato Rivers**

Establish programs to maintain healthy ecosystems between the rivers, empower communities in natural resource management and ensure long-term conservation of the golden-crowned sifaka.

Funding: \$369,636

Grant Term: 6/01 – 5/03

Grantee: Association Fanamby. Partners: Government of Madagascar (Ministry of Water and Forests), local communities

### **Biodiversity Knowledge Gathering**

Develop or support biodiversity studies, including inventories and studies on flagship and newly identified species. Create biodiversity research station.

Funding: \$258,770

Grant Term: 1/01 - 12/03

Grantee: CI-Madagascar Program. Partners: BirdLife International Madagascar Programme, Wildlife Conservation Society, WWF, Government of Madagascar (Ministry of Environment, ANGAP)

### **Forested Corridors Management**

Conduct regional priority-setting workshop for the Zahamena-Moramanga Corridor and design and implement program to monitor the corridor with government and local NGO partners.

Funding: \$149,612

Grant Term: 1/01 – 12/03

Grantee: CI-Madagascar Program. Partners: Government of Madagascar (Ministry of Water and Forests, Ministry of Environment, ANGAP)

### **Zahamena Protected Area Management**

Develop, implement and transfer operation plans for Zahamena National Park to the National Association for the Management of Protected Areas (ANGAP) and involve communities in related training and ecotourism activities.

Funding: \$283,404

Grant Term: 1/01 – 12/03

Grantee: CI-Madagascar Program. Partner: Government of Madagascar (ANGAP)

## **Strategic Direction 2: Enhance private sector conservation initiatives**

### **Sustainable Biodiversity Conservation in Key Areas of Madagascar Through Local Populations and Private Sector Implications**

Protect endangered species and habitat in Anala and Manantantely by creating an awareness of the need for sustainable resource management among local communities and authorities, and by providing alternative income opportunities for local communities through the development of private sector initiatives.

Funding: \$132,750

Grant Term: 8/02 – 8/04

Grantee: Man in the Environment (MATE). Partners: Label C.B.D., NAT, Rainforest Concern, LDI, Department of Water and Forests, ANGAP, ecotourism agencies, universities and local communities

### **Community Development and Natural Resource Management in Abohimahasina-Ikongo, southeastern Madagascar**

Reduce pressure on the forest by implementing micro-projects and establishing community forest groups and designations.

Funding: \$161,508

Grant Term: 10/01 – 5/04

Grantee: The Rainforest Foundation. Partners: Collaboration Commune Pour le Developpement – Namana, Landscape Development Interventions

### **Communities and Zahamena Protected Area**

Contribute to the management of biodiversity in the protected area by initiating and supporting small-scale enterprises and stimulating management plans for three adjacent regions.

Funding: \$161,500

Grant Term: 9/01 – 12/03

Grantee: Malagasy teknisiana mivondrona ho Aro sy TEzan'ny Zahamena ary ny Ala atsinanana (MATEZA). Partners:

Conservation International, Miray, Projet d'Appui à la Gestion de l'Environnement, Landscape Development Interventions

#### **Small-scale Initiatives Support**

Transfer implementation responsibility for involving local communities in the Zahamena Protected Area to NGOs and support local groups in involving local communities in corridor management.

Funding: \$174,924

Grant Term: 1/01 – 12/03

Grantee: CI-Madagascar Program. Partner: Malagasy teknisiana mivondrona ho Aro sy TEzan'ny Zahamena ary ny Ala atsinanana (MATEZA)

### **Strategic Direction 3: Biodiversity conservation and management training programs**

#### **Mapping the Vegetation of Madagascar**

Participate in a collaborative project to produce an accurate and updated vegetation map of Madagascar that can be used for conservation planning and natural resource management.

Funding: \$205,610

Grant Term: 1/03 – 12/05

Grantee: Royal Botanic Gardens Kew (\$152,500) and Center for Applied Biodiversity Science at Conservation International (\$53,110). Partner: Missouri Botanical Garden

#### **Study Tour to Washington DC for Malagasy Scholars from the University of Antananarivo**

Visiting Malagasy zoologists and field biologists will come from New Haven to DC to interact with various organizations working in the conservation domain on Madagascar (CI and WWF) and examine specimens in the Smithsonian Institution.

Funding: \$6,070

Grant Term: 7/02 – 7/02

Grantee: WWF-Ecology Training Program. Partner: University of Antananarivo

#### **Assessment of Priority Areas for Plant Conservation in Madagascar**

Identify Madagascar's key floristic regions, set priority areas for plant conservation within these regions and offer training opportunities for Malagasy students and professionals in applied conservation research.

Funding: \$203,712

Grant Term: 1/02 – 12/04

Grantee: Missouri Botanical Garden. Partners: Parc Botanique et Zoologique de Tsimbazaza, Centre National de la Recherche Appliquée au Développement Rural

#### **Ecology Training Program**

Mentor, support and build the capacity of Malagasy students by supporting degree programs in conservation science and other activities. This project also includes undertaking biological surveys.

Funding: \$124,500

Grant Term: 9/01 – 8/04

Grantee: WWF-Madagascar. Partners: Malagasy universities

#### **Biodiversity Conservation Training Program**

Develop new conservation biology and natural resources management components and integrate into university biology programs, and support post-graduate field study and research.

Funding: \$63,280

Grant Term: 1/01 – 12/03

Grantee: CI-Madagascar Program. Partner: University of Antananarivo

#### **Management Training**

Design and implement professional training program for select staff to more effectively create and implement conservation programs.

Funding: \$76,840  
 Grant Term: 1/01 – 12/03  
 Grantee: CI-Madagascar Program

#### **Strategic Direction 4: Public awareness and advocacy**

##### **Hope in Daraina**

Together with Association Fanamby, produce a video about the Daraina region in northeast Madagascar in English, French and Malagasy to publicize the natural resources of the area and actions being undertaken to conserve them.

Funding: \$25,119

Grant Term: 10/02 – 3/03

Grantee: Conservation International-International Communications Program. Partner: Association Fanamby

##### **Biodiversity Advocacy in Madagascar**

Develop and implement process for Madagascar protected areas network to be designated by UNESCO as World Heritage sites and design and implement a communications strategy agreed by strategic partners.

Funding: \$339,000

Grant Term: 1/01 – 12/03

Grantee: CI-Madagascar Program. Partner: WWF

#### **Strategic Direction 5: Small grants program (biodiversity action fund)**

##### **A Marketing Pilot for Community-based Tourism in Madagascar – Designing and Implementing a Pilot that can be Replicated Countrywide**

Support the marketing of community-based tourism in Madagascar by building a Web site to market tourism in Madagascar and by training and supporting a marketing officer from the Madagascar Expedition Agency, a Malagasy-owned tourism operator that would channel tourists to two local guides associations. The project is intended to serve as a pilot project that could be replicated throughout Madagascar in the future.

Funding: \$10,000

Grant Term: 2/03 – 12/04

Grantee: Eco-Africa Environmental Consultants. Partner: Madagascar Expedition Agency

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

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

Funding: \$11,250

Grant Term: 11/02 – 3/03

Grantee: Durban Botanic Gardens. Partners: National Botanical Institute (South Africa), Aburi Botanic Gardens (Ghana), Botanic Gardens Conservation International, Missouri Botanical Garden, Southern Africa Botanical Network

\*Funding for this grant also came from the other hotspots listed above.

#### **Strategic Direction 6: Create a participatory monitoring and coordination network**

##### **Increasing Knowledge-Decreasing Detriment: Improving the Monitoring and Management of Madagascar's Wildlife**

Identify priority species and groups of species in trade and gather baseline information on these species, current production systems, relevant economic variables and existing management measures. Design a monitoring and management system based on the data collected.

Funding: \$45,000

Grant Term: 3/02 – 6/03

Grantee: TRAFFIC International. Partners: CITES Secretariat, IUCN–The World Conservation Union, Government of Madagascar

##### **Knowledge Management: Information & Monitoring**

Staff and equip knowledge management program and develop and implement project cycle management.

Funding: \$153,680

Grant Term: 1/01 – 12/03

Grantee: CI-Madagascar Program. Partner: ARSIE Environmental Information Network

**Mesoamerica Hotspot****Southern Mesoamerica: Nicaragua, Costa Rica, Panama****Strategic Direction 1: Strengthen key conservation alliances and networks within integral corridors****Promoting Conservation for Regional Development and Unification: Scientific Research, Biological Monitoring and Capacity-building for Improved Management of Protected Areas**

Support organization of the First Mesoamerican Congress on Protected Areas and fund the participation of key regional experts. Congress participants will develop a joint position paper on protected areas for presentation at the World Parks Congress, revise the Central American Convention on Biodiversity and Protected Areas and elaborate a document on the current state of Mesoamerican protected areas.

Funding: \$23,159

Grant Term: 3/03 – 5/03

Grantee: Conservation International-Mesoamerica Program. Partners: Central American Commission of Environment and Development; Mesoamerican Biological Corridor; Regional Environmental Program for Central America; World Wildlife Fund; Ministry of the Environment and Natural Resources, Nicaragua; National Commission of Protected Natural Areas, Mexico; Ministry of Environment and Natural Resources, Guatemala; National Commission of Protected Areas, Guatemala; Ministry of the Environment and Energy, Costa Rica; Government of Belize; Secretary of Natural Resources and the Environment, Honduras; Ministry of the Environment and Natural Resources, El Salvador; National Authority of the Environment, Panama

**Building a Global Constituency for Biodiversity Conservation**

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

**Indigenous Peoples and Biodiversity Conservation in the Mesoamerican Hotspot**

Participate in the preparation of a CEPF ecosystem profile for northern Mesoamerica by providing data and other information regarding indigenous communities and their land-use practices. Conduct exploratory work in southern Mesoamerica to determine the best opportunities for linking indigenous communities with the conservation community with the aim of realizing collaborative projects in key areas within the priority areas.

Funding: \$90,000

Grant Term: 12/02 – 5/03

Grantee: Center for the Support of Native Lands. Partner: Conservation International-Mesoamerica Program

**Building the Southern Mesoamerica Conservation Corridor**

As the Coordinating Unit for CEPF, provide applicants with technical assistance to strengthen their project designs and develop logical frameworks to submit viable grant applications and assist grantees in their efforts to monitor project performance. The Coordination Unit will facilitate partnerships with other organizations, governmental agencies and other donors to develop the agenda for regional conservation.

Funding: \$1,053,010

Grant Term: 7/02 – 6/05

Grantee: Conservation International-Mesoamerica Program. Partners: Danish International Development Agency, Spanish International Development Agency, Austrian International Development Agency, GTZ, Rotary Foundation, Institute of Energy (Costa Rica), San Juan-La Selva Coalition, Osa Coalition, Costa Rica-USA Foundation, United Nations Development Programme, Talamanca/Osa/Bocas Regional Alliance

**Supporting the Integration of Civil Society into Conservation and Development Decision-making Processes at the Regional Level**

Support the integration and participation of civil society in the decision-making processes for conservation and development addressed in the regional forums convened by the Mesoamerican Biological Corridor, the Plan Puebla

Panamá (PPP) and the Central American Commission on Environment and Development. Conduct studies to determine priorities for conservation and to determine potential impacts of projects proposed by the PPP.

Funding: \$172,827

Grant Term: 7/02 – 7/05

Grantee: Conservation International-Mesoamerica Program. Partners: The Nature Conservancy, WWF, Wildlife Conservation Society, Central American Commission on Environment and Development, Resource Assessment Project of Central America, Zamorano University, IUCN-The World Conservation Union

#### **Preparing Southern Mesoamerican NGOs for CEPF Projects**

Conduct a series of workshops to provide guidance to nongovernmental organizations and other civil society groups on the CEPF application process and investment strategy for Southern Mesoamerica.

Funding: \$24,182

Grant Term: 3/02 – 8/02

Grantee: CI-Southern Mesoamerica

### **Strategic Direction 3: Promote awareness and conservation of flagship species**

#### **Plan for Control and Protection for the Corcovado and Piedras Blancas National Parks and their Surrounding Areas**

Coordinate with the government ministries of environment and security to conduct patrols of the Corcovado and Piedra Blancas national parks to reduce the incidence of illegal hunting, logging and fishing. Under this arrangement, CEPF will cover operating costs to conduct the park patrols, while the ministries will provide personnel and equipment.

Funding: \$51,382

Grant Term: 4/03 – 9/03

Grantee: Fundación Corcovado Lon Willing Ramsey Junior. Partners: Environment and Security ministries

#### **Using the Eco-Index to Allow Organizations Working in Neotropical Hotspots to Share Experiences and Glean Lessons from Colleagues**

Facilitate the exchange of information about experiences, challenges and best practices developed through various conservation projects throughout Central and South America, including CEPF-funded projects in the Atlantic Forest, Chocó-Darién-Western Ecuador, Mesoamerica and Tropical Andes hotspots. Project goals, experiences and information will be disseminated through the Eco-Index Web site in English, Spanish, and where relevant, Portuguese.

Funding: \$189,727.

Grant Term: 10/02 – 10/03

Grantee: Rainforest Alliance. Partners: US Fish and Wildlife Service, Fundación CR-USA, Spray Foundation, GEF Small Grants Program, Trust for Conservation in Guatemala, Mexican Fund for Nature Conservation.

\*Funding for this grant also came from the other hotspots listed above.

## Mountains of Southwest China Hotspot

### **Strategic Direction 1: Develop and operationalize hotspot-wide monitoring and evaluation projects**

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

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

#### **Establishing Partnerships for Lasting Conservation in the Mountains of Southwest China Hotspot**

Explore and develop operation strategies for CONSERVATION INTERNATIONAL-China in accordance with CEPF's strategy for this hotspot, introduce CEPF and CI to stakeholders in China, develop a participatory CEPF coordination mechanism and initiate CONSERVATION INTERNATIONAL-China conservation proposals.

Funding: \$273,905

Grant Term: 7/02 – 12/02

Grantee: Conservation International-Mainland Asia. Partner: Peking University

### **Strategic Direction 2: Support site-related projects led by civil society to mitigate key threats to natural areas and species populations**

#### **Black Market: The Trade in Endangered Species in Asia**

Provide funding to facilitate the production of a comprehensive publication on wildlife trade in Southeast Asia. The investigative report will document the devastating impact of this threat on endangered species and is intended to inform natural resource policies and protected area management.

Funding: \$10,000

Grant term: 12/02 – 6/03

Grantee: Conservation International-Mainland Asia. Partners: Conservation International's President's Office, Center for Applied Biodiversity Science at Conservation International, Wildlife Conservation Society, Wildaid, Ethnic Earth.com, Care for the Wild International and the Australian Embassy in Thailand

## The Philippines Hotspot

### **Strategic Direction 1: Improve linkage between conservation investments to multiply and scale up benefits on a corridor scale in Sierra Madre, Eastern Mindanao and Palawan**

#### **Conservation Assessment in Bataraza and Balabac, Palawan**

Identify populations of critical species in the mangrove forests of Bataraza and Balabac and determine the condition of these mangrove habitats as well as key threats and conservation opportunities.

Funding: \$10,000

Grant Term: 5/03 – 9/03

Grantee: Conservation International–Philippines Program. Partners: municipal governments of Balabac and Bataraza, the Palawan Wildlife Refuge and Conservation Center, WWF-Philippines, Philippine Cockatoo Conservation Project, Palawan State University and the Southern Polytechnic College of Palawan

#### **Development of Biodiversity Monitoring Project for Eastern Mindanao, the Philippines**

Assess what will be needed to set up a permanent biodiversity monitoring project to validate and track biodiversity and its conservation in Eastern Mindanao.

Funding: \$9,944

Grant Term: 4/03 – 8/03

Grantee: Philippine Eagle Conservation Program Foundation, Inc. Partners: University of the Philippines Mindanao, North Mindanao State Institute of Science and Technology

#### **Establishing an Educational Nature Park to Build Local Capacity for Restoring Wild Habitats**

Create an educational park where local communities and conservationists will learn how to restore natural forests and streams, while gaining awareness of the need to conserve Palawan's biodiversity. An estimated 5,000 native trees and shrubs will be planted in the course of the project.

Funding: \$9,760

Grant Term: 1/03 – 12/04

Grantee: Palawan Conservation Corps. Partners: The City Government of Puerto Princesa, U.S. Peace Corps, EarthCorps, local schools and communities

#### **Protected Area Design and Management of Core Nuclei within the Sierra Madre Biodiversity Corridor**

Provide any needed technical assistance and lobbying to support the signing of Presidential Proclamations to create protected areas with preliminary boundaries in Penablanca and Quirino. Once the protected areas have been established, ensure effective management is in place and that additional biological assessments are done to finalize the areas' geographic boundaries.

Funding: \$260,597

Grant Term: 9/02 – 8/03

Grantee: Conservation International–Philippines Program. Partners: Department of Environment and Natural Resources' Protected Areas and Wildlife Bureau and regional and provincial offices, Penablanca Protected Area Management Board, interim Quirino Protected Area Management Board

<b>Palawan</b>	<b>Strategy</b>	<b>Development</b>	<b>Project</b>
			Create a database to consolidate existing biological and abiotic information and coordinate creation of a strategy and map for Palawan conservation that includes five-year outcomes, risk of habitat loss and other spatial analysis, conclusions of the social, economic and policy assessment and recommended actions.
			Funding: \$458,385
			Grant Term: 6/02 – 5/03
			Grantee: CI–Philippines Program. Partners: Provincial Government of Palawan, Palawan Council for Sustainable Development, Department of Environment and Natural Resources, Palawan NGO Network Incorporated, Palawan State University, Holy Trinity College, Southern Polytechnic College of Palawan, Palawan Cockatoo Conservation Project, Southern Palawan Planning Council, University of the Philippines–Marine Science Institute, Palawan Wildlife and Refuge Center

#### **CEPF Conservation Strategy Preparatory Work in the Philippines**

Visit each priority area identified in the CEPF Philippines ecosystem profile, hold meetings with local NGOs and communities to introduce the CEPF, coordinate with international NGOs working on the ground in the Philippines and

identify potential partners.

Funding: \$73,430

Grant Term: 4/02 – 12/02

Grantee: CI-Philippines Program. Partners: Foundation for the Philippine Environment, UNDP Small Grants Program, Philippine Eagle Foundation, Mindanao Environment Forum and others

## **Strategic Direction 2: Build civil society's awareness of the myriad benefits of conserving corridors of biodiversity**

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

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

### **Launching of the Philippine Biodiversity Conservation Priority-setting Program Products and the July 2002 National Geographic Issues**

Organize an event to launch the results and products from the Philippine Biodiversity Conservation Priority-setting Program (PBCPP), including a final report, map and a CD-ROM. Include a presentation on the Network for Nature, which is the mechanism that will ensure that the PBCPP's results will be implemented.

Funding: \$64,532

Grant Term: 7/02 – 10/02

Grantee: Conservation International-Philippines Program. Partners: the Department of Environment and Natural Resources' Protected Areas and Wildlife Bureau, the Biodiversity Conservation Program of the University of the Philippines Center of Integrative and Development Studies, National Geographic Society

## **Strategic Direction 3: Build capacity of civil society to advocate for better corridor and protected area management and against development harmful to conservation**

### **Training for CEPF Grant Facilitation in the Philippines**

Bring the newly-hired CEPF Philippines Grant Manager to Washington for training in all aspects of grantmaking and for familiarization with CEPF's Washington DC-based operations. Upon completion of training, the Grant Manager will begin assisting the Asia Grant Director with all aspects of CEPF implementation in the Philippines.

Funding: \$5,005

Grant Term: 4/03 – 7/03

Grantee: Conservation International-Philippines Program

### **Finalization of the Implementing Rules and Regulations of the Wildlife Act (RA 9147), a Critical Step Towards the Establishment of Critical Habitats Identified by the Philippine Biodiversity Conservation Priority-setting Program (PBCPP)**

Support the coordination and facilitation of regional and national stakeholder consultation that will help ensure stakeholder involvement with the regulations of the Wildlife Act, to further promote the results of the PBCPP and advocate for the inclusion of the 71 priority areas as critical habitats under the act, and the smooth finalization of the act through administrative order.

Funding: \$25,565

Grant Term: 8/02 – 10/02

Grantee: Conservation International-Philippines Program. Partners: the Department of Environment and Natural Resources' Protected Areas and Wildlife Bureau, the Samar Island Biodiversity Project, Haribon Foundation, WWF-Philippines, the Palawan Council for Sustainable Development

*The project duration has been extended by one month.*

**Capacity Building for Financial Operations in CI-Philippines and CI-Indonesia**

Increase the capacity of Conservation International-Philippines and Conservation International-Indonesia to develop, manage and report on conservation projects. Focus on budget development and financial management elements required to ensure well-designed and managed projects through institutional capacity building, operational strengthening and increasing decentralization of project management.

Funding: \$129,594

Grant Term: 7/02 – 12/02

Grantee: Conservation-International-Indonesia

*Funding for this project increased \$5,000 from \$124,594 and the project duration has been extended by three months.*

\*Funding for this grant also came from the Sundaland hotspot.

**Strategic Direction 4: Establish an emergency response to mechanism to help save critically endangered species****Emergency Action for Endangered Species and Ecosystems in the Philippines**

Set up a small-grants program to help save critically endangered species outside the three geographic focal corridors in CEPF's Philippines Ecosystem Profile as well as build the capacity of civil society to appreciate the value of and act in favor of conservation in the Philippines.

Funding: \$1,000,000

Grant Term: 10/02 – 9/06

Grantee: Haribon Foundation for the Conservation of Natural Resources. Partners: BirdLife International

\* This grant is partially funded under Strategic Direction 3.

**A Strategy for the Threatened Birds of Asia**

Produce a framework for bird conservation in Asia that will be a key document for biodiversity conservation in the region for the next 10 years. Condense the vast source book *Threatened Birds of Asia* into a prospectus of about 150 pages and make it available to a large number of users as a book, CD-ROM and via the Internet.

Funding: \$231,023

Grant Term: 5/02 – 7/03

Grantee: BirdLife International. Partner: The BirdLife Asia Partnership, which has partner and affiliate organizations and a country program in 14 Asian countries

\*Funding for this grant also came from the Mountains of Southwest China and Sundaland hotspots.

**Succulent Karoo Hotspot  
Namibia and South Africa**

**Strategic Direction 5: Increase awareness of the Succulent Karoo hotspot**

**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, conducting the market research exercise and assisting with the development of a business plan.

Funding: \$10,000

Grant Term: 5/03 – 9/03

Grantee: Equals Three Communications. Partner: Africa Environmental News Service

\*Funding for this grant also came from the Guinean Forests of West Africa and Succulent Karoo hotspots.

**Formal Launching of the CEPF-funded SKEP Program in the Knersvlakte**

Officially launch CEPF investment in the Succulent Karoo hotspot through a special event to build awareness of CEPF's and the Succulent Karoo Ecosystem Program's commitment to conserving the hotspot and to help publicize the new availability of grants for civil society.

Funding: \$2,260

Grant Term: 3/03 – 4/03

Grantee: Conservation International-Southern Africa Hotspots Program

**Taking SKEP to a Finer Scale: Catalyzing Conservation Action in Geographic Priority Areas in the Succulent Karoo**

Conduct seven fine-scale Action Planning Workshops for the CEPF geographic priority areas in order to provide an open forum for generating a common vision for the Succulent Karoo Ecosystem Program (SKEP) and five-year plan of priority actions for conservation and sustainable development in each area.

Funding: \$16,272

Grant Term: 3/03 – 7/03

Grantee: Conservation International-Southern Africa Hotspots Program

**Strategic Direction 6: Create the capacity to catalyze the SKEP program**

**Facilitating the Transition from Conservation Planning to Action: Establishing SKEP Sub-regional Coordination Nodes**

Create a capacitated Succulent Karoo Ecosystem Program (SKEP) project management unit and team of champions that will build awareness and facilitate communication between enabling agencies and implementers, and will catalyze action in CEPF priority corridors as part of the development of a long-term SKEP Program for Conservation and Sustainable Development of the Succulent Karoo hotspot.

Funding: \$137,618

Grant Term: 4/03 – 6/03

Grantee: Conservation International-Southern Africa Hotspots Program. Partners: National Botanical Institute, Botanical Society of South Africa, Eco-Africa Environmental Consultants

**Sundaland  
Sumatra**

**Hotspot**

**Strategic Direction 1: Enhance stewardship of forest resources at district level and below**

**A Voice of Siberut: Publication and Dissemination of the Newspaper *Pualigoubat***

Support continued publication of the newspaper “Pualigoubat” on the Sumatran island of Siberut. With a circulation of more than 1,000, the newspaper published by a nongovernmental organization has become known as “the voice of Mentawains” in conserving their natural resources.

Funding: \$9,633

Grant Term: 4/03 – 8/03

Grantee: Yayasan Citra Mandiri. Partners: Local communities, Conservation International- Indonesia

**Establishing a Framework for Conserving the Northern Sumatra Conservation Corridor (NSC)**

Develop a project-level framework for taking the lead in conserving the Northern Sumatra Conservation Corridor, as well as identifying conservation outcomes (e.g. hectares/species targeted for conservation) in the corridor, which encompasses the Seulawah Ecosystem, the Leuser Ecosystem, the Western Toba Watershed and the Angkola region.

Funding: \$364,924

Grant Term: 3/03 – 7/03

Grantee: Conservation International-Indonesia. Partners: Governments of Aceh and North Sumatra provinces, the Leuser Development Programme, local nongovernmental organizations

**Assessment and Strategy for Protecting Wildlife and Timber Resources in the Gunung Leuser Ecosystem**

Assess natural resource law enforcement needs for protecting the Gunung Leuser Ecosystem in the Northern Sumatra Biodiversity Corridor. WildAid, with its extensive law enforcement experience, will partner with Conservation International-Indonesia for its extensive Indonesia experience.

Funding: \$260,440

Grant Term: 2/03 – 2/04

Grantee: WildAid (\$154,490) and Conservation International-Indonesia (\$105,950). Partners: Leuser Development Programme, local government agencies and nongovernmental organizations

**Incorporating Investment Strategies and Regional Planning into the Master Plan for CANOPI (the Conservation Action and Network Program) in Bukit Barisan Selatan**

Assist the Wildlife Conservation Society’s Indonesia Program in developing a more comprehensive, consensus-based master plan for CANOPI in and around Bukit Barisan Selatan National Park.

Funding: \$9,950

Grant Term: 10/02 – 12/02

Grantee: Greenomics. Partners: Wildlife Conservation Society, Watala, Alas, International Rhino Foundation, WWF-Indonesia, Bukit Barisan Selatan National Park, Lampung Regional Planning Board

**Workshop to Formulate Management Strategies for Bukit Tigapuluh National Park**

Develop a strategy together with local organizations for concerted conservation activities in the Jambi portion of the Tesso Nilo/Bukit Tigapuluh landscape and incorporate the results into the five-year vision map for the entire landscape, which CEPF will use as a guide to its grant making.

Funding: \$6,075

Grant Term: 10/02 – 12/02

Grantee: Conservation Information Forum (WARSI). Partners: Yayasan Alam Sumatera, Yayasan Bukit Tigapuluh, Yayasan Cakrawala, Gita Buana, Conservation International Indonesia

**Capacity Building for Financial Operations in CI-Philippines and CI-Indonesia**

Increase the capacity of Conservation International-Philippines and Conservation International-Indonesia to develop, manage and report on conservation projects. Focus on budget development and financial management elements required to ensure well-designed and managed projects through institutional capacity building, operational strengthening and increasing decentralization of project management.

Funding: \$129,594

Grant Term: 7/02 – 12/02

Grantee: Conservation-International-Indonesia

*Funding for this project increased \$5,000 from \$124,594 and the project duration has been extended by three months.*

\*Funding for this grant also came from the Philippines hotspot.

#### **A Strategy for the Threatened Birds of Asia**

Produce a framework for bird conservation in Asia that will be a key document for biodiversity conservation in the region for the next 10 years. Condense the vast source book *Threatened Birds of Asia* into a prospectus of about 150 pages and make it available to a large number of users as a book, CD-ROM and via the Internet.

Funding: \$231,023

Grant Term: 5/02 – 7/03

Grantee: BirdLife International. Partner: The BirdLife Asia Partnership, which has partner and affiliate organizations and a country program in 14 Asian countries

\*Funding for this grant also came from the Mountains of Southwest China and Philippines hotspots.

#### **CANOPI: A Road Map for Future Management at Bukit Barisan Selatan National Park, Indonesia**

Hold a series of workshops and meetings to garner stakeholder support for the CANOPI project, which is designed to provide conservation capacity building in and around Bukit Barisan Selatan National Park. Next steps will include a needs assessment, construction of a central database, the production of a province-wide book on biodiversity conservation and coalition building through a clear definition of roles and responsibilities.

Funding: \$65,970

Grant Term: 7/02 – 10/02

Grantee: Wildlife Conservation Society. Partners: Watala, Greenomics, Alas, International Rhino Foundation, WWF-Indonesia, IHSA, Taman Nasional BBS (national park service), BAPPEDA Lampung (regional planning board) and others

#### **Economic Analysis for Forest Concessions in Tesso Nilo, Sumatra**

Synthesize existing information on the political and legal context for protecting the forests of Tesso Nilo and analyze the political, legal and economic feasibility of potential conservation concessions as a means of forest protection.

Funding: \$32,085

Grant Term: 5/02 – 8/02

Grantee: CI-Indonesia Program. Partners: Greenomics, WWF-Indonesia

#### **CEPF Conservation Strategy Preparatory Work in Sumatra**

Conduct visits to three of the four priority sites identified and meet with local and international NGOs and communities to introduce the CEPF and to identify potential partners. Develop baseline maps for the areas and conduct a workshop to develop agreed-upon maps illustrating five-year vision for these areas.

Funding: \$142,891

Grant Term: 1/02 – 6/02

Grantee: CI-Indonesia Program. Partners: Fauna & Flora International, WWF-Indonesia, Wildlife Conservation Society Indonesia Program, Kawasan Seulawah Lestari, WARSI, Lembaga Alam Tropika Indonesia, Yayasan Citra Mandiri, UNESCO, Yayasan Citra Lestari Indonesia

#### **Technical Assistance to WWF Indonesia to Secure the Tesso Nilo Conservation Landscape**

Focus the efforts of the province's conservation groups on the Tesso Nilo conservation landscape to make best use of their respective constituency, skills and motivation and ultimately, result in a suite of proposals to secure Tesso Nilo as a protected area.

Funding: \$165,050

Grant Term: 1/02 – 12/02

Grantee: Conservation Management LTD. Partners: WWF-Indonesia and the Association of Riau NGOs (Jikalahari), an alliance of 23 NGOs and three nature groups

## **Strategic Direction 2: Empower civil society to organize in favor of conserving biodiversity**

### **Campaign Against Illegal Logging in Karo Forest Reserve of the Leuser Ecosystem**

Collect information on illegal logging in Karo, which is part of the buffer zone of the Leuser Ecosystem in the Northern Sumatra Conservation Corridor. Results will be brought to the attention of local communities and decisionmakers in hope of gaining their support to combat illegal logging.

Funding: \$9,785

Grant Term: 4/03 – 8/03

Grantee: Yayasan Perlindungan Lingkungan Hidup dan Pelestarian Alam (Yayasan Palapa). Partners: Leuser Management Unit, Conservation International-Indonesia

### **Incorporating Local Stakeholders & Conservation into Riau's Provincial Spatial Planning Process**

This project will enlist local stakeholders in Riau's Provincial Spatial Planning (PSP) process, which at this time poses allocation of almost 50% of remaining natural forests to commercial concessions. The grantee hopes the project will result in stakeholders advocating for revision of the PSP in favor of conservation.

Funding: \$46,274

Grant Term: 4/03 – 9/03

Grantee: Yayasan Kaliptra. Partners: ATTR, a coalition of NGOs concerned with spatial planning, and Greenomics, plus stakeholders in seven districts in Riau, provincial and local legislative bodies, and other relevant government institutions

### **Empowering Local Stakeholders to Support Cancellation of PT Bhara Induk Timber Concession in Sumatra's Angkola Forest**

Garner the support of local communities for securing the 50,000-hectare PT Bhara Induk timber concession as a protected forest in the Angkola region of the Northern Sumatra Conservation Corridor.

Funding: \$9,960

Grant Term: 3/03 – 6/03

Grantee: Participatory Natural Resources Conflict Network (PeaceWork). Partners: Yayasan Biota Lestari, Yayasan Cipta Citra Lestari, Conservation International-Indonesia

### **Anti-Poaching Patrols for Rhinos, Tigers and Other Megafauna within Sumatra's Bukit Barisan Selatan National Park and Ecosystem**

Continue and expand existing forest patrols that protect rhinos, tigers and elephants in the Bukit Barisan Selatan National Park and ecosystem. Deliverables include confiscation of traps, apprehension and prosecution of poachers, and an evaluation of the patrols' effectiveness.

Funding: \$372,710

Grant Term: 1/03 – 12/03

Grantee: International Rhino Foundation. Partners: Konservasi Badak Indonesia (Indonesian Rhino Conservation Program); Yayasan Mitra Rhino (Rhino Foundation of Indonesia); WWF-Indonesia; WWF-US; Wildlife Conservation Society; American Association of Zoo Keepers Bowling for Rhino Program; IUCN/SSC Asian Rhino Specialist Group; Directorate General of Nature and Biodiversity Conservation of Indonesia; U.S. Fish and Wildlife Service Rhinoceros & Tiger Conservation Fund

### **Nanggroe Aceh Darussaleam (NAD) Conservation Policy Initiative**

Re-establish Conservation International-Indonesia's physical presence in Sumatra's civil war-torn Aceh Province and rally key decisionmakers and stakeholders to act in favor of conserving Aceh's forests and wildlife. A key output will be an assessment of the conservation and economic options for mitigating threats to biodiversity.

Funding: \$222,220

Grant Term: 1/03 – 7/03

Grantee: Conservation International-Indonesia. Partners: Ministry of Environment, Ministry of Forestry, Government of NAD, The Nature Conservancy Indonesia, WWF-Indonesia, Wildlife Conservation Society Indonesia Program, Fauna and Flora International Indonesia Program, BirdLife Indonesia, Wetlands International Indonesia Program, International Marinelife Alliance, The Tiger Foundation and local organizations

### **Organizing Local Communities to Advocate for Cancellation of Forest Concession in Bukit Tigapuluh National Park**

Build the capacity of local people to advocate and publicize the need for cancellation of a forest concession in the northwest of Sumatra's Bukit Tigapuluh National Park.

Funding: \$9,985

Grant Term: 12/02 – 3/03

Grantee: Yayasan Alam Sumatera. Partners: WARSI and WWF-Indonesia

#### **Reassessment of Indonesia's Biosphere Reserves on Sumatra**

Support and play a leadership role in a MAB Biosphere Reserve Workshop in Indonesia, with particular regard to Sumatra's Leuser Ecosystem and Siberut Island. The project's purpose is to strengthen linkages among stakeholders working toward conserving the reserves.

Funding: \$7,500

Grant Term: 12/02 – 2/03

Grantee: Conservation International-Indonesia. Partners: more than 50 workshop participants, including government agencies (Ministries of Environment, Forestry and Tourism), managers of Indonesia's six national parks and biosphere reserves, UNESCO, the World Bank and relevant nongovernmental organizations

#### **Investigation and Campaign About Biodiversity Concerns Related to the Ladiagalasko Road Development Plan**

Prevent additional forest loss in the Leuser ecosystem by informing decision makers about the environmental consequences of the Ladiagalasko Road. Conduct research and interviews during a five-day trip in the area of the road development and produce a report to be used as a tool to inform the project. The trip will include members of the media, nongovernmental organizations and parliament.

Funding: \$10,000

Grant Term: 9/02 – 12/02

Grantee: Sekretariat Kerjasama Pelestarian Hutan Indonesia. Partners: Walhi, Forest Watch, Sawit Watch, Aman, Telepak

#### **Building the Capacity of NGOs to Conserve Forests and Species in Sumatra's Tesso Nilo/Bukit Tigapuluh Conservation Corridor**

Raise the capacity of an alliance of nongovernmental organizations (NGOs) in Sumatra's Riau and Jambi provinces to effectively discuss biodiversity considerations in land use and land tenure issues with decision makers at all levels of government, key stakeholders and national and international media.

Funding: \$186,674

Grant Term: 7/02 – 6/03

Grantee: WWF-Indonesia. Partners: Conservation Management Ltd. and the Association of Riau NGOs (Jikalahari), an alliance of 23 nongovernmental organizations and three nature groups

#### **CEPF Support of Local Partners in Sumatra**

Support for the position of a local grant manager who will help build capacity of potential grantees in Sumatra to complement the work of existing CEPF grantees and to increase successful applications for grants. This position will also work with grantees to ensure accurate and productive monitoring and evaluation of CEPF-funded projects.

Funding: \$128,000

Grant Term: 7/02 – 6/03

Grantee: Conservation International-Indonesia. Partners: Conservation Management Ltd., WWF Indonesia, Wildlife Conservation Society, ATTR/Kaliptra, WARSI, Greenomics Indonesia and dozens of organizations at the district level and below

### **Strategic Direction 3: Build alliances among conservation-minded groups in civil society and the private sector**

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

Implement series of targeted public awareness and education campaigns in the following hotspots: Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, the Philippines and Sundaland. 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: \$1,993,855

Grant Term: 1/03 – 6/06

Grantee: RARE Center for Tropical Conservation (\$1,569,030) and Conservation International-International Communications Department (\$424,825).

\*Funding for this grant also came from the other hotspots listed above.

**Workshop on Planning and Implementing Conservation Efforts in the Seulawah Ecosystem**

Organize a workshop with local nongovernmental organizations (NGOs) to reach a consensus on how NGOs will work together to conserve biodiversity in the Seulawah ecosystem of North Sumatra.

Funding: \$5,546

Grant Term: 12/02 – 1/03

Grantee: University of Syiah Kuala. Partners: Fifteen local NGOs

**Workshop to Finalize Vision Map and Development of Project Design for Tesso Nilo Bukit Tiga Puluh (TNBT) Landscape**

Support for a workshop in which key stakeholder organizations will come together in Tesso Nilo/Bukit Tigapuluh to finalize the creation of a consensus-made five-year vision map to guide CEPF investment in the region.

Funding: \$3,789

Grant Term: 11/02 – 12/02

Grantee: Riau Mandiri. Partners: WWF-Indonesia and more than a dozen organizations from Riau and Jambi provinces

**Strategic Direction 4: Assess impact of conservation interventions at district level and below**

**Survey of the Distribution of the Orangutan and the Thomas Leaf Monkey in the Seulawah Ecosystem**

Survey the presence of orangutans (*Pongo abelii*) and Thomas leaf monkeys (*Presbytis thomasi*) in the Seulawah Ecosystem, including three protected areas and two virgin forest tracts.

Funding: \$5,023

Grant Term: 4/03 – 8/03

Grantee: Yayasan Ekologi Konservasi Nanggroe Aceh (Yayasan EKONA). Partners: Leuser Management Unit, Conservation International-Indonesia

**Assessment and Boundary Setting for High-Value Conservation Forests in Angkola, Northern Sumatra**

Assess the biodiversity of Angkola and the boundaries of forest tracts of high biodiversity. The Angkola region is thought to be a valuable part of the northern Sumatra biodiversity corridor though little of its current biodiversity has been documented.

Funding: \$9,333

Grant Term: 11/02 – 1/03

Grantee: Yayasan Biota Lestari. Partners: Mitra Angkola or Angkola Partners, a consortium of local groups and nongovernmental organizations

**Building Capacity of Locals to Conduct Biodiversity Surveys in Angkola, Northern Sumatra**

Train local people in biodiversity survey methods to assess the conservation status of key sites in northern Sumatra, complementing and assisting a similar CEPF-funded initiative by Yayasan Biota Lestari in Sumatra's Angkola region.

Funding: \$10,000

Grant Term: 11/02 – 4/03

Grantee: Yayasan Cipta Citra Lestari Indonesia. Partners: Yayasan Biota Lestari

**Employment of Options in Riau Province**

Conduct a study of employment connected with forest sector industries in Riau Province, Sumatra with emphasis on the Tesso Nilo Forest as part of a feasibility study for conservation concession potential.

Funding: \$49,432

Grant Term: 8/02 – 11/02

Grantee: WWF-US. Partner: Center for International Forestry Research

**Conservation Assessment and Management Plan for Threatened Sumatran Species and Red List Assessment of Threatened Reptiles and Freshwater Fish**

Conduct a Red List assessment of fresh water fish and reptiles in Sumatra that have yet to be assessed. Work will be done with species experts to develop broad recommendations for research and management of these and other already assessed species to result in well-targeted activities to address threats affecting those species.

Funding: \$101,198

Grant Term: 7/02 – 12/02

Grantee: Conservation International-Indonesia. Partner: IUCN/SSC Conservation Breeding Specialist Group

**Tropical Andes Hotspot  
Vilcabamba-Amboró Conservation Corridor**

**Strategic Direction 1: Transboundary coordination, collaboration and catalytic action**

**Monitoring Conservation Outcomes in the Vilcabamba-Amboró Corridor**

Organize and generate data to develop predictive models that show the spatial distribution of major habitat types in the region and indicate how future development will impact biodiversity. Using these tools, identify critical habitats as priorities, develop monitoring frameworks and assist conservation managers to effectively mitigate the impacts of negative impacts of future development on biodiversity.

Funding: \$355,196

Grant Term: 9/02 – 12/05

Grantee: Friends of the Museo de Historia Natural Noel Kempff Mercado. Partners: Museo de Historia Natural Noel Kempff Mercado, Instituto de Ecología, Fundación Amigos de la Naturaleza, La Molina University, Asociación Peruana para la Conservación de la Naturaleza

**Transboundary Coordination Mechanism for the Vilcabamba-Amboró Corridor**

Develop corridor conservation strategy and seek agreement by stakeholders, formalize transboundary coordinating body, and develop and implement strategy to raise long-term funds for corridor conservation.

Funding: \$800,000

Grant Term: 1/01 – 12/02

Grantee: CI-Andes Program. Partners: Instituto Nacional de Recursos Naturales, Servicio Nacional de Áreas Protegidas, Pronaturaleza, Asociación Peruana para la Conservación de la Naturaleza, WWF, Tropico, Fundación para el Desarrollo del Sistema Nacional de Áreas Protegidas, Fondo Nacional de Áreas Protegidas, Fundación Amigos de la Naturaleza, The Nature Conservancy, Wildlife Conservation Society, Federación Nativa del Río Madre de Dios y Afluente, Federación Agraria Departamental Madre de Dios

**Strategic Direction 2: Strengthening bi-national coordination of protected area systems**

**Creation and Effective Management of Forest Protected Areas in Peru**

Through a debt-for-nature swap between the U.S. and Peruvian governments to guarantee long-term funding for protected areas, contribute funding for protection of three parks (Manu National Park, Amarakaeri Communal Reserve and Alto Purus Reserved Zone) in the Vilcabamba-Amboró Corridor. This grant is expected to leverage \$3.5 million in local currency over the next 12 years for grants to local Peruvian organizations to carry out activities related to the effective management of these protected areas.

Funding: \$236,000

Grant Term: 10/02 – 10/04

Grantee: WWF. Partners: The Nature Conservancy, CI, U.S. and Peruvian governments; Peruvian National Trust Fund for Natural Protected Areas, The Mountain Institute

**Improving Management and Consolidation of Selected Protected Areas within the Vilcabamba-Amboró Corridor**

Consolidate Bahauja-Sonene, Madidi, Tambopata, Pilon Lajas and Apolobamba protected areas by finalizing their management plans and initiating management plan implementation.

Funding: \$400,000

Grant Term: 1/01 – 12/02

Grantee: CI-Andes Program. Partners: Instituto Nacional de Recursos Naturales, Servicio Nacional de Áreas Protegidas

**Strategic Direction 3: Encourage community-based biodiversity conservation and natural resource management**

**Formalizing Forest Access and Implementing Sustainable Brazil Nut Management in Madre de Dios, Peru**

Develop and implement a forest management model that conserves the Brazil nut forests in the Vilcabamba-Amboró corridor in Madre de Dios, Peru by protecting the forests' size and integrity, while improving the standard of living of Madre de Dios Brazil nut producers.

Funding: \$163,963

Grant Term: 11/02 – 11/04

Grantee: Amazon Conservation Association. Partner: INRENA

**Sustainable Development and Natural Resource Conservation Capacity-building in Indigenous Community Groups in the Buffer Zones of Madidi National Park, Bolivia**

Help achieve the objectives of the Sustainable Development Plan for the Tierras Comunitarias de Origen Tacana by increasing awareness and education on such issues as sustainable development of lands and promotion of ecologically sound economic alternatives. Build capacity within communities to organize and ensure complementary conservation efforts.

Funding: \$48,215

Grant Term: 9/30/02

Grantee: Wildlife Conservation Society. Partner: Consejo Indigena del Pueblos Tacana

**Prevention of Human-Induced Forest Fires in Madidi and Apolobamba National Parks**

Establish partnerships with community-based organizations and cattle ranchers' association to promote the importance of controlling burning and involve these organizations in the development of sustainable natural resource practices. Conduct workshops, lectures and other activities and strengthen the capacities of local institutions to establish effective control of burning.

Funding: \$193,743

Grant Term: 8/02 – 11/03

Grantee: CARE Bolivia. Partners: Municipalities of Apolo, Guanay, Ixiamas, San Buenaventura and Reyes and the Madidi National Parks Service

**Project Polylepis**

Help protect key polylepis forest areas, reforest high altitude watersheds with polylepis and develop community-based conservation programs to support these efforts.

Funding: \$9,500

Grant Term: 5/02 – 5/03

Grantee: American Bird Conservancy. Partner: Association for the Conservation of Andean Ecosystems

**Reducing Deforestation in the Buffer Zone of Bolivia's Madidi National Park: Promoting the Cultivation, Manufacture and Use of Bamboo Products**

Establish capacity-building centers to guide local communities in the sustainable cultivation of bamboo, as well as the manufacture and marketing of bamboo products at the local, regional and national levels.

Funding: \$51,300

Grant Term: 5/02 – 5/03

Grantee: Central de Pueblos Indigenas de La Paz. Partners: Leco Community Indigenous People, communities of Tomachi and Inca, municipalities of Apolo and Guanay

**Biodiversity Conservation and Integrated Management of the Resources of Amboró National Park, Bolivia**

Undertake a participatory process in local communities to address conservation needs and sustainable practices in critical habitats.

Funding: \$120,700

Grant Term: 4/02 – 2/04

Grantee: PROBIOMA. Partners: Communities of the buffer zone of Amboró National Park, including Verdecillos, San Juan del Potrero, Paredones, Santa Rosa and Espejitos

**Learning Host to Host: Ecotourism Exchanges in the Tropical Andes**

Bring together leaders of three ecotourism lodges with four communities in Ecuador, Peru and Bolivia to share lessons learned on ecotourism and ultimately compile best practices to share with other communities and private companies.

Funding: \$143,895

Grant Term: 11/01 – 9/03

Grantee: SelvaReps S.A.C. Partners: Achuar, Ese'ejá, Mestizo and Quechua-Tacana communities

**Developing a Natural Resource Management Program in Four Communities of the Vilcabamba-Amboró Corridor**

Through a participatory process, train communities and interested families in natural resource management by developing and initiating projects in select localities.

Funding: \$500,000

Grant Term: 1/01 – 12/02

Grantee: CI-Andes Program. Partners: Central Cooperative of Sandia Valley; Federación Nativa del Río Madre de Dios y Afluente; Federación Agraria Departamental Madre de Dios; Asociación de Extractores de Castaña, Bolivian communities of El Tigre, Pocoata, Yurubamba, Tomoyo, San Miguel, Nuevos Horizontes, Alto Colorado; Peruvian communities of Santa Rita Baja and Alta, Primavera Alta, San Miguel

#### **Strategic Direction 4: Strengthen public awareness and environmental education**

##### **School-based Conservation: A Network of Partnerships in the Vilcabamba-Amboró Corridor. Phase One: Pilon Lajas, Madidi and Apolobamba**

Strengthen the role of educational units in conservation through the training of teachers, the development of school-based environmental programs that mobilize entire communities and the establishment of a network of cooperation and information exchange among educational units and teachers.

Funding: \$78,980

Grant Term: 1/03 – 12/04

Grantee: Instituto para la Conservación y la Investigación de la Biodiversidad. Partner: Servicio Departamental de Educación

##### **Enhancing Public Awareness for Improved Management of the Machu Picchu Sanctuary and its Surrounding Environment**

Conduct a comprehensive public awareness campaign about the sanctuary, including creation of a documentary film and development and distribution of press releases and media kits, a newsletter and radio and television spots.

Funding: \$56,298

Grant Term: 2/02 – 3/03

Grantee: Instituto Machu Picchu. Partners: Machu Picchu Program, San Antonio Abad National University of Cusco

##### **Building Awareness of the Vilcabamba-Amboró Corridor**

Stimulate and support good environmental reporting on the rich biodiversity of the Vilcabamba-Amboró Corridor in Peru and Bolivia and efforts to conserve it. Activities include workshops for print, radio and television journalists, development of a mechanism for information exchange and distribution of awards for conservation reporting.

Funding: \$48,449

Grant Term: 11/01 – 12/03

Grantee: International Center for Journalists. Partners: Conservation International, Chalalan Lodge-Bolivia

##### **Developing a Communication Strategy for the Vilcabamba-Amboró Corridor**

Develop and implement a communication strategy to strengthen awareness of the conservation corridor and its importance and ultimately create a broad constituency for its conservation.

Funding: \$407,475

Grant Term: 1/01 – 12/03

Grantee: CI-Andes Program. Partners: International Center for Journalists; Servicio Nacional de Áreas Protegidas; Instituto Nacional de Recursos Naturales, Peruvian and Bolivia media

#### **Strategic Direction 5: Strengthening environmental and legal policy frameworks**

##### **Disseminating and Implementing Legal Tools for Conservation in the Private Sector in the Vilcabamba-Amboró Corridor**

Promote the use of conservation instruments such as conservation concessions, private reserve establishment and concessions for environmental services for land protection on the Peruvian side of the Vilcabamba-Amboró Corridor as a complement to current government-sponsored conservation initiatives. Activities include an outreach campaign to the nongovernmental sector on Peru's new legislation that underpins such instruments, training for government officials on processing applications and publication of a guide on applying for conservation instruments.

Funding: \$69,384

Grant Term: 11/02 – 9/03

Grantee: Sociedad Peruana de Derecho Ambiental. Partner: National Institute of Natural Resources, Peru

##### **Forest Restoration and Management in the Mining Zone of Tipuani, Bolivia**

Work with a local mining cooperative and municipality to develop a pilot project in ecological restoration following the closure of small-scale gold mines in the buffer zone of Apolobamba National Park.

Funding: \$96,350

Grant Term: 4/02 – 3/05

Grantee: Tropico. Partners: Municipality of Tipuani, Tipuani Mining Cooperative

#### **Evaluating Threats in the Vilcabamba-Amboró Corridor**

Together with relevant actors, undertake a corridor-wide assessment to identify human-induced threats to biodiversity and develop and propose strategies to eliminate or mitigate their impact.

Funding: \$250,000

Grant Term: 1/01 – 12/02

Grantee: CI-Andes Program. Partners: Peru Ministry of Energy and Mines, Bolivian Mining Federation, Bolivia Vice Ministry for Mining, SERGEOMIN, Instituto Nacional de Recursos Naturales, Servicio Nacional de Áreas Protegidas, Federación Nativa del Río Madre De Dios y Afluente, WWF, OPP

#### **Strategic Direction 6: Electronic information exchange and coordinated information and data gathering for the corridor**

##### **Using the Eco-Index to Allow Organizations Working in Neotropical Hotspots to Share Experiences and Glean Lessons from Colleagues**

Facilitate the exchange of information about experiences, challenges and best practices developed through various conservation projects throughout Central and South America, including CEPF-funded projects in the Atlantic Forest, Chocó-Darién-Western Ecuador, Mesoamerica and Tropical Andes hotspots. Project goals, experiences and information will be disseminated through the Eco-Index Web site in English, Spanish, and where relevant, Portuguese.

Funding: \$189,727.

Grant Term: 10/02 – 10/03

Grantee: Rainforest Alliance. Partners: US Fish and Wildlife Service, Fundación CR-USA, Spray Foundation, GEF Small Grants Program, Trust for Conservation in Guatemala, Mexican Fund for Nature Conservation.

\*Funding for this grant also came from the other hotspots listed above.

**Appendix 3: Consultant Curriculum Vitae****WALTER WHITMAN ARENSBERG**

2810 36th Place, NW

Washington, DC 20007

Home: (202) 333-1434 -Office: (202) 333-0851

e-mail: [Warensberg@aol.com](mailto:Warensberg@aol.com)

mobile phone: 202-329-4069

**SUMMARY**

Throughout a thirty-year career, Mr. Arensberg has held leadership positions dealing with environmental and urban policy and programs in Latin America and the United States. Mr. Arensberg is currently an independent consultant on environmental planning and management, institution strengthening and the resolution of development conflicts.

Until 2003, he was Chief of the Environment Division of the Inter-American Development Bank, and has been the Deputy Director of the Center for Environment and Development of the World Resources Institute and a General Partner at the international architecture, engineering and planning firm of Skidmore, Owings and Merrill. In each of these positions, Mr. Arensberg has had broad policy-making and management responsibilities involving public and private sector programs and projects. As such, he has overseen the formulation of new institutional policies and strategies and directed planning and technical assistance projects involving project design and evaluation; environmental impact assessment; land use and transportation plans; and the development and coordination of public participation programs. Throughout his career, he has been fully involved in preparing policy papers and reports, developing proposals and presentations, conducting contract negotiations, monitoring work programs and budgets, supervising professional and administrative staff, and carrying out the variety of representational and client relations activities associated with the management of complex programs and projects. Formally trained in Political Science (BA) and City and Regional Planning (MCP) at Harvard University, Mr. Arensberg is fluent in Spanish and has a wide range of experience and contacts in Latin America and the Caribbean.

**EXPERIENCE**

**Inter-American Development Bank**  
**2003**  
**Chief, Environment Division**  
**Washington D.C.**

**1996-**

Mr. Arensberg was the Chief of the Environment Division of the Inter-American Development Bank. The Inter American Development Bank (IDB) is the primary multilateral lender to Latin America and the Caribbean, with 46 member governments, 26 of which are borrowing

members from the region. Within the IDB, the Environment Division is the central point for the development of environmental policies, strategies, good practice guidelines, and training; the coordinator of the inter-departmental process of environmental quality review, and; the point of contact between the Bank and other regional and international institutions engaged in regional environmental activities. Given the structure of the Bank, all of these functions involve extensive internal coordination and negotiation with other divisions responsible for country operations, as well as with external institutions.

During Mr. Arensberg's tenure, the Environment Division, among other things, developed a new environmental strategy for the Bank, formulated and led the implementation of Action Plans for the prevention and mitigation of the impacts of natural disasters and climate change; prepared new strategies on energy, the integrated management of water resources, coastal and marines resources, and the private sector and environment; refilled the environmental review process; increased its participation in international fora involving regional environmental authorities; and secured new funding sources for the Bank's environmental activities, including access to the funds of the Global Environment Facility (GEF).

**WORLD RESOURCES INSTITUTE (WRI), Washington, DC**  
**Deputy Director**  
**Center for International Development and Environment**

**1987 to 1996**

The World Resources Institute undertakes policy research on issues dealing with the environment and sustainable development. Its Center for International Development and Environment provides policy advice and technical support services to governments and private organizations in developing countries in Latin America, Asia, and Africa. The Center's programs included: strategic planning for environment and natural resources management, environmental monitoring and information systems, institutional support and training for community organizations, and policy and planning advice in forestry, agriculture, biodiversity conservation, and urbanization. As Deputy Director, Mr. Arensberg shared responsibility for management of the Center's program and budget, and was directly responsible for the Center's Cooperative Agreement with the United States Agency for International Development (USAID). Entitled the Environmental Planning and Management Project (EPM), this \$2.5-million-a-year agreement supported the Center's programs throughout the world and facilitated its work with AID missions in developing countries. His responsibilities for the EPM included preparing overall strategies, annual plans and budgets; overseeing the program's field activities; coordinating with other programs within the Center; and coordinating with USAID's Office of Research and Development, its regional bureaus for Africa, Asia, and Latin America, the Policy and Program Coordination office, and country missions. Since 1987, the EPM Project covered work in Mexico, Guatemala, Costa Rica, Honduras, Colombia, Ecuador, Bolivia, Paraguay, Chile, the Eastern Caribbean, the Philippines, Indonesia, Bangladesh, Thailand, Egypt, Kenya, Zimbabwe, Rwanda, Ghana, Cameroon, and the Sudan.

**INDEPENDENT CONSULTANT, Washington, DC**

**1984 to 1987**

Prepared an analysis of the International Institute for Environment and Development's (IIED) Non-Governmental Organizations program, and designed a methodology for evaluating NGO programs overseas. Developed film treatments and helped raise funds for two

independent television projects on the politics of public art and the settlement of the Oregon Territory.

**SKIDMORE, OWINGS & MERRILL, Washington, DC  
1984****1970 to****General Partner**

SOM is an international firm of architects, engineers, and urban planners founded in 1937. States. Having joined the firm in 1970, Mr. Arensberg was elected General Partner in 1978 and shared responsibility with two other partners in the Washington, DC office for management and fiscal control of architectural design and urban planning projects, client relations and marketing, external communications, and general supervision of the internal administrative and financial affairs of the office. He was directly responsible for planning projects, which included international and domestic work on land use, transportation and urban redevelopment, environmental impact assessments, and policy studies and institutional analyses. Examples included: a) a comprehensive plan for low-income housing in Guayaquil, Ecuador; b) master plans for luxury housing in Santiago, Chile; c) preparation of the Environmental Impact Assessment and community participation programs for the West Side Highway Project in New York city; and d) coordination of the environmental assessment studies of improvements planned for 15 rail stations included in the Northeast Corridor High Speed Rail Improvement Project between Washington D.C. and Boston.

**NATIONAL URBAN COALITION, Washington, DC  
1970****1969 to****Consultant**

Participated in efforts to organize local urban coalitions in Houston, Texas, and Lansing and Ypsilanti, Michigan, and evaluated local coalition activities in Lima, Ohio, and Springfield, Illinois.

***U.S. PEACE CORPS, Washington, DC  
1969******1966 to******Evaluation Officer***

Assessed Peace Corps' overall programs in Honduras, Ecuador, Venezuela, Chile, and Panama, in addition to evaluating an agricultural extension program in northern India, a summer training program for volunteers in eastern Kentucky, and a rural teacher training program in the Dominican Republic. The projects evaluated in each of these countries included urban and rural community development, agricultural extension, credit and agricultural marketing cooperatives, handicraft production, university teaching, low income housing, and city planning. This evaluation work required extensive field interviewing, researching and analyzing programs, and writing critical reports for the Peace Corps Director.

**OTHER EXPERIENCE**

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Prior to joining the Peace Corps, other jobs included: Legislative Research Assistant to U.S. Senator Gaylord Nelson (1963-1964), and during summers from June 1962 to

October 1965 worked under contract to the U.S. Department of State as an Escort Interpreter in Spanish. In this capacity, traveled throughout the United States with foreign leaders, mainly from Latin America, who had been invited to study particular aspects of American political, economic, and cultural life by the U.S. Department of State.

## EDUCATION

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**HARVARD UNIVERSITY**, Master of City Planning, 1978  
**HARVARD UNIVERSITY**, Bachelor of Arts, 1962  
**COLUMBIA UNIVERSITY**, Institute of Latin American Studies, 1965-1966  
**UNIVERSITY COLLEGE**, London, England, 1964-1965  
**UNIVERSITY OF ANDES**, Bogota, Colombia, 1962-1963  
**PHILLIPS EXETER ACADEMY**, 1955-1958  
**RUSTON ACADEMY**, Habana, Cuba, 1946-1955

## LANGUAGES

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Spanish (fluent), French (fair)

## TEACHING

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**CATHOLIC UNIVERSITY**, Urban Design Studio, Visiting Critic, Fall 1981  
**USIA**, Colombo-American Cultural Center, TEFL Teacher, Bogota, Colombia, Fall 1962

## AWARDS

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Assistantship, Columbia University, Institute of Latin American Studies, 1965 Inter-American Cultural Convention Scholarship (Fulbright Program) Bogota, Colombia, 1962

## PROFESSIONAL AFFILIATIONS

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Partners for Livable Places, Board of Trustees, 1980-1991  
 Harvard University, Graduate School of Design, Visiting Committee, 1984-1990

## PUBLICATIONS

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"Country Environmental Studies: A Framework for Action" in *Environmental Management in Developing Countries* (OECD, Paris, 1991)  
 "Don't Forget the Urban Poor," Speaking Out, *World Development*, September 1990  
 "The Historic Approval Process: The Demonet," *Urban Land*; December 1984  
 "The Environmental Protection Hustle" (review), *Environmental Management*, July 1980  
 "Giving Cities Back to People," with Norman Klein, *City*, March 1972

**Critical Ecosystem Partnership Fund**

Sixth Meeting of the Donor Council  
World Bank Headquarters, Washington, DC  
31 March 2004

**CEPF Management Team Response to the External Review of CEPF**

**Recommended Action Item:**

The Donor Council is asked to take **note** of the Management Team's response to the external review of CEPF and **advise** the Management Team on any further action required to address issues highlighted by the review.

**Background:**

At the fifth meeting of the Donor Council, the CEPF Management Team presented an external review conducted by Mr. Walter Arensberg in response to a request from the World Bank. As follow-up to this important review, the CEPF Management Team has prepared a response to the specific actions recommended by the external reviewer.

### **CEPF Management Team Response to the External Review of CEPF**

At the fifth meeting of the Donor Council, the CEPF Management Team presented an [external review](#) conducted by Mr. Walter Arensberg in response to a request from the World Bank.

This Mid-Term Review, which did not include field visits, was designed to assess the performance of the Critical Ecosystem Partnership Fund (CEPF) during the period from January 2001 to May 2003. The review was required by the World Bank under the terms of its five-year commitment to the Fund in order to secure a third year of funding support from the Bank's Development Grant Facility (DGF). The review sought to evaluate how effectively CEPF has met the objectives set forth in the Financing Agreement signed by the World Bank, the Global Environment Facility and Conservation International when the partnership was first established.

The review concluded that the partners' underlying rationale for creating CEPF is "sound and well-founded" and that CEPF has "shown that it is an effective model for meeting the objectives of the Fund's partners."

Key findings included:

- The management and oversight of the Fund has demonstrated that the partners can work well together to keep the Fund focused and operationally effective. It has demonstrated that a well-designed alliance can work effectively with civil society in the field of conservation.
- CEPF has learned from its experiences in each cycle of ecosystem profiling and the process has made an innovative contribution to mobilizing and strengthening civil society action for conservation.
- CEPF has carried out grantmaking in a way that has reached a wide variety of recipients in a timely and agile manner.

However, the review also included seven recommendations, all underpinned by the central strategic question of how best to capitalize on the CEPF model in the future. The CEPF Management Team responds to each of the specific recommendations below and proposes further action points for the team to address:

**1. The CEPF Management Team should carefully assess the grantmaking and supervision process to clarify the roles of Grant Directors and Coordinating Units in CEPF eco-regions in order to strengthen the capacity of the Coordinating Units to support the Grant Directors in grantee orientation and training, proposal development, and supervision while maintaining the Grant Directors ultimate authority for grant review and approval. A greater degree of decentralization would be desirable to relieve the workload of Grant Directors and focus Coordinating Units on the coherence and strategic impact of the grant portfolios in country.**

#### **Proposed Action Points for the CEPF Management Team**

- Undertake an analysis of the operational structure, efficiencies, advantages and disadvantages of existing coordination mechanisms and provide recommendations on how each mechanism can ensure programmatic and operational value.
- Coordinate additional discussions with Grant Directors and existing coordination mechanisms to define or clarify roles and responsibilities and expand those for the mechanisms, where necessary.
- Continue implementing and exploring new ways to ensure best coordination.
- Consider bringing together CEPF Grant Directors and coordination teams to share lessons learned and best practices.
- Create additional informational tools to help our partners and grantees understand CEPF coordination mechanisms and how they complement the larger initiative.

#### **CEPF Management Response**

The CEPF Management Team agrees that decentralizing more responsibility to field-based coordination mechanisms will relieve the workload of the Grant Directors and at the same time increase the coherence and strategic impact of the grant portfolios. Decentralization will also help ensure maximum economy of scale and reduce the overall cost of grant-making efforts as well as help deepen relationships with local partners.

In many regions, CEPF coordination mechanisms already spend extensive time in orienting and training potential grantees—a hands-on approach that aims to build capacity and ultimately better project proposals as part of the process. For example:

Conservation International's Southern Mesoamerica Program hosted special seminars in Panama during July and August 2003 to help indigenous civil society groups strengthen their skills in proposal preparation and financial management for conservation projects. The seminars were part of regular training and technical support that the program provides to potential grantees as the hub of the CEPF coordination team in the Mesoamerica hotspot.

The Haribon Foundation, which coordinates the CEPF Threatened Species Program in the Philippines, held a 5-day workshop in August 2003 to guide local organizations in the islands of Cebu, Negros and Panay through a step-by-step process of project planning and development as well as proposal writing. The workshop brought together 50 participants from 11 organizations.

Several coordination mechanisms put in place in the latter half of 2003 also illustrate how CEPF is working to multiply these types of efforts and, importantly, to expand the local coordination mechanisms' roles to help ensure the coherence and strategic impact of the portfolios. In the Succulent Karoo hotspot, for example, the new multi-organizational coordination mechanism's core function is to ensure that the design, implementation and evaluation of CEPF-supported projects are feasible and contribute to overall biodiversity conservation targets.

In recent months, CEPF has also invested time and effort into ramping up and more fully defining the terms of reference of the respective CEPF coordination mechanisms for each active hotspot. This effort has taken a multi-pronged approach by increasing internal and external awareness of the purpose of the coordination mechanisms, better defining the specific roles and functions that each should/could play, engaging the Grant Directors in a discussion of the scope of decentralization preferred and evaluating the progress of existing mechanisms.

The CEPF Management Team has also strategically launched a process to design new coordination mechanisms as an integral part of the preparation phase for a region. As a result, the logical underpinning and thinking on the coordination mechanisms for the current cycle (Cycle 4, includes Caucasus, Eastern Arc and Coastal Forests of Tanzania and Kenya, Indo-China, Eastern Himalayas, Polynesia/Micronesia, Western Ghats and Sri Lanka) began during the profile development phase. This will not only provide a smoother transition between the preparation and grant-making phases, but ultimately a more beneficial coordination approach and efficiency in grant-making turnaround as well as monitoring and evaluation at the local level.

At the same time, CEPF Grant Directors have a clear understanding of how gaps in the coordination function lead to misunderstandings among grantees, delays in the project approval process and how that in turn affects the efficient implementation of the portfolio of projects. CEPF is motivated to streamline the project approval process in order to bring projects online more quickly and understands that a clear definition of roles and responsibilities between Grant Directors and the coordination mechanisms is of great importance.

Further examples of evolving coordination mechanisms include:

- In Brazil and China, CEPF has developed consortiums of institutions, led by local CI offices, which are fulfilling the local coordination roles. Each of these examples is providing different strengths to the decision-making process. An advantage of this model is that a variety of organizations is engaged in a transparent and accessible way.
- In the Caucasus and Eastern Arc hotspots, new models of how external organizations can serve as the overarching coordination mechanism are being developed, with planning underway with the WWF Caucasus Programme in the Caucasus, and in the Eastern Arc with BirdLife, the International Centre of Insect Physiology and Ecology, the Tanzania Forest Conservation Group and World Wide Fund for Nature—all of which played lead roles in the preparation phase for these two hotspots. These new mechanisms will provide valuable lessons on economy of scale, efficiency and decisionmaking that can be achieved through decentralization.

- The Andean region provides us with two distinct though mutually reinforcing examples of increased decentralization of responsibilities. Based in part on preliminary findings generated by the portfolio review under way, the coordination mechanism in the Tropical Andes is being restructured to strengthen its relationship with local grantees and to take greater advantage of the potential complementarity with the new Andean Center for Biodiversity Conservation (CBC). Likewise, in Choco-Darien-Western Ecuador, local coordinators in both Ecuador and Colombia have placed a high priority on direct contact with grantees, while facilitating the involvement of Andean CBC directors in the final review process for full proposals.

**2. As confusion still appears to exist in the minds of outsiders over the role of CI in the CEPF grant-making process, further efforts need to be made to define the role of the two entities clearly. It is important to adhere strictly to the requirement that CI not be given special consideration in the grant process or exercise inappropriate influence over the grantmaking and approval procedure.**

#### **Proposed Action Points for the CEPF Management Team**

- Continue to communicate and define the role of CI and external organizations in the coordination process for grantmaking.
- Continue to document decision-making processes, as they relate to both CI and external organizations.
- Review the CEPF Operational Manual to determine whether publicly sharing further parts or the full manual would help address this issue.

#### **CEPF Management Response**

CEPF staff consistently and conscientiously focus effort on ensuring wide understanding of how CI is one of five CEPF partners; CI's special role as the administrator of the partnership; CEPF's operational procedures and protocols; and how and under what conditions CI programs are eligible for CEPF funds.

The CEPF Memorandum of Understanding, signed by all CEPF donor partners, defines CI's role in the partnership. Furthermore, in all instances, CEPF adheres to the regulations agreed in the financing agreements for CEPF and also strives to ensure that CI is not given special consideration (or the perception of special treatment) in the grant process and that it does not exercise inappropriate influence over the grant-making and approval procedure.

Nonetheless, capitalizing on CI's expertise in the field and in Washington DC (finance, legal, communication, research, etc) to administer CEPF is one of the strongest assets of the partnership, helping to ensure economy of scale and financial and programmatic efficiency. Thus, it is a constant effort to leverage these efficiencies, while at the same time adhering to all agreed protocols. In addition to the financing agreement, CEPF also adheres to the operational procedures defined in the CEPF Operational Manual. Both of these documents are publicly available. Key pieces are posted on our Web site.

The primary rules of engagement define that although CI administers the Fund via a management unit of staff exclusively focused on CEPF, CI programs can apply for funding where they have a comparative advantage but CI projects can comprise no more than a maximum of 50 percent of CEPF's global grant resources. The 50 percent mark is a ceiling, rather than a target. In some regions CI is not likely to apply for any of the grant resources, e.g. the Caucasus, and in other regions such as South Africa, the percentage is significantly lower than the grants managed by external organizations.

Nonetheless, we are sensitive to possible misperceptions about the relationship between CEPF and CI within CI itself as well as publicly. In this regard, the Management Team has also taken a number of steps to further ensure clarity on this issue.

The disclosure policy for CI's intended projects, as originally requested by the CEPF Donor Council, requested that CI disclose, upon submission and approval of the first three ecosystem profiles, their intended projects and the amount of the budget this would require. In the first three instances, this equaled 50 percent of the available grant resources and resulted in a perception of entitlement by CI programs and an uneven distribution of grant resources. Likewise, this policy prevented CI programs from innovation, creativity and responsiveness to opportunities for better conservation action. After consulting with the Working Group and requesting approval from the Donor Council, the Management Team modified this policy to request that CI submit a description of their "intended role"

in the regions where a) CI operates and b) where CI intended to apply for grants. This new process has worked significantly better and has helped eliminate the perception of entitlement. At the same time, it has also required CI to undertake a much more rigorous project design process. Nonetheless, this disclosure policy, as mandated by the Donor Council, resulted in a perception that has taken many CEPF grant cycles to eliminate from popular misinterpretation.

Important communications tools, such as Frequently Asked Questions (FAQs), that include specific reference to CI's role in the initiative and related issues have been widely distributed to civil society partners in the hotspots eligible for CEPF funding and are posted on our Web site. During the first half of FY04 (July-December 2003), visitors to the Web site downloaded more than 2,500 copies of the Frequently Asked Questions in multiple languages and nearly 1,000 visitors viewed the FAQs specific to grant eligibility and application.

As CI regional programs play a vital coordination role in several hotspots, steps outlined in response to No. 1 above have also been taken related to CI coordination mechanisms, including increasing internal and external awareness of the purpose of the coordination mechanisms, better defining the specific roles and functions that each should/could play and communicating these to civil society partners. Interestingly, public misperception about the role of CI regional programs in coordinating CEPF implementation is no different than the challenges we now face in regions where external organizations, such as WWF, Birdlife, ICIPE and others are taking the lead role in coordination.

In addition, it is important to note that CEPF made a strategic decision to begin our work in areas where CI had a strong presence and we had existing relationships to build upon. This was pivotal to the early success of CEPF. However, our commitment to flexibility, building effective relationships with strategic partners and creating a diversified portfolio is evident. The sharp shift in balance has occurred in Cycle 4 where CI largely does not have a comparative advantage and thus has not taken a lead role in the preparation phase or the coordination mechanisms now being designed is a case in point. This shift has positively contributed to how CEPF is perceived by the conservation community. Nonetheless, it still leaves us with the overarching challenge to ensure transparency and clarity in defining and communicating the role of any organization or multiple organizations coordinating CEPF implementation on the ground.

**3. The scope of future evaluations conducted by the Fund or other partners should focus particular attention on the linkages between CEPF Strategic Priorities and the cumulative effect of grants in working toward meeting those priorities. Is there coherence and synergy among the various recipients of grants and how can it be strengthened?**

**Proposed Action Points for CEPF Management Team**

- Finalize portfolio reviews and develop strategic approaches to communicate the findings and lessons learned from them to relevant parties.
- Conduct occasional, timely analyses on subjects of importance to the strategic implementation of our project portfolio.
- Continue to explore how best to contribute to, and benefit from, evaluation efforts initiated by our partners.

**CEPF Management Response**

The CEPF Management Team recognizes that the Fund is entering a period of its existence where closer attention to its impact is both necessary and desired. With three years of implementation experience, 13 active funding regions, and over 200 funded projects, the Fund is generating a significant amount of experience and is committed to learning from and sharing these results with all of its partners.

A fundamental objective of CEPF's monitoring and evaluation team is to assess how CEPF as an initiative is meeting its objectives and to provide feedback to all parties to facilitate adaptation in order to improve individual as well as collective performance. To this end, a major product of the team is a series of portfolio reviews to be conducted around the halfway point of funding in each region. Internally, review findings will examine the mechanisms and tools CEPF has put in place in an effort to increase efficiency in the grant-making process and assess how each project contributes to the broader conservation strategy as laid out in the ecosystem profiles. External audiences will also gain insight into how CEPF-funded activities relate to the goals and objectives of our strategic partners.

CEPF has responded in a timely and proactive manner to requests from our partners seeking to assess our performance and effectiveness. We understand these issues of mutual concern and are engaging our partners to find ways to collectively answer these questions where appropriate. The inclusion of an external evaluator on the CEPF portfolio reviews is one way of assuring greater objectivity in our assessment of strategic implementation.

As outlined in our response to recommendation number 1 above and 4 below, CEPF continues to strengthen the links between development of the investment strategy during profiling, implementation of the strategy during grantmaking and the assessment of the strategic relevance of funded projects through the monitoring and evaluation function.

**4. Review the experience that each ecosystem profiling process has had with moving from strategic priority setting to program implementation in order to design a process that tightens the linkages between them and leads to more effective implementation of integrated programs. The process followed for the Succulent Karoo, among others, may offer useful lessons.**

**Proposed Action Points for CEPF Management Team**

- Put a strategy in place with each of the coordination mechanisms for how to most strategically seize the grant-making opportunity. This could take a number of forms, including workshops for grantees, but will be designed in consultation with the coordination mechanism in order to accommodate the specific needs/cultural differences per region.
- Visualize coordination mechanisms prior to approval of the profiles, to ensure a smoother transition.
- Solicit concept papers for coordination mechanisms prior to profile approval to ensure that the roles and responsibilities are clearly understood.
- Undertake training sessions with the Grant Directors to ensure that the outcomes and other relevant tools are being used synergistically with the ecosystem profile to inform the grant-making process.

**CEPF Management Response**

CEPF agrees with this recommendation. We have been exploring options for strengthening the transition phase between profile development and grantmaking. We have also already taken a few major steps to tighten the linkage between the two phases, including integrating the grant director into the process at an earlier stage, transitioning the management of the network of relationships from the Senior Director for Program Management to the “grant team” at an interim phase in the process, designing the coordination mechanism during this interim phase. All of these management changes are being implemented during cycle 4 of CEPF (the current Ecosystem Profile cycle). At the same time, we also agree that there should be a more formalized process/methodology for “operationalizing” the grant phase in all these regions. By having the coordination mechanism agreed and in place at an earlier stage, we anticipate being able to improve the launch of the grantmaking better.

Responsibility for facilitating the transition from profile development to grantmaking is now shared more equally among the profile development and grant management teams. The grant team will design a strategic plan and a more proactive, concrete methodology for ramping up the grant-making phase in each new region. Additionally, staffing changes should help improve this phase of CEPF. To this end, a new VP level staff, Senior Managing Director of CEPF, has been identified and hired to supervise the grant team and CEPF’s Senior Director for Portfolio Management, a position created within the last year, is responsible for portfolio monitoring and evaluation. The importance of Grant Director input into the outcome definition and prioritization process is increasingly recognized, as they provide the critical link between the goals we want to achieve and the resources we use to achieve them. Likewise, CEPF will undertake training sessions with the Grant Directors to ensure that they are capitalizing and utilizing the outcome tools now present in the ecosystem profiles as strategically as possible.

**5. Review the opportunities the CEPF might have in supporting public/private initiatives in keeping with the objectives and strategies of the Fund. This might involve increasing support to policy reform initiatives carried out by non-governmental organizations or the private sector.**

**Proposed Action Point for CEPF Management Team**

- Continue to work with governments, within our partnership and with our conservation partners on the ground to develop and share ideas for innovative mechanisms to achieve lasting results through

public/private initiatives. Doing so is fundamental to the long term, sustainable preservation of biodiversity hotspots with mutual benefits for nature and people.

### **CEPF Management Response**

Since this link did not come out clearly as part of the review, we welcome this recommendation as an opportunity to highlight how CEPF recognizes the importance of addressing public/private initiatives to benefit long-term success of biodiversity conservation through the strategies that are defined and the grants that are given.

In response to this recommendation, the CEPF Management Team undertook a review to explore the ways in which CEPF strategically identifies opportunities to support public/private initiatives and also opportunities for policy reform, the specific projects that have been funded to implement our strategic objectives as identified in the ecosystem profiles and results emerging from this support.

This review concluded that, public-private partnerships, like CEPF itself, present one of the most promising mechanisms to enable change and to leverage the local financial and political commitment essential to ensuring the sustainability of the investment being made by CEPF. At the same time, the review determined that often public/private partnerships require changes in policies. CEPF's strategic focus on civil society aims to enable community groups, NGOs and others in the private sector to engage in biodiversity conservation together with governments and other partners. In this way, CEPF support expands the stewardship of biodiversity with a multitude of actors focusing and combining effort for greater impact in ways that benefit both nature and people.

With total available resources at only a fraction needed for biodiversity conservation, CEPF funds can only begin to address the myriad challenges in these threatened areas. The nature of the partnership itself is intended to multiply our investment and its results through influence on and joint action with our partners, governments and other investors and donors. One organization or nation cannot achieve lasting impact in isolation; innovative partnerships must be created and nurtured to succeed. CEPF implements this tenet from concept to strategy to results.

Our analysis concludes that CEPF partnership is beginning to generate noteworthy results from the \$38 million committed grant resources to date. Many of these results have benefited from extensive policy work with governments. In many hotspots, there are emerging conservation achievements resulting from CEPF supported public/private partnerships. Such projects also contribute to the successful implementation of the overall CEPF strategy for that hotspot.

CEPF support to projects under strategic directions focusing on the collaborative identification and creation of protected areas have been particularly fruitful during the first three years of the partnership. Demonstrating just how powerful collaboration between civil society and governments can be, the partnership's financial and technical support has helped civil society groups working together with local governments to design, plan and create protected areas, including:

- The declaration of the 108,000-hectare Batang Gadis national park in northern Sumatra by local leaders, including the head of the local government and heads of local parliament, police, the Forestry Department and community leaders. The park is the first of its kind established under a new legal framework that allows declaration of a National Park by local, rather than national, officials.
- The expansion to 118,108 hectares of the Peñablanca Protected Landscape and Seascape, creating the largest contiguous block of forest under protection in the Philippines and providing critical habitat for the Philippine eagle and other threatened species.
- Three landmark laws in Liberia increasing protected areas by 60 percent and instituting significant reforms to the nation's natural resource conservation policies.

Also critical is management of these and other protected areas. CEPF's portfolio includes dozens of projects being implemented by local groups together with or in close cooperation with national and local authorities to ensure long-term sustainability of these areas as well as the governmental bodies responsible for their stewardship. These include:

As early as 2002, the benefits of CEPF support to collaborative efforts between NGOs and governments became clear in the Tropical Andes where a transnational agreement was signed between Bolivia and Peru for the joint management of Madidi National Park in Bolivia and Bahuaja-Sonene National Park and Tambopata National Reserve in Peru. With funding from CEPF, a Conservation International coordination team helped facilitate this agreement.

In Costa Rica, The Corcovado Foundation is working in partnership with the government ministries of environment and security to enable patrols of the Corcovado and Piedras Blanca national parks to reduce the incidence of illegal hunting, logging and fishing. In the first public/private partnership of its kind in the country, the foundation covers operating costs to conduct the park patrols, while the ministries provide personnel and equipment. The foundation also undertakes education and awareness-raising activities in local communities. The parks are now experiencing an unprecedented level of patrolling.

CEPF strategy and grantmaking has kept in mind the value of engaging government and private sector in its plans to further ensure sustainability of conservation goals. As discussed above, this has already begun to yield important results at the hotspot level; results that only confirm and strengthen the need to challenge our partners on the ground to continue to engage in partnerships that will lead to long-term benefits. CEPF will continue to encourage innovative links between local communities, governments and private sector partners as an element of addressing the strategy defined in our strategic funding directions for each hotspot. Now in our third year of funding, CEPF is placing greater focus on monitoring and evaluating both results and lessons. As we move forward it is critical to share results and lessons learned among other organizations and hotspots as a way to multiply the benefits of successes already achieved from public/private partnerships and encourage the incorporation of such partnerships into other strategies.

**6. Develop a vigorous public outreach strategy designed to capitalize on lessons the CEPF has learned in the field and stimulate discussion among grantees in the field, governments and civil society, and among the CEPF partners and the broader donor and NGO community. The outcomes of on-going monitoring and evaluation work, as well as documented experiences and lessons learned by grantees in designated hotspots could all contribute to this strategy. All of the CEPF partners should help facilitate information sharing to this end, as well, so that in Washington, as well as in the critical regions, the CEPF can become a stimulus to innovative thinking about conservation.**

#### **Proposed Action Points for CEPF Management Team**

- Continue implementing FY04-05 communications strategy.
- Undertake a review of the strategy at the close of year 1 (FY04) to assess progress and ensure that the strategy remains flexible and dynamic to meet CEPF needs.

#### **CEPF Management Response**

The time is indeed right for CEPF to be more vigorous in its efforts to draw out and share lessons. Much of CEPF's communications and outreach effort prior to 2003 focused on raising awareness about the initiative, our regional strategies and the availability of grants. This was in large part a strategic necessity due to the youth of the initiative, with results and lessons not yet available or not in any substantial volume. Beginning in 2003, however, CEPF began to proactively focus on raising awareness about the initiative's actual progress and preliminary lessons.

This included, for example:

- Launching a project to capitalize on the information we are capturing in final project completion reports by making the reports publicly available through [www.cepf.net](http://www.cepf.net) and marketing the reports through special features and full listings of the reports available to date in our newsletter. To date, visitors to the site have downloaded more than 10,250 of these reports. The Management Team is now reviewing the report format and how we communicate to grantees about the form to ensure their responses will accurately capture lessons learned and be of value to others.
- Embarking on a unique project together with the Rainforest Alliance to encourage and enable CEPF grantees, as well as other project managers, in four hotspots in Latin America to share lessons learned and other key information about their projects with the wider conservation community and the public. The ongoing project,

underpinned by CEPF grant support, includes the recent expansion of the Alliance's popular Eco-Index online encyclopedia of conservation projects to include CEPF projects in these hotspots and working together with the CEPF communications team to publicize the availability of this information. On March 16-17, the Eco-Index team will also host a "CEPF Project Fair" in which CEPF grantees and key partners from those hotspots will come together to foster synergy between projects and exchange knowledge.

Recognizing the need to strategically expand efforts like these, however, CEPF has developed a FY04-05 global communications strategy to reach out more widely and systematically to civil society organizations and existing and potential donors partners, which includes various governments. The strategy, to be implemented CEPF-wide, presents a number of approaches designed to capitalize on the success of our online communications but to also focus greater effort on interactive sharing of information. Key tactics in the strategy include:

- Support or create regional-level and international opportunities to bring grantees and partners together to share lessons learned and learn from others.
- Continue and develop new partnerships with external partners and other resources that incorporate and/or enable sharing of lessons learned – such as the Rainforest Alliance's Eco-Index.
- Stage special events such as presentations on specific grants or regional portfolio reviews and other monitoring and evaluation results to ensure wide sharing of this information.
- Strategically incorporate communications activities related to lessons learned into grantee project goals and activities in ways that ensure greater sharing of this information.

Importantly, the strategy also includes exploring and developing opportunities to expand relationship and information sharing with and among the CEPF partners—a strategic approach envisioned to include leveraging each of our communications resources to the benefit of all.

**7. Management should begin to engage the Donor Council in a discussion about the future of the Fund. The road to conservation in the critical ecosystems of the world cannot be traveled in a mere five years, and the model CEPF is applying is proving to be of great worth. Both management and the Donor Council should take advantage of the evaluations and stock taking now underway to explore how best to extend the life of the Fund.**

#### **Proposed Action Points for CEPF Management Team**

- Continue bilateral discussions with the first three partners
- Produce any required materials that will begin to support a rationale for the next phase of CEPF.

#### **CEPF Management Response**

The presentation of this external review to the CEPF Donor Council has helped to catalyze a dialogue on the future of the CEPF. At this moment, CEPF is undertaking informal bilateral discussions with the first three partners (CI, GEF, World Bank) to assess the conditions for possible re-engagement. However, we feel that it is premature to undertake these discussions with the second two partners (MacArthur Foundation and the Government of Japan).