

Co-ordination of Critical Ecosystem Partnership Fund Investment in the Eastern Arc/Coastal Forest hotspot

Annual Analysis of the Project Portfolio



Together for birds and people



31st December 2004

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1. Introduction

1.1. Biodiversity Hotspots

Hotspots are regions characterised by high species diversity and a large number of endemic plant species, which have been negatively impacted by anthropogenic activities. The hotspot concept was introduced in 1988 to help identify the most important areas for preserving species.

Hotspots are therefore designated as priority regions for conservation investment. Conservation International has identified 25 biodiversity hotspots and the Eastern Arc and Coastal Forests in Kenya and Tanzania is one such region.

The hotspot approach works well when once considers the restricted budgetary allocation for conservation related activities. The hotspot concept ensures that the limited funding available are directed towards priority conservation activities while at the same time achieving the sustainable development.

The main activities carried out across all hotspots include:

- filling gaps in biological knowledge and provision of baseline information needed for conservation planning,
- rehabilitating and restoring degraded habitats,
- awareness raising about environmental and ecological aspects of natural resources management,
- capacity development initiatives,
- increasing connectivity in fragmented landscapes
- eliciting and sustaining support and trust from the community and
- supporting livelihood of the people living within and around the hotspots

The Critical Ecosystem Partnership Fund targets to pursue all of the above activities within the Eastern Arc/ Coastal Forest programme

1.2. Critical Ecosystem Partnership Fund

The Critical Ecosystem Partnership Fund (CEPF) is a joint initiative of Conservation International, the Global Environmental Facility, Government of Japan, MacArthur Foundation and World Bank. The partnership aims to dramatically advance conservation of the earth's biodiversity hotspots-the biologically richest and most threatened areas through combining proven strengths and expertise. The partnership thrives on the premise that economic prosperity and conservation are interlinked. A fundamental goal is to ensure that the civil society, such as community groups, non-governmental organizations and private sector partners, are systematically engaged in biodiversity conservation.

The CEPF programme in the Eastern Arc/Coastal Forest project is a five-year project worth US\$7 million, launched in 2004 and running up to 2008. The Project is but a step on a long journey towards rational measures to conserve the biodiversity in the hotspot. The project also strives to promote synergies between all existing and other previous strategies and frameworks established by local, national, regional governments as well as organizations within the Eastern Arc/ Coastal Forest (EACF) biodiversity hotspot.

Under this initiative, the CEPF acts as a catalyst to create working alliances among diverse groups, combining unique expertise and experiences from individuals as well as organizations working or who have worked in the hotspot.

The CEPF project funding is disbursed according to five strategic funding directions reflecting priorities in terms of taxa and site outcomes and supporting activities. 1.3. Eastern Arc and Coastal Forest

The Eastern Arc and Coastal Forests of Kenya and Tanzania and Kenya biodiversity is one of the smallest of the 25 hotspots identified globally. The hotspot straddles the 900km along the Tanzanian and Kenyan coasts and includes the islands of Zanzibar and Pemba. The region has two distinct habitats – Coastal Forests and the Eastern Arc Mountains. The Eastern Arc and Coastal Forests hotspot qualifies due to its high species endemicity and threat threshold. It is a home of at least 1500 endemic plants species, 16 endemic mammals, 22 endemic mammals, 50 endemic reptiles and 33 endemic amphibian species respectively. The region has also been ranked as one of the 11 “hyperhot” priorities for conservation investment because of its likelihood to suffer the most plant and vertebrate extinction for a given loss of habitat. Currently, the Eastern Arc and Coastal Forests hotspot hosts a total of 333 globally threatened species including 241 vulnerable, 68 endangered, and 24 critically endangered respectively. The future of the hotspot and species therein is dependent on how fast conservation action is initiated. The CEPF initiative within the region is timely and could not have come at a better time.

1.4. Coordination Unit (CU)

To ensure coordination and sustainability of the impacts of projects initiated and implemented through the CEPF funding, a CEPF Coordination Unit was established. The major role of the Unit is to ‘ensure that an effective and coordinated approach is applied amongst stakeholders to achieve the CEPF conservation outcomes for the Eastern Arc Coastal Forest biodiversity Hotspot. Conservation outcomes, which are, defined at either species (extinctions avoided) sites (areas protected), and landscape (corridors created) are the full set of quantitative and justifiable conservation targets in a hotspot that need to be achieved in order to prevent biodiversity loss. These conservation outcomes were developed through a participatory process in which a wide range of stakeholders in the region were involved, are contained in the Ecosystem Profile for the hotspot (CI/ICIPE, 2003).

The Coordination Unit is composed of a consortium of four institutions namely International Centre for Insect Physiology and Ecology (ICIPE), World Wide Fund-East African Regional Programmes Office (WWF-EARPO), Tanzania Forest Conservation Group (TFCG), and BirdLife International (BLI). These organizations have a wealth and diversity of experience and expertise in biodiversity research and conservation within the hotspot and have a long history of research and conservation in the hotspot.

The Coordination Unit became operational in January 2004 and was officially launched in June the same year. The Coordination Unit (CU) seeks to achieve four major objectives hereby referred to as outputs. Each of the constituent organization takes a lead on one output though there is a high level of collaboration with each other.

1.5. Roles of Coordination Unit member organizations

The main roles and respective outputs of the CU member organisations are outlined below:

1) ICIPE:

To ensure that an EACF Coordination Unit exists with appropriate mechanisms to facilitate achievement of the Investment Priorities identified in the CEPF Ecosystem Profile (Output 1)

2) TFCG

To ensure that stakeholders within civil society and government are aware of the CEPF Process, goals and achievements and are sharing experiences (Output 2).

3) *WWF-EARPO*

To make sure that civil society stakeholders are supported to design effective conservation projects in line with the Ecosystem Profile and submit proposals to CEPF (Output 3).

4) *BirdLife International*

To make sure that a comprehensive and complimentary suite of CEPF Projects (within budget) is in place to fully address the Strategic Directions (Output 4).

1.6. BirdLife International and its role in the CEPF/EACF Project

BirdLife International is a global partnership of conservational organizations with a focus on birds that works together on shared priorities, policies and programmes of conservation action, exchanging skills, achievements and information, and so growing in ability, authority and influence. The BirdLife Partnership strives to conserve birds, their habitats and global biodiversity, working with people towards sustainable use of natural resources. The BirdLife African Partnership is represented in more than 18 countries by national conservation non-governmental organizations. The Partnership is supported by a secretariat based in Kenya and a West Africa Sub-region coordination office based in Accra, Ghana. The secretariat plays a key role in coordinating regional projects and programmes as well as providing technical support to the Partner organizations.

BirdLife International's incorporation in the Coordination Unit stems from its long established conservation work in the region through its partners in Kenya and Tanzania and throughout Africa through the Important Bird Areas (IBAs) Programme. The IBA programme is BirdLife's worldwide initiative aimed at identifying, documenting and protecting a network of sites critical for the conservation of the world's birds. Working in collaboration with its partners in Kenya (Nature Kenya) and Tanzania (Wildlife Conservation Society of Tanzania), BirdLife participated in efforts to define the Ecosystem Profile for the region to ensure that priority sites for bird conservation within the hotspot are conserved.

1.7. Purpose of the report

This report presents a synthesis of portfolio of projects submitted for funding through the CEPF programme of funding for this hotspot. It gives the first detailed synopsis of the coverage of projects in terms of taxa, sites and activities and identifies the main gaps that need to be targeted in the next few years of CEPF investment. It meant to guide all range of the stakeholders from reviewers of grant proposals, current and potential grant applicants as well as the main donors. It shows the current status of proposals submitted, funds already committed as well as those allocated.

1.8. Specific objectives and approaches.

The section below outlines the approaches proposed by BirdLife in implementing the activities of the project.

- a. Guidance is provided to CEPF to ensure that projects that adequately address all 5 SFDs and 25 IPs have been initiated by end of Year 3.

- b. Establish a system for capturing information provided in Letters of Inquiry (LoIs) to ensure that all applications are checked to assess their alignment to the Ecosystem Profile and the Conservation Outcomes.
- c. A panel of expert reviewers is identified and contacted to provide comments on feasibility and relevance of proposals submitted.
- d. A transparent, objective and quick review process in place, understood by other stakeholders and operational by the first quarter of Year 1.
- e. Appropriate and innovative partnerships are identified and facilitated using lessons learned and existing linkages.
- f. Projects are in place throughout the hotspot and are monitored to maximise cost-effectiveness and impact of the CEPF investment.
- g. Projects are being implemented by a diversity of stakeholders including CBOs, NGOs, private sector, appropriate parastatals, research institutions and universities.

2.0 Overview of the review process

A review process for assessing applications to CEPF was developed and agreed by the CU members and CEPF. This process is attached as Annex 1 but briefly has three stages.

- Applications are first assessed by the CEPF Grant Manager for their eligibility in terms of geographic area and activities.
- These applications are then sent to the CU for internal review, where they are assessed in terms of their eligibility and importance according to the Ecosystem Profile, their relevance, feasibility and cost effectiveness.
- If necessary, the applications are also forwarded to external reviewers.

3.0 Overview of the Project Portfolio as of 31st December 2004

3.1 Distribution of applications according to the Strategic Funding Directions

1. A total of 189 Letters of Inquiry (LoIs) have been submitted to CEPF for work in the EACF hotspot and their details entered into the CEPF-CU grants database. Most of these LoIs fit a single Strategic Funding Direction (SFD) though a few address more than one SFD (hereby referred to as Multi-SFD LoIs) as follows: 67 LoIs received fit SFD 1, 21LoIs fit SFD 2, 69 LoIs fit SFD 3, 1 LOI fits SFD 4, 0 LoIs fit SFD 5 and 34 LoIs multi-SFD. This information is graphically presented in figure 1.
2. During this period, the CU addressed a total of 189 LoIs through the internal review process and a further 29 LoIs have been recommended for external review and sent to 39 external reviewers. So far feedback has been received from 21 external reviewers covering 13 LoIs.
3. A total of 16 LoIs have been accepted for funding either as small grant or full grants while in the same period, 22 proponents were advised to submit full proposals. 75 LoIs have been rejected due to various technicalities and the decision communicated/about to be communicated to the proponents by the CEPF Grants Manager for Africa.
4. Nineteen LoIs were considered for resubmission of which thirteen have to be resubmitted as small grants.

5. A total of 18 LoIs were considered for merging, of which 11 were merged into 5 LoIs and have already been resubmitted and are being reviewed.

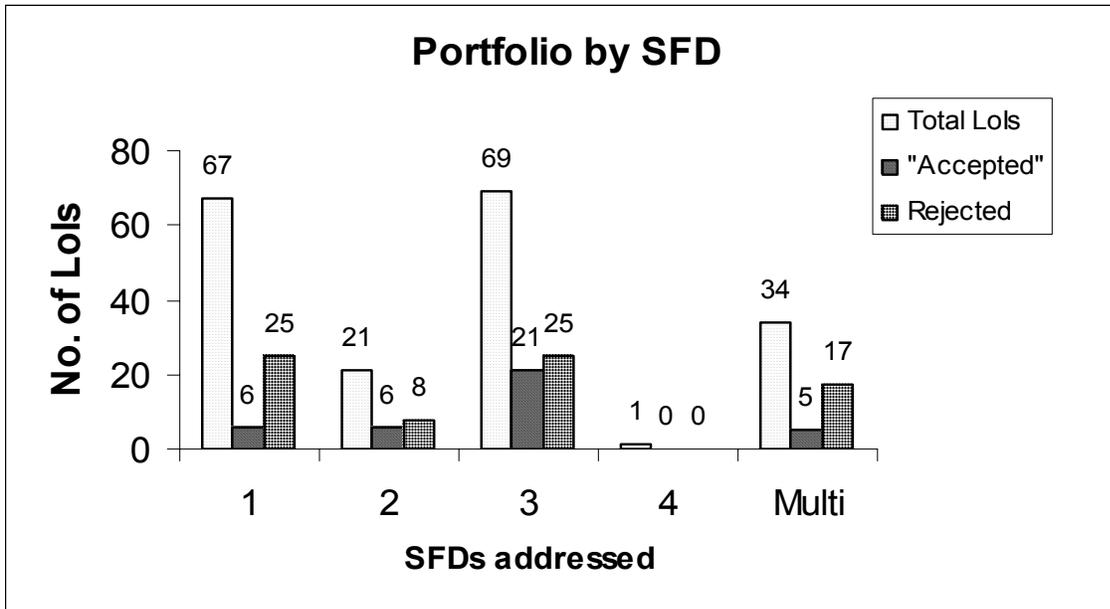


Figure 1. The current project portfolio with respect to the funding directions. Figure singles out those that have been accepted (including those pushed to full proposal development) and those that have been rejected

3.2 Distribution of applications according to Investment Priorities.

The Ecosystem Profile for the EACF hotspot highlights 25 Investment Priorities (IP), which specify the specific areas of activity that CEPF funding can be used for (Table1). The analysis below indicates how the applications processed to-date are distributed according to these priorities.

Table1. Strategic Funding Directions and respective investment priorities as defined in the Ecosystem Profile

Strategic Directions	Investment Priorities
1. Increase the ability of local communities to benefit from and contribute to biodiversity conservation, especially in and around Mt Kenya, Aberdare River Forests; Taita Hills; East Usambara; Udzungwas; and Jozani Forest	1.1 Evaluate community-based forest management initiatives in the hotspot to identify best practices
	1.2 Promote nature-based, sustainable businesses that benefit local populations in the hotspot
	1.3 Explore possibilities for direct payments and easements (Conservation Easements) for biodiversity conservation in the hotspot and support where appropriate
	1.4 Build the capacity of community-based organizations in the hotspot for their role in support of biodiversity conservation at all levels
	1.5 Support cultural practices that benefit biodiversity in the hotspot

Table 2 provides a full treatment of the IPs and highlights the major gaps where no LoIs have been submitted.

Table 2. The distribution of LoIs and respective IPs already captured from the proposals submitted for funding. The asterisk represents IPs that may require more focus

Funding Direction	Investment Priorities	Total No. of Los
1	1.1	13
	1.2	66
	1.3	9*
	1.4	41
	1.5	18
	1.6	16
2	2.1	10*
	2.2	27
	2.3	11*
	2.4	25
3	3.1	25
	3.2	44
	3.3	32
	3.4	37
	3.5	24
	3.6	42
4	4.1	1*
	4.2	1*
5	5.1	1*
	5.2	0
	5.3	0

3.3 Number of LoIs received and distribution according to sites

This section aims to give an overview of the CEPF/EACF project portfolio in terms of site-by-site coverage and use the information accruing from the analysis to identify gaps in terms of sites that need to be covered in subsequent years. The LoIs received so far have a wide range of site-coverage levels from single-site focussed projects, multiple-sites focussed to hotspot wide pilot projects. A site-by-site analysis was conducted and an LoIs versus sites matrix developed including their current grant status. The full matrix is presented as Annex 3 and 4 while the key points about the sites outlined below.

Figure 2 below represents the sites covered in the applications submitted by end of 2004, focusing on the ones that were accepted during this period and indicates how they are distributed among the sites. Table 3 represents a list of sites that not specifically targeted in any of the grants applications submitted by end of 2004.

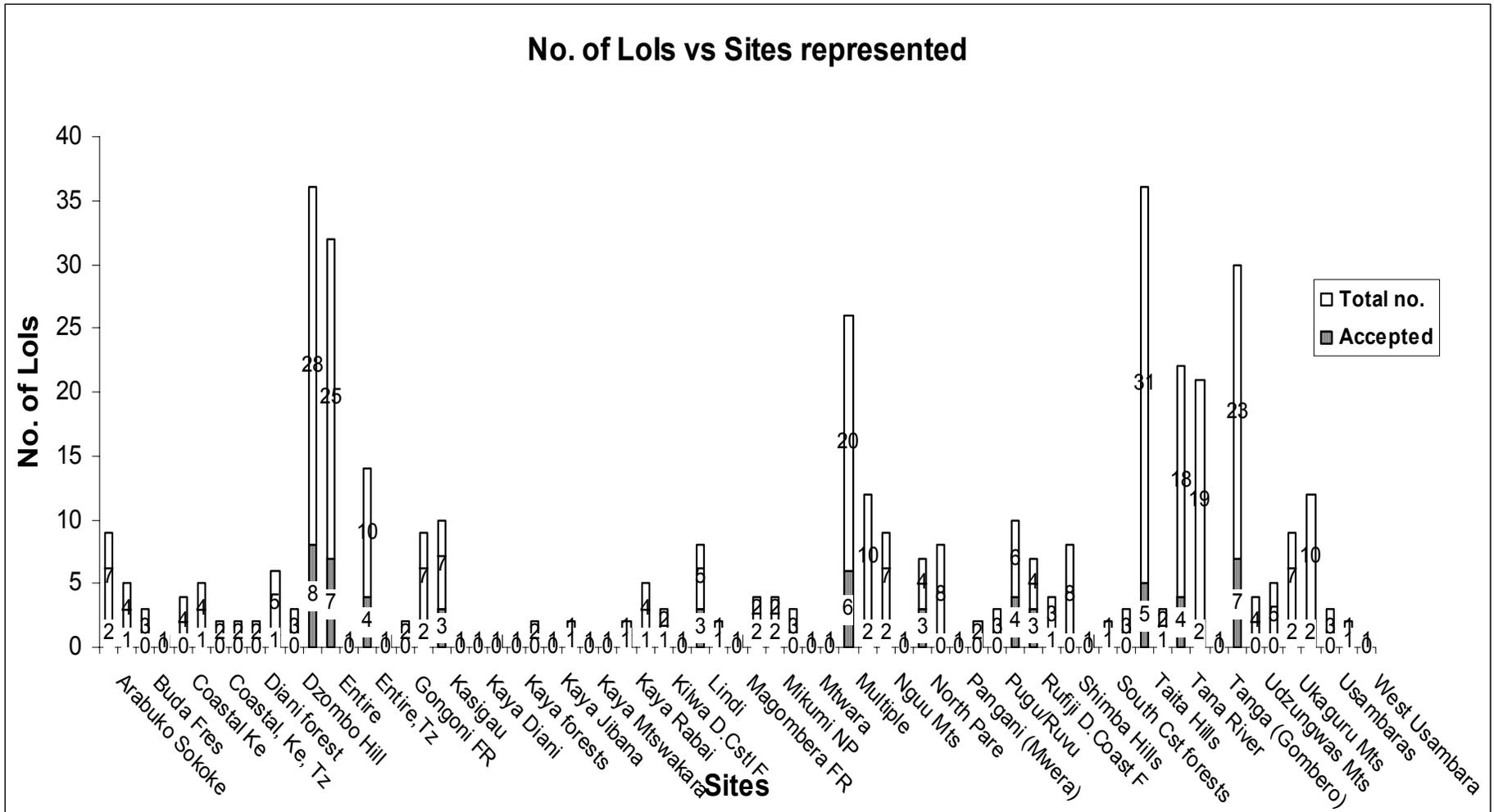


Fig 2. Shows the number of sites covered, overall number of grant applications at each site and corresponding number of applications accepted at respective sites

Table 3. List of 81 priority sites not mentioned in any of the proposals received by end of 2004.

Bagamoyo	Kisiju	Ngozi crater
Bagamoyo (Kikoka f. reserve)	Kisimani wa Ngoa	Nyumburuni forest reserve
Bagamoyo D. coastal forests	Lango la Simba	Pande and Dodwe coastal forests
Baricho near Arabuko Sokoke	Latham Island	Nzovuni River
Bungu	Lukoga forest reserve	Panza Island
Cha Simba	Lughi forest	Ras Kituani
Chuna forest	Mangea Hill	River Wami
Dar es Salaam Coast	Makongwe Island	Rufiji Delta
Dzitzoni	Marafa	Sabaki River Mouth
Handeni District coastal forests	Masasi	Sangerawe
Kambe Rocks	Masasi (Nyagendi)	Semdoe
Kaya Bombo	Masasi East	Shikurufumi forest reserve
Kaya Fungo	Mikindani (Mnima)	Sinza River-near Univ. of Dar
Kaya Gonja	Mikindani (Mtwara Inland)	South Pare Mountains
Kaya Kambe	Mikindani District (Mtwara- Mikindani)	Tumbatu Island
Kaya Kauma	Mkomazi Game Reserve	Ukunda
Kaya Kivara	Mnazi bay	Ukwama forest reserve
Kaya Lunguma	Mpanga village forest reserve	Utete (Kibiti)
Kaya Miunguni	Msambweni	Uzaramo (Dar to Morogoro)
Kaya Mwarakaya	Mtanza forest reserve	Uzaramo (Msua)
Kaya Puma	Mwache forest reserve	Verani South West
Kaya Ribe	Near Buda forest reserve	Vigola
Kaya Sega	Newala (Kitama)	Witu forest reserve
Kaya Teleza	Newala (Kitangari)	Zanzibar (Kituani)
Kaya Tiwi	Newala (Mahuta)	Zanzibar (Muyuni)
Kaya Ukunda	Newala District coastal forests	Zanzibar Island-East Coast
Kaya Waa		Zanzibar Island-South Coast

Taita Hills Forests

In terms of single sites, **Taita Hill Forests** has received overwhelmingly, the highest number of LoI subscriptions compared to other sites within the entire hotspot. So far 31 LoIs were submitted for this site. These cover SFD1 (12 LoIs), SFD2 (3 LoIs), SFD3 (10 LoIs) and Multi-SFD (6 LoIs) respectively. Out of these, five LoIs are in the full proposal development stage, proponents of three LoIs were advised to resubmit their LoIs upon addressing comments made by the reviewers, three LoIs were cleared for external review, two LoIs were recommended for merging and 12 LoIs were rejected. A further six LoIs are currently under internal review by the CU. A workshop of interested stakeholders is planned early in February 2005 convened by the East African Wildlife Society aiming to ensure that a cohesive strategy for the implementation of activities in this area is developed and all stakeholders are brought on board.

East Usambara

Twenty-eight LoIs have been submitted for work in the **East Usambara Mountains**. Of these, 11 are targeting SFD 1, six are in SFD 2, four target SFD3, and 7 aim at multi SFDs. One LoI was accepted, **seven** have been pushed to proposal development stage, five are to be resubmitted, and four are being reviewed internally, while 11 have been rejected. One LoI was withdrawn by the proponents in favour of other similar applications in higher priority areas.

Usambaras

The applications for work in **Usambaras** include three LoIs targeting the whole range of Usambara Mountains and one LOI targeting West Usambara sites. Of the four LoIs received, one is targeting SFD1 and three are targeting SFD3. Three of the applications were rejected while one LOI is undergoing the CU internal review

Udzungwas

Twenty-three LoIs targeting SFD 1 (8 LoIs), SFD2 (7 LoIs), SFD3 (6 LoIs) and multi-SFDs (2 LoIs) were received for **Udzungwas** (Udzungwa National Park and Udzungwa Mountains). Of these, three applications were accepted and funded, four have been pushed the full proposal development stage while proponents of two LoIs have been asked to resubmit their proposals for review. Two LoIs are earmarked for external review, while the CU is reviewing three. Three LoIs were merged and resubmitted while six LoIs were rejected.

Udzungwa National Park

Five LoIs were submitted for work specifically at this site. These target the SFDs as follows: SFD1 (2 LoIs), SFD2 (1 LoIs) and SFD3 (2 LoIs). Two of these LoIs are undergoing internal review by the CU; one LOI was merged with other LoIs, while two LoIs were rejected.

Udzungwa Mountains

Four applications were received for this site, all of them addressing SFD3. Of these LoIs, one is undergoing CU internal review while the remaining three were merged to be resubmitted.

Tanga

Tanga is composed of 8 constituent sites. It is assumed that upon their applications being accepted, successful grantees will implement proposed activities at all the 8 sites within Tanga.

The whole of **Tanga** has attracted 18 proposals addressing SFD 1 (7 LoIs), SFD2 (4 LoIs), SFD3 (2 LoIs) and multi-SFD (5 LoIs). Two of these have been pushed full proposal development, five are earmarked for resubmission upon revision and addressing reviewers' comments, three are being reviewed internally by the CU while seven were rejected. The only application specifically targeting **Tanga (Gombero)** and addressing a multi-SFD category was rejected.

Tana River forests

Eighteen LoIs have been submitted for **Tana River Forests** addressing SFD1 (7 LoIs), SFD2 (2 LoIs), SFD3 (5 LoIs), and multi-SFD (5 LoIs) respectively. Three applications for funding were accepted and work has started or is about to start. One application is already in full proposal development stage, one LoI is to be resubmitted, three LoIs are undergoing CU internal review and nine LoIs were rejected.

Ulugurus

Ten LoIs focussing their proposed activities at Uluguru were submitted. These address the SFDs as follows: SFD1 (4LoIs), SFD2 (1LoIs) and SFD3 (5LoIs) respectively. Two LoIs have already been pushed to full proposals development, two LoIs have been rejected while four new LoIs are undergoing the CU internal review.

Nguru Mountains

The **Nguru Mountains** have attracted 10 funding applications, which target SFD1 (2 LoIs) and SFD3 (8 LoIs). Of these, two are in the full proposal development stage; three new entries being reviewed internally by the members of the CU and two LoIs have been rejected.

Shimba Hills

A total of 8 LoIs have so far been submitted to carry out conservation work at **Shimba Hills**. The eight applications are addressing SFD 1 (6LoIs) and SFD3 (2 LoIs). Four of the submitted LoIs have been rejected while 3 LoIs have to be resubmitted addressing comments from reviewers. One LoI has been merged with another project and is slated for external review.

Arabuko Sokoke Forest

Seven LoIs have been submitted for work at the **Arabuko Sokoke Forest** addressing SFD1 (4 LoIs) and SFD3 (3LoIs). One application was accepted for funding, one cleared for full proposal development, one is due for resubmission, one earmarked for external review while two are being reviewed internally by the CU. One LoI was rejected.

Jozani

Jozani has attracted 7 proposals addressing SFD1 (3 LoIs) and SFD3 (4 LoIs). Six of these were reviewed two applications were pushed to full proposal development, while 4 were rejected. One new entry is being reviewed internally the by CU.

Mt. Kasigau

Mt Kasigau has attracted 7 applications addressing SFD1 (1 LoIs), SFD2 (1 LoIs), SFD3 (3 LoIs) and multi-SFD (2 LoIs). Out of the five LoIs, three have been accepted and work is already in progress while the CU is reviewing two internally and two applications were rejected.

Nguu Mountains

Nguu Mountains has attracted 7 LoIs all representing SFD3. Two proposals have proceeded to writing full proposals; the CU is reviewing one LOI while three LoIs were merged.

Ukaguru Mountains

Seven applications were submitted and all of them address SFD3. Two are in the proposal development stage; the CU is reviewing one LoI internally while a merger was recommended for four others.

Rubeho Mountains

A total of six applications were received for work in the **Rubeho Mountains**, all of them addressing SFD3 only. Four are in stage 2 of proposal development, a merger was recommended for one while a new entry is being reviewed internally by the CU.

Lindi

Five LoIs submitted for **Lindi** are addressing SFD1 (1LoI) and SFD2 (4 LoIs) respectively. One application was accepted for funding, two pushed to full proposal development, one is to be resubmitted while one is being reviewed internally by the CU.

Dodori forest

This site has so far attracted 5 applications covering SFD3 (4 LoIs) and multi-SFD category (1 LoIs) respectively. One of the applications was pushed to full proposal; two applications were rejected while proponents of two remaining LoIs were advised to merge their applications and resubmit.

Rufiji Coastal Forests

Four applications have been made to work at this site. The proposals address SFD2 (3 LoIs) and SFD4 (1 LoIs). All have been reviewed one was accepted, two pushed to full proposal development while 1 was rejected.

Kilombero valley

The four proposal submitted for this site address SFD1 (1LoI), SFD2 (1 LoI), SFD3 (1 LoI) and multi-SFD (1 LoI). One has been accepted, two were rejected and a merger recommended for the remaining one.

North Pare Mountains

Four applications were submitted for work at this site. Of the four, three were pushed to full proposal development while one is being reviewed internally by the CU.

Boni Forest

Four LoIs were submitted for the site. One has been pushed to full proposal development, one has been rejected and a merger recommended for the remaining two LoIs.

Coastal Tanzania

Four applicants propose to concentrate their efforts in coastal forests of Tanzania without specifying the actual sites. These applications address SFD1 (1 LoI), SFD 3 (1LoI) and multi-SFD (2 LoIs). Of these applications, two were rejected; one pushed to full proposal development while 1 is being reviewed internally by the members of the CU.

Coastal Kenya

Similarly four applications were submitted for work in the coastal forests of Kenya, without specifying the sites. These address SFD1 (1 LoIs), SFD3 (1 LoIs) and multi-SFD (2 LoIs). Of these, two applications were recommended for external review, one is undergoing internal review while one was rejected.

South Coast forests/Kayas

Four proposals were submitted for work in south coast forests and all the kayas. Three of the South coast forests/Kaya's proposals address SFD1 while one is addressing more than one SFD. One proposal each was accepted for funding, resubmission recommended, under CU review and rejected respectively.

Entire Tanzania

A total of 10 proposals have been submitted for implementing conservation activities in the entire Tanzanian part of the hotspot. The applications are distributed according to SFDs as follows: SFD1 (1 LoI), SFD3 (8 LoIs) and multi-SFD (1 LoIs). Of these, four are in full proposal development, one is to be resubmitted, one is undergoing the CU internal review and three were rejected.

Entire hotspot

A total of 25 LoIs have been submitted that target the entire hotspot and do not specify the actual sites. They represent SFD 2 (1 LoIs), SFD 3 (17), SFD 4 (1 LoIs), multi-SFD (5 LoIs) respectively. Four of these LoIs have been accepted, three pushed to full proposal development, two are meant for resubmission and 11 have been rejected. A further one application is in advanced stages of external review, two were withdrawn by the proponents and two LoIs were merged resubmitted and reviewed.

Sites with three or less proposals

Buda Forest Reserve, Selous Game Reserve, Mrima and Dzombo Hill Forests are sites that have attracted three applications each. All the three applications for Buda (SFDs 1, 3 and multi-SFD respectively), Mrima Hill (SFD1, 2, and 3) and Dzombo Hill (1 LoI for SFD1 and 2 for SFD3 respectively) were rejected. Three applications for Selous (SFD1, 2 and multi SFD respectively) were reviewed and one pushed to full proposal development while the other 2 were rejected.

Kaya Gandini, Kilwa Coastal Forests, Mikumi National Park, Pemba Island Mahenge, Diani forest, Gongoni Forest Reserve, Dakatcha Woodland and Tana River Delta have been targeted by 2 LoIs each (See Annex 3, 4 and 5 for details)).

One application each was submitted for **Kaya Kinondo, Kaya Rabai, Kaya Diani, Kaya Chonyi, entire Kenya, Kaya Jibana, Kaya Muhaka, north Coast Kayas, Kaya forests, Mtwara, Uvivunda Mountains, Mafia Island, Pangani (Mwera) Muheza, Korogwe, Gede**

Ruins, Kaya Mtswakara, Chale Island, Magombera Forest Reserve, Kaya Dzombo and Shimoni forests, respectively. Applications for the first three sites (or group of sites) were accepted and approved for funding while the proposals for the last six were rejected. Proposals targeting Kaya forests, Pangani (Mwera) and Mtwara are to be resubmitted for consideration while those proposals earmarked for Uvivunda and Mafia Island were cleared to proceed to full proposal development. Applications targeting the entire Kenya part of the hotspot, Kaya Diani, Kaya Jibana, and north Coast kayas are undergoing internal CU review while a proposal for Kaya Muhaka is to proceed for external review. (Annex 3, 4 and 5 respectively).

3.4 Udzungwas and Taita workshops

A participatory workshop attended by stakeholders was convened in Udzungwas with the aim of developing a cohesive and strategic approach to resolving the connectivity and expansion issues. A similar stakeholder participatory and consensus workshop, which is to be convened by East African Wildlife Society is slated for early February focusing on the Taitas. The purpose of this workshop is to enhance stakeholders understanding of threats, challenges, opportunities, and synergies and as such identify and prioritize interventions for restoration and connectivity

3.5 Characteristics of applicants to CEPF

The applications to CEPF for activities in the hotspot have come from a wide range of stakeholders. These have been grouped into three main categories depending on the lead proponent. The groups are community-based organizations (CBOs), institutions based within the region (local institutions) and institutions based abroad (foreign institutions).

Analysis of the project portfolio according to their countries of origin is presented in figure 3. CBOs have shown impressive interest by submitting 47 applications of which 11 are from the Taita hills and 8 from East Usambaras. The high number of submissions from these sites is an indication of the presence local groups with capacity to fundraise and contribute towards conservation. The keen interest from the community-based organizations could also be attributed to the past conservation investments through other initiatives at certain sites. The fact that most of them are recent submissions is an indication that the project is increasingly becoming popular among the civil society. Plans are afoot to introduce community micro-grants, tailored to the needs and operation of these local groups. Once in place, the community micro grants will ensure that CBOs are supported and have access to funds without their applications going through the rigorous review process.

It is estimated that about 102 LoIs were submitted by local based research organizations/universities/NGOs under this hotspot programme while over 41 LoIs by foreign-based Universities/NGOs/Consultants were submitted. Figure 3 highlights the specific countries of the proponents.

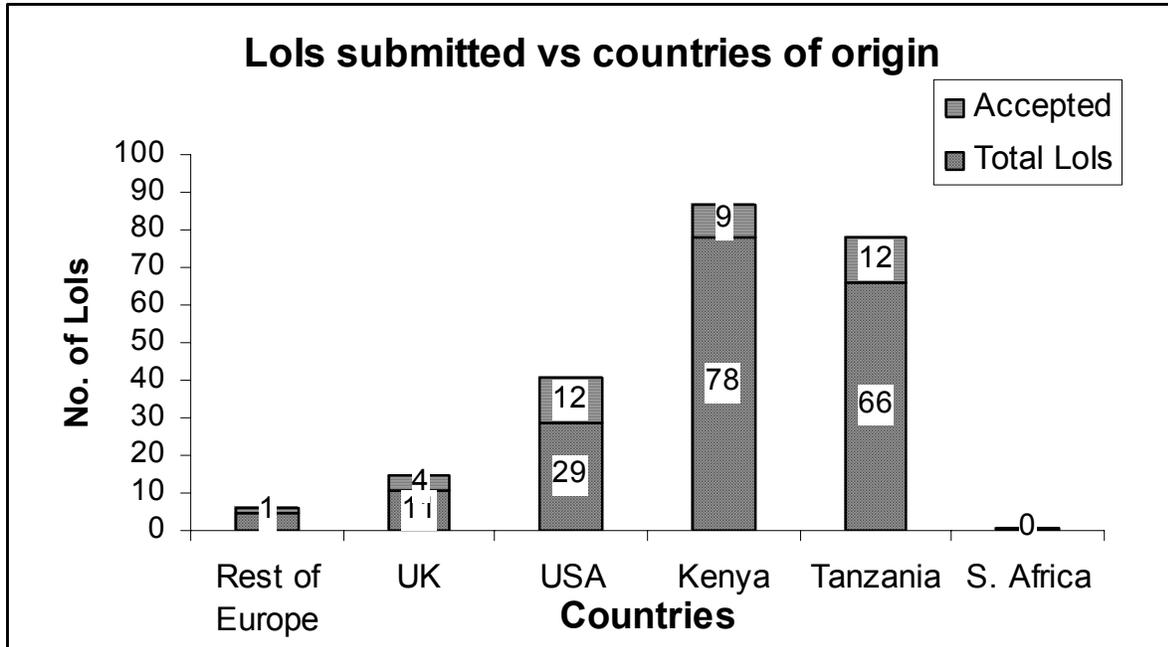


Figure 3. The number of applicants who applied for CEPF grants in 2004 and their countries of origin

3.6 Distribution by taxa and ecological aspects

One of the major goals of the CEPF initiative is to ensure that endangered species are conserved. The achievement of sites outcomes has a positive impact on the recovery of habitats and a concomitant survival of species that depend on these habitats. Focusing on endemic and globally endangered species as indicator or flagship species is important as their presence and demographic trends tell about the condition and health of these habitats. It is therefore important that proposals that target species outcomes are also given priority. Of special concern is the need for efforts to be expended towards ensuring that of the 333 species listed in Ecosystem Profile are targeted (for taxa being addressed by proposals, see Annex 6).

3.7 Number of LoIs versus the funds allocated to different SFDs

Accepted LoIs

By the end of 2004, 16 LoIs had been accepted and approved for funding under this initiative while 22 others have been pushed to full proposal development. Furthermore, applications that have been pushed to proposal development are more likely to be approved. Hence the funding they request can be also considered as committed funds.

Figure 4 below compares the committed funds (approved LoIs and those recommended for proposal development) with the total allocation per SFD.

Under SFD 3, the funds committed are 113.5% of the funds allocated for this SFD. This is a good result in a sense that biological knowledge is needed in the beginning to guide implementation of the activities in other SFDs. On the other hand, this puts pressure on the applicants developing projects under this SFD to trim their budgets.

Under SFD 1, for the committed funds are only 17.23% of the funds allocated to the SFD and 70.44% of the amount allocated to SFD 2 is also committed. It is worthwhile to note that significant amounts of work under SFD will be implemented in Udzungwa's and Taitas as a follow-up to the strategy planning workshops.

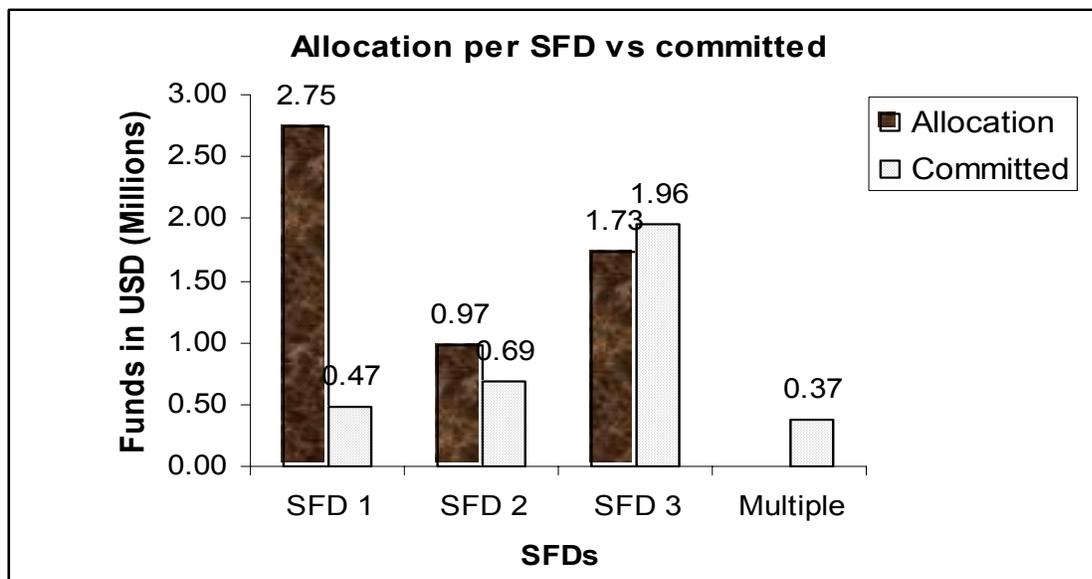


Figure 4. The current project portfolio in terms of funds allocated to specific SFDs versus funds committed in 2004.

4. Monitoring Threats and Investments

4.1 Approach

The recognition of the Eastern Arc Mountains and Coastal Forests of Kenya and Tanzania as a hotspot recognizes its unique biodiversity but also the large extent of biodiversity loss. Recognition of the area as important for biodiversity predates Conservation International's recognition of the area and the CEPF investment and similarly conservation efforts predates the documentation of the Ecosystem Profile.

BirdLife International seeks to monitor trends in threats to the conservation outcomes in relation to the investment by CEPF, other governmental and non-governmental agencies.

Baseline data

The initial approach being used is to compile baseline information on the main actors in the hotspot, the kind of activities undertaken and at which sites. A database of the sites outcomes, the main actors involved, and what has been done in terms of conservation, research and monitoring is being compiled.

4.2 Literature on the EACF

A database of additional references both published and in grey literature has been compiled and is being regularly maintained. Most of these have been traced from the IBA Paper database at Nature Kenya, Ornithology Department Library, National Museums and Kenya Wildlife Service libraries. Already there are more than 300 articles capturing sites on the Kenyan sides of the hotspot. Work on this is still ongoing and is anticipated to phenomenally increase this year.

Annotated list bibliographies have also been acquired thanks to efforts from our Tanzania counterparts (Johansson, 1997. Conservation in the East Usambara Mountains: A partially annotated Bibliography. Working paper 22). Johansson lists 511 articles/ publications capturing Tanzania's East Usambaras only while Isango (2001) lists 907 articles / reports / publication for the Eastern Arc Mountains. These publications are crucial in the review process as it guides reviewers in identifying those proposals that could either duplicate past initiatives or attempt to address issues/priorities/recommendations that could have been highlighted during previous work.

5.0 Major gaps identified in the Project Portfolio

5.1 Gaps in site coverage

This analysis shows clearly that there is a disparity between proposals submitted and site coverage. Out of the 160 sites, only 53 sites have been specifically targeted and a few more are probably covered under applications targeting multiple sites such as sites include Lindi (with 10 associated forest fragments), Mahenge (6 patches), Tanga (8 patches), Pangani (7 patches), Kayas (24 out of which 16 listed below were not specifically mentioned in any of the proposals). The full list of sites not targeted by any interventions is presented in Annex 7.

A hotspot-wide mechanism is needed to ensure that these gaps in site coverage are filled. We propose here a discussion at the CU meeting in April 2005 to tackle this aspect.

5.2 Gaps in Activities

Considering the number of LoIs submitted for funding under the CEPF/EACF initiative, and based on the Investment priorities, there is a striking skew by most proposals towards some IPs at the expense of others. It is clear that most proposals target IPs 1.2 (66), 1.4 (41), 3.2 (44) and 3.6 (42). Some IPs albeit not attracting focus have the potential to significantly contributing to the overall achievement of conservation outcomes and long-term sustainability of conservation of the hotspot's most threatened sites and species. Apparently, IP 1.6 that emphasizes "research and promotion of eco-agricultural options for the local population in the hotspot" needs has not been given the emphasis it deserves. Conservation friendly farming technologies, integrated pests management, organic agriculture, agroforestry, agricultural products processing, traditional farming systems and traditional knowledge, domestication of wild insects to supplement protein needs have been identified as being crucial in ensuring biodiversity conservation, agriculture & food security. All these are consistent with the achievement of the Millennium Goals.

Environmentally unfriendly farming systems are not only unsustainable in economic terms but also have serious negative impacts on the biodiversity and hence the need for a mechanism to be put in place to ensure that what happens in the matrices surrounding do not negatively impact on biodiversity conservation.

With the recognition of the need to embrace community conservation paradigm, it is undisputable that indigenous traditional knowledge (ITEK) in agriculture and biodiversity conservation is tapped and is then translated to agricultural production and biodiversity

conservation. This as defined in IP 1.5 where there is a dismal number of proposals specifically targeting this IP.

Connectivity is an important component of the CEPF/EACF Project. With best practices to restore connectivity, movement of species from one site to another is a precursor to population recovery and reduce the allele effects on small populations. Most of the IPs under SFD 2 may receive some attention particularly after the impact of some of the project activities are in progress and hence such IPs (2.1 and 2.3) will evaluate the impact of these activities. It is also envisaged that the IPs under SFD 2 will attract more applications after recommendation from Udzungwa and Taita workshops.

All IPs under SFDs 4 and 5 need respectively attention (Table1). With only 1 proposal under SFD 4 and none under SFD5, it is important that the two SFDs get some emphasis (Annex 5).

5.3 Gaps in terms of funding available

With some SFDs oversubscribed, it is therefore apparent that contingent plans are put in place to ensure that the most relevant projects are approved for funding. Main gaps exist in a sixth (SFD1), a half (SFD2); none (SFDs 4 and 5) of funds allocated to each SFD are committed respectively. There have been major re-allocations to Eastern Arc Coastal Forests SFDs with funds allocation for SFD1 being increased by \$362,000 (13.7%), SFD2 reduced by \$152,500 (12%), SFD3 reduced by \$75,000 (3.75%), SFD4 reduced by \$60,000 (10%) and SFD5 reduced by \$75,000 (15%). This underscores the great emphasis that CEPF places on development and their ultimate contribution of communities to sustainable utilization and conservation of biodiversity at sites within the hotspot. This re-allocation has a major impact on the analysis on the financial commitment during subsequent reports.

For ease of analyses, it would be quite important for all potential grantees to concentrate on one SFD in their proposal as it is now clear judging by CEPF guidelines that projects cannot be allocated to multiple SFDs.

5.4 Gaps in terms of proponents

To ensure the sustainability of project activities and impact during the post project period, there is need to have built enough capacity and ensured civil society are actively involved in conservation of sites within the hotspot. Even though CBOs have shown tremendous efforts in submitting application for funding, more still need to be done especially with the introduction of the community grants. With 161 sites targeted for the CEPF investment, more CBOs should take up the opportunity and seek funding so as to implement conservation activities at sites that have not been captured. When CBOs become actively involved in the conservation initiatives within the hotspot, it is envisaged that long-term grass root support will be gained, attitude will change and sustainable development will be effective.

6.0 Summary recommendations

From this synthesis, it suffices that there are salient issues that should be addressed in order to maximise the conservation outcomes. Special focus should be placed on:

- filling existing gaps identified in the project portfolio i.e., SFDs and IPs coverage. All gaps identified in sites and particularly species of global conservation concern (all taxa) should

equally receive more focus and proposed activities should show how they will contribute to achieving all the conservation outcomes defined in the ecosystem profile.

- more synergies between grantees and linkages between organizations implementing site conservation and sustainable development activities i.e. the proposed BirdLife International sustainable monitoring project among others. Local-based institutions should link up with other non-local based ones in the form of partnerships to share information, experience and expertise.
- continued mentoring and support to community-based organizations in proposal development. Such support will ensure the sustainability of conservation and sustainable development activities beyond the CEPF/EACF project as then they will develop the capacity to leverage for funds from other sources.
- ensuring that sites that are in urgent need of immediate conservation intervention are given pre-eminence
- ensuring that prospective grant applicants are encouraged to clearly target a single SFD they propose to seek funding from

Annex 1: An overview of the review process

The letter of Inquiry once received will be reviewed through a transparent, objective and timely review process.

- 1) Each LoI is reviewed by individuals from CEPF, CEPF Coordination Unit and Conservation International.
- 2) Depending on the relevance of the application to the Strategic Funding Directions, capacity of the organization to implement proposed activities, the project's impact on the conservation outcomes and the coherence of the proposed project, the CEPF, CU or CI may recommend that the proposal either be approved for funding, revised and resubmitted, pushed too stage two of proposal development, send for external review, merged with other (s) or be rejected at the preliminaries. LoIs with budget exceeding USD20000 will be asked to write a full proposal and a more detailed budget while those with less than this amount may be accepted as a small grant once it is accepted for funding.
- 3) If it is recommended for external review, the proposal will be send to a cohort of at least two external reviewers with expertise relevant to the application. Feedback from the external reviewers is incorporated to those from internal reviewers and a decision is made on whether to reject, push to stage two or resubmit.
- 4) Based on the comments from reviewers, CEPF will communicate directly with the applicant to advise accordingly as to whether the LoI was rejected, accepted, or recommended to proceed to proposal development
- 5) The Coordination Unit may provide assistance to develop proposals at the request of the CEPF Grant Manager

Annex 2. Letters of Inquiry submitted per site and the distribution according to SFDs

Sites	SFD 1	SFD 2	SFD 3	SFD 4	Multiple	No. of Lols
Taita Hills	12	3	10	0	6	31
E.Usambara	11	6	4	0	7	28
Entire	0	1	17	1	6	25
Udzungwas	8	7	6	0	2	23
Multiple	4	2	13	0	1	20
Tanga	7	4	2	0	6	19
Tana River	7	2	6	0	3	18
Entire,Tz	1	0	8	0	1	10
Ulugurus	4	1	5	0	0	10
Nguru Mts	2	0	8	0	0	10
Shimba Hills	6	0	1	0	1	8
Outside hotspot	5	1	1	0	1	8
Arabuko						
Sokoke	4	0	3	0	0	7
Jozani	3	0	4	0	0	7
Kasigau	1	1	3		2	7
Nguu Mts	0	0	7	0	0	7
Ukaguru Mts	0	0	7	0	0	7
Rubeho Mts	0	0	6	0	0	6
Lindi	1	0	4	0	0	5
Udzungwas NP	2	1	2	0	0	5
Dodori	0	0	4	0	1	5
Coastal Ke	1	0	1	0	2	4
Coastal Tz	0	3	0	1	0	4
Rufiji D.Coast						
F	1	0	2	0	1	4
Udzungwas Mts	0	0	4	0	0	4
Kilombero						
Valley	1	1	1	0	1	4
North Pare	0	0	4	0	0	4
Boni forest	0	0	4	0	0	4
Buda Fres	1	0	1	0	1	3
Pugu/Ruvu	0	0	3	0	0	3
Usambaras	1	0	2	0	0	3
Selous GR	1	1	0	0	1	3
Mrima Hill	1	1	1	0	0	3
Dzombo Hill	1	0	2	0	0	3
Kaya Gandini	0	0	2	0	0	2
Kilwa D.Cstl F	0	0	1	0	1	2
South Cst						
forest/ Kayas	2	0	0	0	1	2
Mikumi NP	0	0	2	0	0	2
Pemba Island	1	0	1	0	0	2
Mahenge	0	0	2	0	0	2
Coastal, Ke, Tz	2	0	0	0	0	2
Diani forest	1	0	0	0	1	2
Gongoni FR	0	0	1	0	1	2
Dakatcha	0	0	2	0	0	2
Tana R. Delta	0	0	2	0	0	2
Entire, Ke	0	0	1	0	0	1

Kaya Kinondo	1	0	0	0	0	1
Kaya Rabai	0	0	1	0	0	1
Kaya Diani	1	0	0	0	0	1
Kaya Chonyi	1	0	0	0	0	1
Kaya Jibana	0	0	1	0	0	1
Kaya Muhaka	1	0	0	0	0	1
North Cst						
Kayas	1	0	0	0	0	1
Tanga						
(Gombero)	0	0	0	0	1	1
West Usambara	1	0	0	0	0	1
Gede Ruins	0	0	1	0	0	1
Kaya						
Mtswakara	0	0	1	0	0	1
Chale Island	0	0	0	0	1	1
Magombera FR	0	1	0	0	0	1
Muheza	0	1	0	0	0	1
Korogwe	0	1	0	0	0	1
Kaya forests	0	0	1	0	0	1
Mtwara	0	0	1	0	0	1
Uvivunda Mts	0	0	1	0	0	1
Mafia Island	0	0	1	0	0	1
Kaya Dzombo	0	1	0	0	0	1
Shimoni forests	0	1	0	0	0	1
Pangani						
(Mwera)	0	0	0	0	1	1

Annex 3. List of sites and corresponding grant number of applications as well as their current grant status

Sites	Accepted	Stage 2	Resubmit	Ext. rev	CU review	Merged	Rejected	Withdrawn	Total no.
Taita Hills	0	5	3	3	6	2	12	0	31
E.Usambara	1	7	5	0	4	0	11	1	28
Entire	4	3	2	1	0	2	11	2	25
Udzungwas	3	4	2	2	3	3	6	0	23
Multiple	1	5	2	1	2	3	6	0	20
Tanga	0	2	5	0	3	0	8	1	19
Tana River	3	1	1	1	3	0	9	0	18
Entire, Tz	0	4	1	0	1	1	3	0	10
Ulugurus	0	2	0	0	4	0	4	0	10
Nguru Mts	0	2	0	0	3	3	2	0	10
Shimba									
Hills	0	0	3	0	0	1	4	0	8
Outside									
hotspot	0	0	0	0	0	0	8	0	8
Arabuko									
Sokoke	1	1	1	1	2	0	1	0	7
Jozani	0	2	0	0	1	0	4	0	7
Kasigau	3	0	0	0	2	0	2	0	7
Nguu Mts	0	2	0	0	1	3	1	0	7
Ukaguru									
Mts	0	2	0	0	1	4	0	0	7
Rubeho									
Mts	0	4	0	0	1	1	0	0	6
Lindi	1	2	1	0	1	0	0	0	5
Udzungwas									
NP	0	0	0	0	2	1	2	0	5
Dodori	0	1	0	0	0	2	2	0	5
Coastal Tz	0	1	0	0	1	0	2	0	4
Rufiji									
D.Coast F	1	2	0	0	0	0	1	0	4
Udzungwas									
Mts	0	0	0	0	1	3	0	0	4
Kilombero									
Valley	1	0	0	0	0	1	2	0	4
North Pare	0	3	0	0	1	0	0	0	4
Boni forest	0	1	0	0	0	2	1	0	4
Coastal Ke	0	0	0	2	1	0	1	0	4
South Cst									
Kayas	1	0	1	0	1	0	1	0	4
Buda Fres	0	0	0	0	0	0	3	0	3
Pugu/Ruvu	0	0	0	0	1	0	2	0	3
Usambaras	0	0	0	0	1		2	0	3
Selous GR	0	1	0	0	0	0	2	0	3
Mrima Hill	0	0	0	0	0	0	3	0	3
Dzombo									
Hill	0	0	0	0	0	0	3	0	3
Kaya									
Gandini	0	0	0	0	0	0	2	0	2
Kilwa									
D.Cstl F	1	0	0	0	0	0	1	0	2
Mikumi NP	0	2	0	0	0	0	0	0	2
Pemba	0	0	0	1	1	0	0	0	2

Island									
Mahenge	0	2	0	0	0	0	0	0	2
Diani forest	0	0	0	0	0	0	2	0	2
Gongoni									
FR	0	0	0	0	0	0	2	0	2
Dakatcha	0	0	0	0	0	0	2	0	2
Tana R.									
Delta	0	1	0	0	0	0	1	0	2
Coastal,									
Ke, Tz	0	0	0	0	0	0	2	0	2
Entire, Ke	0	0	0	0	1	0	0	0	1
Kaya									
Kinondo	1	0	0	0	0	0	0	0	1
Kaya Rabai	1	0	0	0	0	0	0	0	1
Kaya Diani	0	0	0	0	1	0	0	0	1
Kaya									
Chonyi	0	0	0	0	1	0	0	0	1
Kaya Jibana	0	0	0	0	1	0	0	0	1
Kaya									
Muhaka	0	0	0	1	0	0	0	0	1
North Cst									
Kayas	0	0	0	0	1	0	0	0	1
Tanga									
(Gombero)	0	0	0	0	0	0	1	0	1
West									
Usambara	0	0	0	0	1	0	0	0	1
Gede Ruins	0	0	0	0	0	0	1	0	1
Kaya									
Mtswakara	0	0	0	0	0	0	1	0	1
Chale Is.	0	0	0	0	0	0	1	0	1
Magombera									
FR	0	0	0	0	0	0	1	0	1
Muheza	0	0	0	0	0	0	0	1	1
Korogwe	0	0	0	0	0	0	0	1	1
Kaya									
forests	0	0	1	0	0	0	0	0	1
Mtwara	0	0	1	0	0	0	0	0	1
Uvivunda									
Mts	0	1	0	0	0	0	0	0	1
Mafia									
Island	0	1	0	0	0	0	0	0	1
Kaya									
Dzombo	0	0	0	0	0	0	1	0	1
Shimoni									
forests	0	0	0	0	0	0	1	0	1
Pangani									
(Mwera)	0	0	1	0	0	0	0	0	1

Annex 4. Sites and corresponding taxa/aspects of biological knowledge captured in applications submitted in 2004

Sites	Taxa/aspect	LoI Status
Coastal forests, Ke/Taita Hills	<i>Bactrocera dorsalis</i> : invasive insects	External Review
East Usambara	Invasive plants	Rejected
Tanga	Invasive plants	Rejected
Tanga	African violets (<i>Saintpaulia</i>)	Rejected
Entire	vascular plants	Stage 2
	Bird, mammal, reptile and amphibian, Galagos, tree hyrax and sengi populations	
Entire		Stage 2
Entire	vegetation quality, cover , threats	Stage 2
Entire	endangered trees species	Stage 2
Entire	Insect fauna	Stage 2
Entire	All taxa	Stage 2
Entire	Insect guilds	Rejected
Entire	Ichthyological inventory	Rejected
Entire	Birds	Rejected
Entire	Flora/fauna	Rejected
Entire	Dragonflies	Rejected
Entire	Botanical Inventories	Rejected
Entire	forest birds, amphibians , reptiles	Rejected
Entire	Primates	Ext. Review
Entire	Flora/fauna data	Rejected
Entire	Making data available on the species	Stage 2
Kasigau	ethnobotanical research	Accepted
Kasigau	Primates	Accepted
Kaya Rabai	Primates	Accepted
Lower Tana	Primates	Accepted
Lower Tana	Tana River Red Colobus (<i>Procolobus rufomitratu</i>) and the Tana Mangabey (<i>Cercocebus galeritu</i>)	Rejected
Lower Tana	Tana River red colobus (<i>Procolobus rufomitratu</i>) and Tana mangabey (<i>Cercocebus galeritu</i>)	Rejected
Lower Tana	Ecological indicators	Resubmit
Lower Tana	Fish Diversity	Rejected
Lower Tana	Traditional Sacred Sites	Rejected
Kaya Gandini	Coastal /marine species	Rejected
Kaya Jibana	Plant Species: Rare and Threatened	Internal review
Mahenge	Flora/fauna	Stage 2
Rubeho	Flora/fauna	Stage 2
Ukaguru	Flora/fauna	Stage 2
Nguru)	Flora/fauna	Stage 2
Multiple	Plants field guide	Accepted

Multiple	Southern Banded Snake-eagle <i>Circaetus fasciolatus</i>	Reject.
Multiple	Flora/fauna	Internal review
Multiple	Small mammals (shrews, bats and rodents)	Stage 2
Multiple	Army ants <i>Dorylus (Anomma molestus)</i> <i>Pteropus voeltzkowi</i> , and strategic review of all endemic species, eradication of <i>Maesopsis eminii</i>	Resubmit
Pemba		Review
Shimba	Reptiles and amphibians	Rejected
Taita	Primate Monitoring	Stage 2
	Elephant shrew <i>Petrodromus tetradactylus sangi</i> Heller 1912 & Mountain Dwarf Galago, <i>Galagoides</i> <i>cf orinus</i>	Rejected
Taita		Rejected
Udzungwas	Mangabey <i>Lophocebus sp.</i>	Accepted
Udzungwas	Sanje Mangabey <i>Cercocebus sanjei</i>	Accepted
Udzungwas	Chytrid	Accepted
Usambaras	African violets (<i>Saintpaulia sp</i>)	Rejected