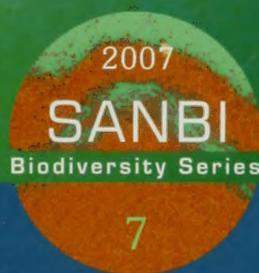


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project planning

*tools for
biodiversity conservation
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SANBI Biodiversity Series 7

Project planning: tools for biodiversity conservation and development projects

The first in a series of handbooks dealing with project planning in a people-centred development context

compiled by
Cape Action for People and the Environment



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SANBI Biodiversity Series

The South African National Biodiversity Institute (SANBI) was established on 1 September 2004 through the signing into force of the National Environmental Management: Biodiversity Act (NEMBA) No. 10 of 2004 by President Thabo Mbeki. The Act expands the mandate of the former National Botanical Institute to include responsibilities relating to the full diversity of South Africa's fauna and flora, and builds on the internationally respected programmes in conservation, research, education and visitor services developed by the National Botanical Institute and its predecessors over the past century.

The vision of SANBI is to be the leading institution in biodiversity science in Africa, facilitating conservation, sustainable use of living resources, and human wellbeing.

SANBI's mission is to promote the sustainable use, conservation, appreciation and enjoyment of the exceptionally rich biodiversity of South Africa, for the benefit of all people.

SANBI Biodiversity Series publishes occasional reports on projects, technologies, workshops, symposia and other activities initiated by or executed in partnership with SANBI.

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Preface

It sounds simple, but without people there would be no conservation. If one wants to achieve conservation goals, then people are the source of innovation and commitment that it takes. In addition, people who benefit from conservation are most likely to be interested in ensuring that biodiversity persists into the future. More significantly, conservation provides real opportunities for people to learn, to grow, to develop and to achieve lasting dignity and fulfilment.

South Africa's Cape Action for People and the Environment (C.A.P.E.) Programme recognises this and is committed to finding ways of enabling greater participation and involvement of people.

This handbook is one of the tools in the C.A.P.E. Toolbox, which addresses the widely felt need to develop, fund and implement conservation projects, particularly at a local level. It is the first in a series of three handbooks that will focus on the essential skills of project development, monitoring and evaluation, and implementation.

The approach of this handbook is people-centred and participatory. It is part of the efforts of the C.A.P.E. partnership to ensure that biodiversity conservation contributes to broader socio-economic development. It should be used by communities, NGOs, conservation agencies and government to develop and build capacity for more effective action.

I am pleased to recommend it to all of you who are involved in the challenging but worthwhile task of ensuring that our cities, our region and our country can achieve sustainable development.

Dipolelo Elford

Chairperson: C.A.P.E. Implementation Committee
5 March 2007

Message from the Critical Ecosystem Partnership Fund (CEPF)

Project planning: tools for biodiversity conservation and development projects is an excellent tool for all institutions and individuals involved in conservation. Planning can sometimes be overlooked, in the excitement to start a project and get the ball rolling, but the importance of sound planning cannot be overstated. All too often, projects are conducted straight through, only to find that the end result is not all that was expected, or, all activities were undertaken successfully, but in the end they do not result in a conservation gain. Sound project planning on what we intend to do, when we intend to do it, and who should be involved and at which stages, are all-important factors contributing to the success or failure of our efforts. CEPF enthusiastically welcomes this addition to the C.A.P.E. Toolbox—biodiversity conservation is too important to leave to chance.

Nina Marshall

Grant Director
Critical Ecosystem Partnership Fund
7 March 2007

Foreword

The Cape Action for People and the Environment (C.A.P.E.) is a partnership programme that seeks to conserve and restore the biodiversity of the Cape Floristic Region (CFR) and adjacent marine environment, while delivering significant benefits to the people of the region.

To implement C.A.P.E., stakeholders throughout the region have been encouraged to develop project proposals to access funds from a number of dedicated and nondedicated funding sources. These include the Table Mountain Fund, Critical Ecosystem Partnership Fund, the WWF Nedbank Green Trust and other funds. Projects themselves range from research and conservation management projects on the one hand through a variety of stewardship projects to community-based natural resource management and piloting of business and biodiversity partnerships. The complex process of project identification, development, monitoring, reporting and evaluation has highlighted a number of constraints for project planning experienced by all project proponents. At the 2005 C.A.P.E. Partners Conference, suggestions were made as to how the process could be improved. In response, the C.A.P.E. partnership agreed to develop several tools to support its stakeholders to plan and manage projects that would not only help to achieve the programme objectives, but also build lasting capacity.

Project planning: tools for biodiversity conservation and development projects is one of a series of three handbooks that will form part of the *C.A.P.E. Partners Toolbox* and that will guide project developers and other practitioners through the full project cycle. It is based on the excellent guides published by Olive Publications. The C.A.P.E. handbooks are modelled on the Olive series, but are adapted for application in the C.A.P.E. context and include relevant actual case studies that characterise the efforts of C.A.P.E. partners in building capacity that will result in benefits to biodiversity and the communities of the Cape Floristic Region.

The C.A.P.E. Co-ordination Unit

Acknowledgements

This handbook is an adaptation of the *Project Planning Handbook* written by Davine Thaw & Michael Randel and published by Olive Publications in 1998. It was commissioned by the Cape Action for People and the Environment (C.A.P.E.) Programme in 2006/7.

The production of the handbook depended on the support of Anne Kroon and Bram Langen of Olive Organisational Development & Training (OD & T), who, sadly, closed their doors at the end of August 2006. We hope that this adaptation will be a small contribution to the continuation of the highly regarded legacy of OD & T.

Special thanks are due to Domitilla Raimondo (SANBI Programme Manager: Custodians of Rare Endangered Wildflowers, CREW), who provided the contextual information and project examples, and to Paula Hathorn and Tanya Goldman (Cape Flats Nature), Ismail Ebrahim (SANBI, CREW) and Louise Stafford (CapeNature) for extensive and thoughtful comments on the draft versions.

Thanks also to the team of the C.A.P.E. Co-ordination Unit—Azisa Parker, Monique Damons and Trevor Sandwith—for their support with the process of compiling the handbook and for comments on earlier versions.

Case studies based on several C.A.P.E. projects that received their initial funding from the Critical Ecosystem Partnership Fund (CEPF) include:

- The C.A.P.E. Threatened Plants Programme—now known as the Custodians of Rare and Endangered Plants Project.
- Cape Flats Nature.
- The C.A.P.E. Conservation Stewardship Programme.
- Putting Biodiversity Plans to Work.

Detailed information about all these projects can be found in *Fynbos Fynmense: people making biodiversity work* (Ashwell et al. 2006, *Biodiversity Series 4*, South African National Biodiversity Institute, Pretoria), or on the C.A.P.E. website: www.capeaction.org.za

Support from SANBI's Publication Unit is also gratefully acknowledged.

The process of developing and publishing the handbook was made possible with financial support from the Critical Ecosystem Partnership Fund.

The C.A.P.E. Programme is hosted by the South African National Biodiversity Institute, and is supported by 24 signatory partners.

Mandy Barnett

C.A.P.E. Programme Developer

Acronyms

C.A.P.E.	: Cape Action for People and the Environment
CFR	: Cape Floristic Region
LFA	: Logical Framework Approach
MBO	: Management by Objectives
ZOPP	: <i>Ziel Orientierte Projekt Planung</i> (Objectives Oriented Project Planning)

Section 1: INTRODUCTION

1. PROJECT PLANNING IN CONTEXT

There are a number of approaches to development planning in use around the world. One approach—the project-based approach—is increasingly being used, particularly in South Africa. Introduced to the South African development community in the late 1980s and early 1990s, it is known by a number of brand names:

- ZOPP (*Ziel Orientierte Projekt Planung*) or Objectives Oriented Project Planning (used by GTZ and DSE).
- Logical Framework Approach (LFA) or Logframe (term used by Danida, Norad, SIDA, USAID and others).
- Project Cycle Management (used by the European Union).

All of these draw from the school of Management by Objectives. In this handbook we focus on LFA.

Donor agencies argue that the value of these approaches is that they bring increased clarity to the aims and objectives of recipient development organisations. This allows for the more effective monitoring of success, and for the assessment of impact.

This approach is used by the different South African government departments at national, provincial and local level; and most public-private partnerships are formed to achieve the aims of projects planned in this way.

The emerging role and responsibility of local government is to oversee the development and delivery of services to its communities and to do this with citizen participation. A basic understanding of a logical project-planning approach has become an important empowering tool for all.

Government officials, members of civil society organisations, NGOs/CBOs and individual members of communities have to increase their understanding of the steps in a project-based approach so they are more able to influence, contribute and monitor planned development interventions in their environments.

Development

Development happens constantly. People make conscious choices all the time to change things for the better.

However, there are often constraints and obstructions to development, for example:

- Political constraints—certain interest groups deny other groups access to resources, decisions or opportunities; sometimes they purposefully exploit others.
- Cultural constraints—some groups of people, for culturally determined reasons, may oppose development as they see it disrupting the patterns that have traditionally allowed for social cohesion.
- Geographic constraints—people living far from the centres of power and production are ignored or forgotten; or an economic view holds that such areas are not 'investment worthy'.
- Psychological constraints—people themselves might have experienced violence, trauma, exploitation or disregard, and do not have the energy or will to change or challenge the status quo.
- Environmental constraints—people will rely on natural resources for their livelihoods, development will be constrained by the depletion of these resources, by climate change or a natural disaster.
- The very availability of the range of natural resources on which all human life relies, is often threatened in areas, because of developments that do not take a long-term view of the implications of short-term, more politically urgent demands for more immediate results.

Broadly speaking, there are two ways of intervening in the development process:

- Through a longer-term fieldwork approach which consciously supports people in identifying these constraints and working through them at their own pace—a **process approach**.
- Through designing and implementing a project that has a defined lifespan. The project, when completed, should leave behind the resources, capabilities and tangible changes with which people can willingly continue to work—a **project approach**.

'Development is not predictable; it is beyond our hoped-for frame; it is dependent on good timing (not time-frames); it is not easily quantifiable; and it is definitely beyond our direct control.'

From a workshop involving development workers and donors (Harare, 1997)

If development is seen in this way, then unless designed and planned

1. with sensitivity,
2. with the stakeholders, and
3. with a keen understanding of the social and political dynamics and environmental sensitivity in an area,

the project approach may do damage rather than facilitate constructive change.

In working with LFA it is important to take these kinds of considerations into account.

Purpose of this handbook

To provide a simple and accessible introduction to the

- language;
- assumptions; and
- steps

of the project-planning approach.

In preparing this handbook, we drew largely on our experience of LFA.

Limitations of this handbook

A handbook is not, and cannot be, a substitute for a training programme in the method. Readers are encouraged

to participate in such a course if they seek to use the method in practice.

Every effort has been made to make project planning jargon as accessible and understandable as possible. However, we recognise that the jargon may be confusing for those who are familiar with different meanings of the same terms. A glossary of jargon can be found in Appendix I.

This handbook is aimed at any development practitioners seeking to:

- Expand their knowledge about this approach.
- Compare different approaches.
- Improve their flexible use of the method.

2. INTRODUCING THE METHOD

What is LFA?

LFA is a method of planning, comprising a set of steps and a range of 'tools', which aim to clarify perceptions, explore options and make choices about what solutions would effectively address particular problems.

This approach to planning draws heavily on Management by Objectives (MBO), an approach to managing people and organisations first popularised in business schools and companies in the United States during the 1950s and 1960s.

The Logical Framework Approach was first used for planning development projects in the 1970s. It was argued that development projects were not being planned systematically. Unclear and unrealistic targets were being set for projects, and it was proving difficult to co-ordinate and manage these projects.

European development-funding organisations have since adopted the Logical Framework Approach. This approach has been adapted to fit with different countries' approaches to development financing. LFA provides an integrated approach to managing different agents' support for development projects in many countries around the world. It also provides an integrated approach for different development projects initiated by South African government departments, civil society organisations and business.

What is a development project?

A development project can be defined as an intervention which addresses developmental problems

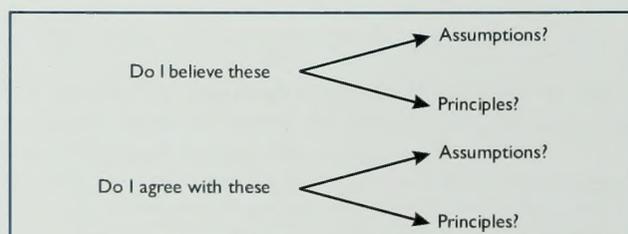
- by offering particular forms of support;
- for a defined target group;
- in a specified geographic location; and
- within a set time-frame.

The aim of these projects is to bring about an ongoing improvement in the living conditions of people.

Assumptions underpinning the project-based approach

You will have noted earlier that the project-based approach is only one approach to development. Any approach makes certain assumptions and works on the basis of certain principles.

It is usually at this level of assumptions and principles that the most interesting debates occur. So it is useful to ask yourself these questions:



The box below contains some of the assumptions of the project-based development approach.

Assumptions of the project-based development approach

A development project is a way of providing external support where it is needed.

If people were able to bring about the desired change by themselves, they would not require outside support. However, sometimes they are not able to, and need support from outside their community. One could imagine that there is a gap between where people find themselves and the desired change they seek. It is assumed that the project can assist people to bridge this gap for themselves.

The focus of an intervention must be on the sustainable alleviation of poverty.

The development project is concerned with improving the living conditions of people. Living conditions are not viewed in a narrow way—they include the ecological, economic, social and cultural context in which people live. The benefits of the intervention should continue even after the project has been completed.

An intervention or project must end.

The intervention is an attempt to change the factors preventing people from acting by themselves. Once the project has fulfilled these responsibilities, the external agents should withdraw. From the beginning of the intervention, there should be a plan to withdraw so as not to create dependency on the project.

The intervention should be well planned and properly managed.

The project should not result in people being worse off than they were before the start of the intervention. Careful preparation and managing of the intervention can mean that people's contributions—of support, of their own resources—are not wasted.

A project seeks to meet people's needs (not the outside agency's needs).

The project must be based on the problems and needs of people, and must support people in solving those problems. There are, however, many instances when this approach is used to impose an externally constructed and externally driven development process.

Principles of the LFA approach

M
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Rights and responsibilities are clearly defined.

This ensures a clear distinction between the rights and responsibilities of the project staff and those of the target group.

Change is the aim.

A project is designed to bring about positive change.

P
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S

Iteration is encouraged.

To **iterate** is to revisit our earlier thinking on the basis of new ideas and insights.

The technique encourages the planning team to constantly **check** its earlier conceptions or views.

The aim is to improve the plan on the basis of new information and understanding.

Flexible control.

The various tools can be selected, adapted and used in flexible ways to fit the context and conditions in which they are being used.

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Transparency.

If used appropriately, the approach ensures that the development plan is open and public to everyone involved.

Participatory.

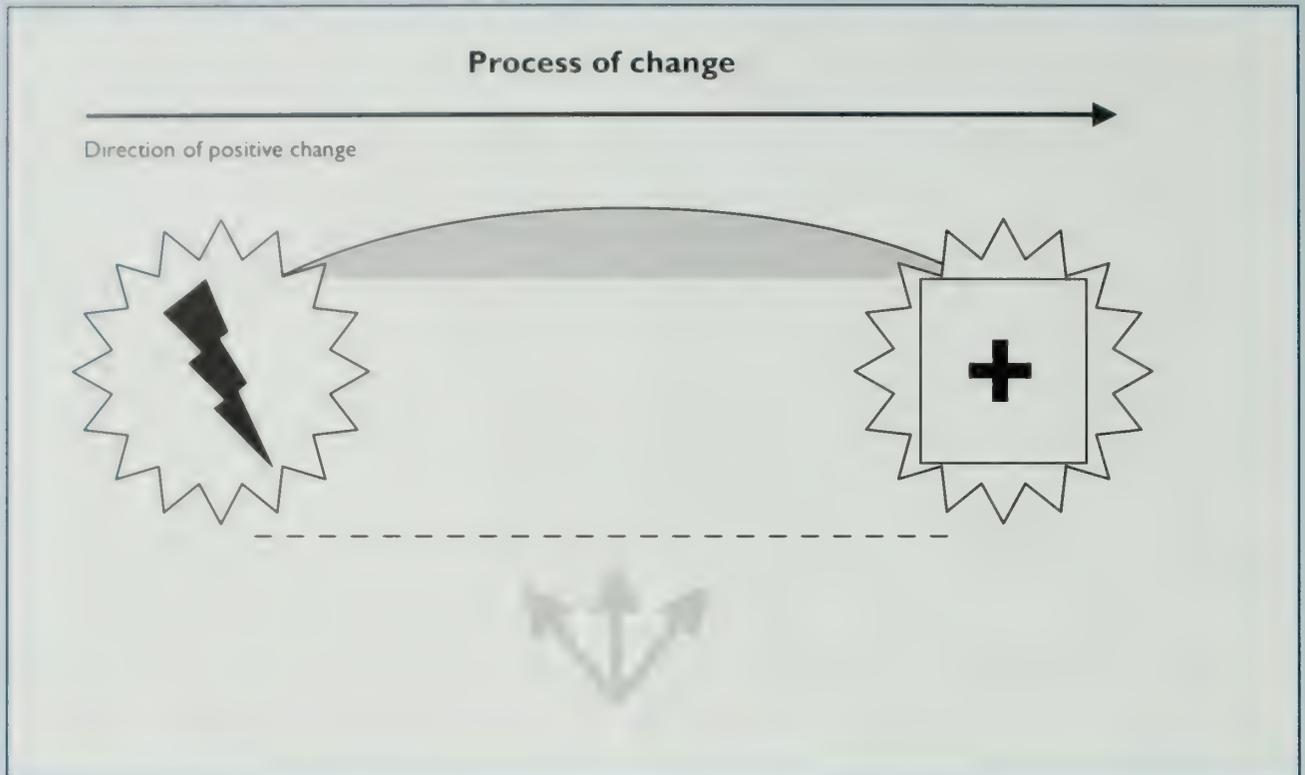
One can use the method to involve all stakeholders in the analysis, design and planning of the project.

This can contribute to the sharing of information and the building of consensus about the project.

NOTE: this approach can also be used in a nonparticipatory way. It is up to you!

The approach in a picture

LFA is a way of planning and managing change. Its approach to change is here represented in a picture.



Let's look at what is represented by each element of this picture:



Where a group of people currently find themselves with a range of problems.



Where a group of people hope to be in the future with these problems realistically addressed.



The action that the people will take to bridge the gap between where they find themselves now and their desired future situation.



The 'line of responsibility' or boundaries which outside agents will not cross in supporting people to bring about change. These boundaries must be discussed and agreed on during the process of project planning.

The support provided by the *project* to people, to enable them to act in new or different ways. People's own action then brings about the changes they seek.

Problem orientation—a key feature of LFA

Working with this orientation means that a development project is planned on the basis of the *problems* that people face. There are other ways in which projects have been developed or planned:

- On the basis of the policy of government or a development organisation.
- On the basis of an ideological position.
- On the basis of a 'good idea' of some development agency.

The project-based approach calls for planners to start with the problems people face in their daily lives.

There are four serious issues here.

1. People face many problems, many of which are linked.

The challenges for a planning team are as follows:

- Who has identified these problems?
- Who has prioritised these problems?

- Who decides which (or how many) problems will be tackled by the potential project?
- Does the planning team have enough information to develop informed optional solutions?
- Who is in the planning team? (Is it only outsiders?)
- If the team is only going to respond to one problem, why is this?

2. Different problems affect different groups of people in different ways.

This raises the importance of 'unpacking' or disaggregating (i.e. separate into its component parts) the notion of community, and identifying which particular people are facing which problems.

The LFA method uses the idea of *target groups* (see page 12 for a definition) to help clarify this issue.

Examples of target groups:

- Unemployed school-leavers.
- Environmental NGOs.
- Researchers.
- Commercial farmers.
- Primary school teachers.

One tool in the LFA approach—the Participant Analysis (see page 11)—assists the planning team to have a better understanding of the social and political relations between different stakeholders and their interest in, or how they are affected by, a problem.

3. Different problems have different and, often, many causes.

These causes lie at different levels and are often linked to one another. The Problem Analysis, the first step in

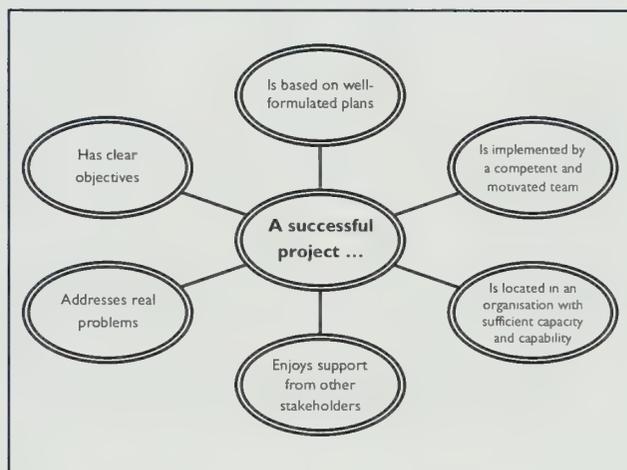
this approach, aims to help the planning team identify and unpack the relationships between problems.

4. Different problems are experienced as more urgent and easier to solve in the short term.

The immediate need for housing and employment opportunities for a community may be felt far more urgently than the need to conserve the unique biodiverse environment in which potential business or housing developments are planned. Weighing up priorities and mediating the short-term and long-term impacts of development initiatives are political challenges. Because projects have a limited life span, they never have to account for long-term negative impacts on the environment.

How important is planning for a successful project?

Obviously it is of great importance but, as the saying goes, it is 'necessary, but not sufficient'. It is not a magic process. A number of other factors must be considered.



In summary ...

What is clear so far is that:

- The method helps us sort out our thinking before rushing in.
- The project-based approach is only one way of tackling development.
- As with all approaches, it has limitations and should not be used unthoughtfully.
- You have to come to grips with the 'jargon' of this method to use it knowledgeably.
- The project planning approach, as with other approaches, makes a range of assumptions and is used on the basis of certain principles. These can, of course, be contested.
- The method can be used mechanically or creatively; destructively or constructively. Though some limitations lie in the method itself, many lie in the minds and hands of the people using it.

Approach LFA creatively and flexibly, not doggedly.

Enjoy!

Section 2: OVERVIEW OF THE METHOD

1. SUMMARY OF THE METHOD

There are two phases to the planning approach:

1. The Analytical Phase.
2. The Design Phase.

In the **Analytical Phase** there are four steps:

Step	Outputs of each step
1. Participant analysis	An analysis of participants
2. Problem analysis	A problem tree
3. Objectives analysis	An objectives tree
4. Alternatives analysis	Analysis and selection of alternatives

The **Design Phase** involves three steps:

Step	Outputs of each step
5. Defining the project elements	A definition of the: <ol style="list-style-type: none"> 1. Development goal/outcome. 2. Project purpose/immediate objective. 3. Output/deliverables. 4. Activities. 5. Inputs.
6. Assessment of assumptions	Assumptions or external factors are assessed in terms of probability and importance.
7. Developing the indicators	Indicators are developed for the development, goal, project purpose and outputs, as a basis for monitoring and evaluation.

The design elements are captured in what is known as a Project Planning Matrix.

	Project elements	Indicators	Assumptions
Objectives	Development goal/outcome		
	Project purpose		
	Deliverables/outputs		
Project area	Activities		
	Inputs		

Notes

The **Objectives** (also known as the Project Environment)

There are two levels of objectives:

1. The **Development goal or Outcome** describes the longer-term benefits to which the project will contribute. This is seen as the justification for the project.
2. The **Project purpose** describes what will come about or what the target group will

be able to do because of the project's support.

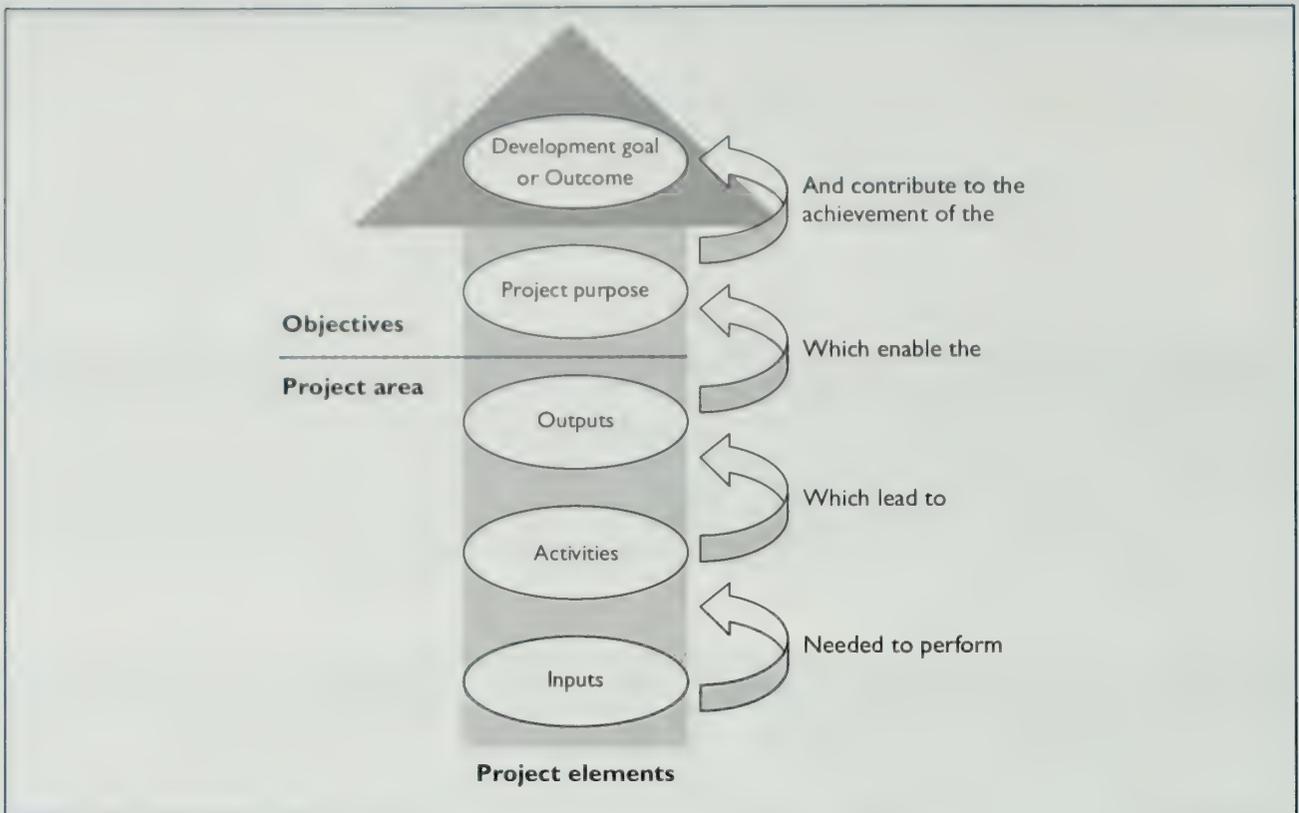
The **Project area**

There are three components of the project area:

1. **Deliverables or outputs** of the project.
2. The **activities** undertaken to achieve these outputs.
3. The **inputs** required to undertake the activities.

All the components of the project area are under the direct control of the people who execute the project.

The picture below shows the relationship between all project elements. Read it from the bottom, up:



Assumptions

There are external conditions that are not under the control of the project, but are needed for success. They have to be assessed to gauge whether or not they pose a risk to the project.

Indicators

These describe the basis of measuring how well the objectives and outputs have been achieved. Indicators are a foundation for monitoring and evaluation.

2. A CASE STUDY TO WORK WITH

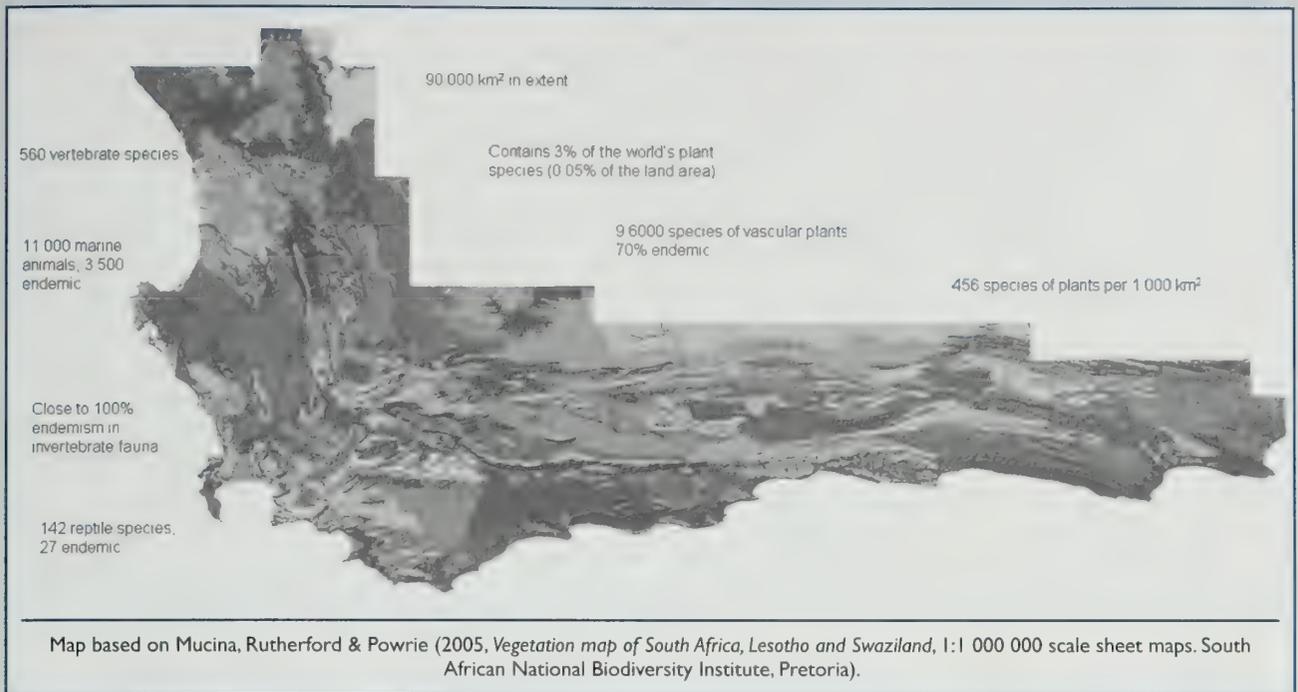
When learning a new method or approach, we believe it is useful to work with a case study. We invite you to work with the case study as a first stage in applying the different steps of LFA. This case study runs throughout the publication.

Do bring your own experience and ideas in as well!

Overview of case study: Sandplain Flower Reserve (fictitious area)

At the southern tip of Africa, where the continent meets two oceans, is a small stretch of land and sea that boasts an astonishing variety of life. Plants are so diverse and unusual that the region has been identified as a unique 'floral kingdom'. The Cape Floral Kingdom or Floristic Region (CFR) is the smallest of the six such natural areas in the world, and is the only one inside the borders of a single country.

The convergence of the Atlantic Ocean and Indian Ocean weather systems, as well as a multiplicity of topographic features such as coastal plains, narrow valleys, high plateaus and steep escarpments, has conspired to create an enormous array of habitats and microclimates within which these many thousands of species have evolved. Other factors leading to a high floristic diversity are a complex rainfall pattern with varied precipitation amounts, varied soil types, the frequency of fires producing in some reseeding species shorter generational times and thus higher speciation rates, the evolution in many species of short distances for seed dispersal, a significantly higher pollinator diversity and, perhaps as important as any of these, a relatively stable climatic history throughout the Pleistocene era which resulted in lower extinction rates and relatively more numerous local speciation events.



Only a very small percentage of this area receives any form of protection. At least 1 400 plant species are now endangered or close to extinction. It is this combination of species richness and enormous threats that makes the Cape Floral Kingdom one of the most important global 'hotspots' of biodiversity.

Although 11% of the CFR is formally conserved, not all areas are adequately protected. As the existing reserves do not extend across climatic and habitat gradients, these reserves do not include a wide altitudinal range to buffer the effects of global climate change. Many reserves are cut off from other environmentally rich areas. Plants and animals are not able to migrate, either seasonally or in response to climate change, to other reserves by means of corridors, e.g. river courses.

Some of the most threatened areas in the CFR are the lowland areas. Only 3% of lowland areas is conserved in statutory reserves, while agriculture and forestry have already transformed 31% of these habitats. It is in these lowland areas where most plants on the Red Data list occur. These areas have a rich diversity of wildflowers, but they are under severe threat. Many of these species are becoming rare and endangered.

Huge areas of the CFR are used for agricultural purposes. As the total area of agricultural lands is still expanding, the area available for natural habitats of plants and animals becomes smaller and smaller. Agricultural patches of land divide formerly unified areas. This limits movement of animal and plant species between different areas, in turn damaging the natural interaction and sustainability of plants and animals. The intensity of agriculture is often high; farmers work with large areas of monoculture, and the use of water and chemicals is increasing.

The direct threats to biodiversity are the symptoms of a deeper set of problems relating to the perceptions and political will of people. The value of natural ecosystems and the need to conserve them are not recognised fully by all. Private landowners, communities, land-use decision makers and local government officials have little awareness of the severity of the threat that hangs over the CFR. Little information is available about biodiversity; and the uniqueness of the environment is not well realised by the people who live close to it.

One of the areas in the CFR that deserves special attention is the Sandplain Flower Reserve.¹

The Sandplain Flower Reserve (SFR) lies within the CFR and is situated about 50 km east of Cape Town. This is one of the only natural fragments left in a highly urbanised area. The vegetation is Sandplain Fynbos. Only 7% of this critically endangered vegetation type remains. The SFR was originally proclaimed to conserve the extremely rare spotted sand lizard. Although this species has gone extinct here, it still remains one of the most important sites for conservation in the area as there are 220 plant species, 20 of which are threatened with extinction, recorded from this tiny 12 ha reserve.

The population density in the areas around SFR is about 200 people per square kilometre and it has been rising over the past 30 years. Littering of the environment is on the rise. More often than before, small and larger fires burn the natural environment. Wildflowers are being picked to be sold. Fewer and fewer flowers are seen every year. Nearby agricultural activities and surrounding human settlements make the occurrence of alien species more and more visible. Native plants have to compete with alien species for nutrients, water and space.

¹ The Sandplain Flower Reserve is a fictional area, created for the purposes of this case study.

Local communities, landowners and local authorities have little awareness of the status of threatened species. Decision-makers have no updated information about the list of threatened species or maps of vegetation fragments. This makes it difficult for them to prioritise conservation action in the area. Communities do have some local knowledge about the use and distribution of plants, but only a few persons have this knowledge and it is not being passed on to new generations.

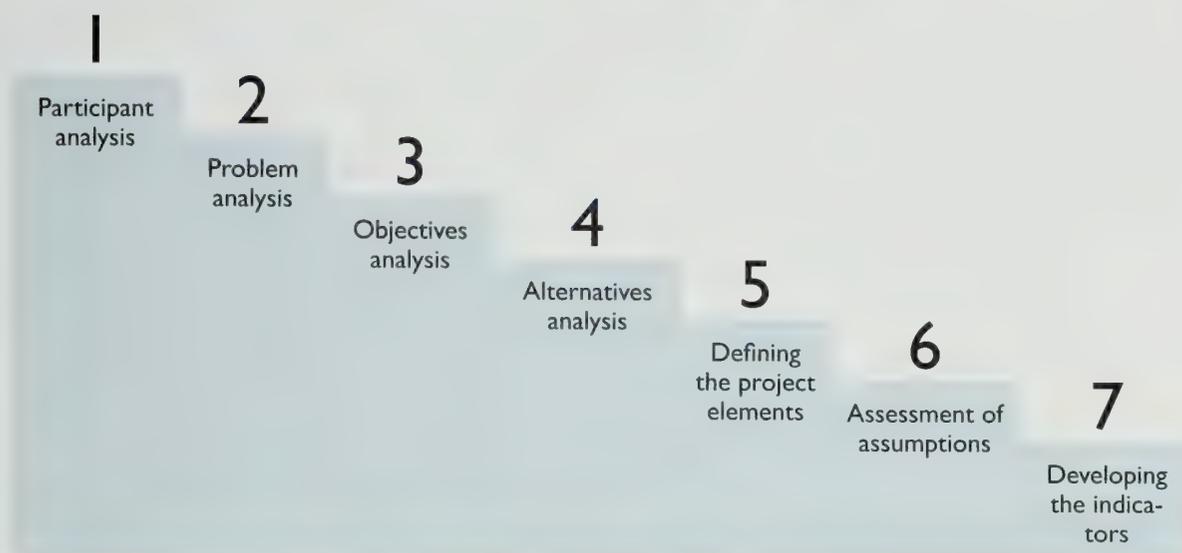
There is little off-reserve conservation. Conservation agencies and government departments have neither sufficient people nor money to protect endangered species throughout the project area. Furthermore it is hard to say exactly how endangered species are—or if they have become extinct already—as little research is being done into the biodiversity status in the region. The last in-depth study of the project area was done in 1996.

The Sandplain Flower Reserve has no full-time staff. Every half year a new student works part-time at the reserve. In 2005 a volunteer group was established by a local NGO to help with conservation activities in the area. The Sandplain Flower Reserve Working Group (SFR WG) consists of three individuals from the adjacent Naledi community. The Working Group has been instrumental in conserving the reserve. Its constant presence on the reserve and its continuous submission of comments to the City has helped fight the numerous proposals to develop the site. All the members of the SFR WG are unemployed, and survive on government social grants. As these volunteers are desperate for employment opportunities, livelihood opportunities have to be developed for them in the area. The WG is also in desperate need of more volunteers to join it.

A need has also been identified to rehabilitate some adjacent areas, but insufficient labour is available.

Section 3: THE SEVEN CLASSIC STEPS

THE SEVEN CLASSIC STEPS



These are the seven steps followed when using this method. Many adaptations to the steps have been made in many different countries over the years.

We encourage you, however, to become reasonably proficient in these seven 'classic' steps so that you can use the method more flexibly.

This section will look at each of these steps and, using the case study data and context, will give examples of each.

1. PARTICIPANT ANALYSIS*

Why?

- To identify the people who have an interest in the success or failure of the potential project.
- To assess their stake in the project.
- To have a better understanding of the social and political issues that the project planners must take into account.

How?

Step 1: List all the possible participants or stakeholders

A table like the one below can be used to assess and compare participants.

Participant	Problems What problems do they face?	Interest What do they want from the project?	Potential What might they bring to the project?	Linkages Are there any points of— conflict? co-operation? dependency?

See page 12 for an example of a completed Participant analysis.

in a potential project.

Step 2: Prioritise the six or seven most important stakeholders. Ask the question: 'Which interests do we believe are the most important ones to analyse?'

Step 3: Assess these in terms of their:

- Problems.
- Interests.
- Potential.
- Linkages to one another.

* Sometimes called a stakeholder analysis.

Notes

What is the difference between:

- a participant;
- a target group; and
- a beneficiary?

A participant

is any individual, group or institution that may be affected, negatively or positively, by a particular project intervention. For example:

- Funders of the project.
- Suppliers of equipment to the project.
- The target group/s and beneficiaries of the project (see below).

The target group

is a group of people who are targeted by the project team as a vehicle for achieving the project purpose. For

example:

- Schoolteachers involve learners in environmental restoration projects.
- Civil society volunteer groups monitor threatened plant species.
- Landowners clear alien species.

The beneficiaries

are the group of people who ultimately benefit from a project intervention. For example:

- Learners learn practical skills in restoring biodiversity.
- People's knowledge base expands.
- The people in the catchment area benefit from an improved water table.

When developing projects that focus on the conservation of biodiversity, it can be useful to think of the environment or biodiversity as a beneficiary as well.

Case study: Sandplain Flower Reserve Participant Analysis

Participant	Problems What problems do they face?	Interest What do they want from the project?	Potential What might they bring to the project?	Linkages Are there any points of : - conflict? - co-operation? - dependency?
Governments (local, provincial, national)	Want to promote development, job creation, housing development, but also want to consider the environment.	Improved (image of) job creation, housing, caring about environment: more votes in next elections.	Money, management capacity, connections, legal setting.	Conflicts between different departments (e.g. Dept of Environment and Dept of Housing).
Conservation organisations	Lack of information about species and vegetation to make proper decisions.	Ensuring that endangered species are conserved.	Approach to better managing the reserve, knowledge of conservation.	Have to cultivate strong relationship with researchers, those vandalising reserve, etc.
Local (nonenvironmental) NGOs and CBOs	Limited funding and resources to promote mission.	Increased community development and wellbeing.	Experience in collaboration with government and community (e.g. volunteers).	Links with area schools to promote environmental education opportunities.
Community structures	Isolation, being planned around.	Community development opportunities, the need to influence the road map.	Wisdom about community dynamics.	Political linkages.
Community residents (including elders and children)	High rate of unemployment. No transfer of local knowledge.	Livelihood opportunities.	Local knowledge; enthusiasm.	Possible conflict: resource orientation, people-centredness; co-op: buy in = increased levels of custodianship.
Etc.				

Other participants could include schools, researchers, volunteers, local businesses, private landowners, etc.

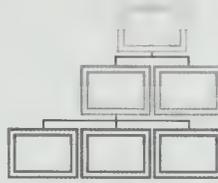
2. PROBLEM ANALYSIS

Why?

- To understand the range of problems that face people in a particular context or community.
- To understand the relationship between certain problems.
- To understand the cause-and-effect relationship between different problems.

Tool?

A problem tree illustrating the various problems. It is built up by using cards.



The problem tree allows the participants to visualise both the range of problems and the interrelationship between them. A problem tree helps us to understand the problems—it is not intended to simplify them.

How?

Step 1: Write down about 10 statements on the problem. Each statement should be written on its own card and should describe one problem experienced by people in the particular context or community.

Here are some examples:

✓ Helpful wording	✗ Unhelpful wording
A very small % of the CFR receives protection.	Insufficient and inadequate reserves in place.
Only 3% of lowland areas are covered in statutory reserves.	
Reserves are cut off from other environmentally rich areas.	
A growing population puts further pressure on land use.	High population growth.
Conservation agencies generally operate in isolation.	There is no co-operation among conservation agencies.
There is ignorance about the value of biodiversity.	There is a lack of potential will to restore or conserve biodiversity.

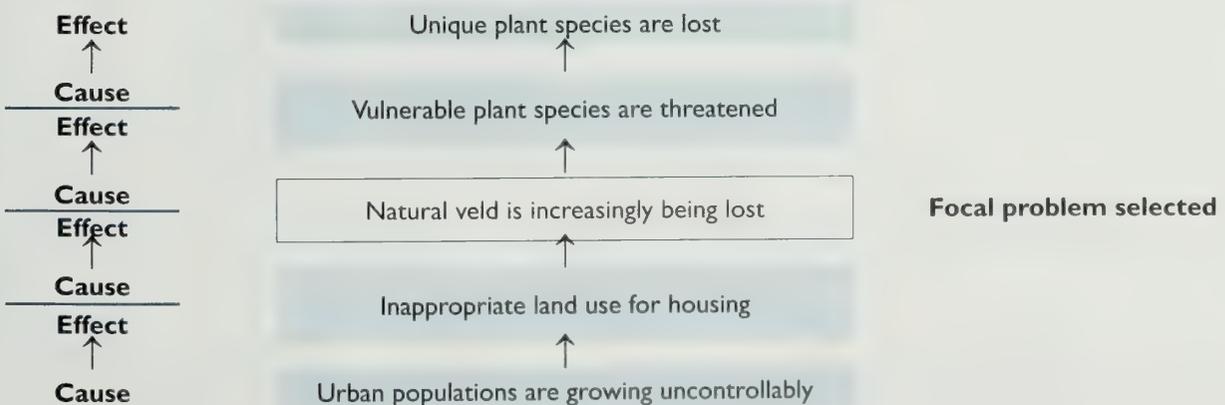
- Write one problem per card.
- Be as specific as possible.
- State the problem as a negative condition.
- Do not write 'No ...' unless this is absolutely true.
- Do not write 'Lack of ...' as this indicates the absence of a solution, and not a problem.

Step 2: As a starting point, select one focal problem for the analysis.

Note: This is NOT necessarily the core problem or the most important problem. Instead, this is a statement that people agree provides a starting point for building the tree. Write this statement on a different colour card.

Step 3: Organise these cards (on a board, wall or table) into cause-and-effect relationships around the focal problem.

Here is an example of cause and effect:

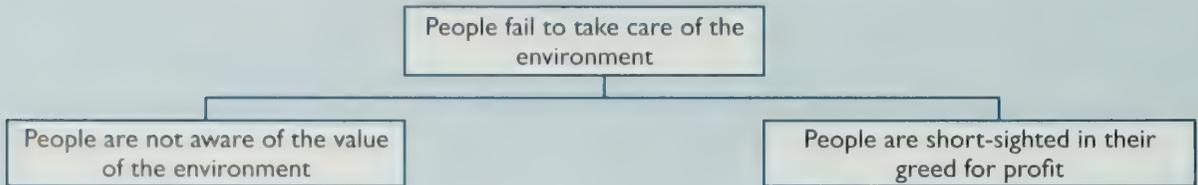


Notes

People naturally think in cause-and-effect relationships; that is, if **x** happens, then **y** will follow. However, different people interpret the cause of a problem differently. For example:



These could both be factors, in which case they can be presented as follows:



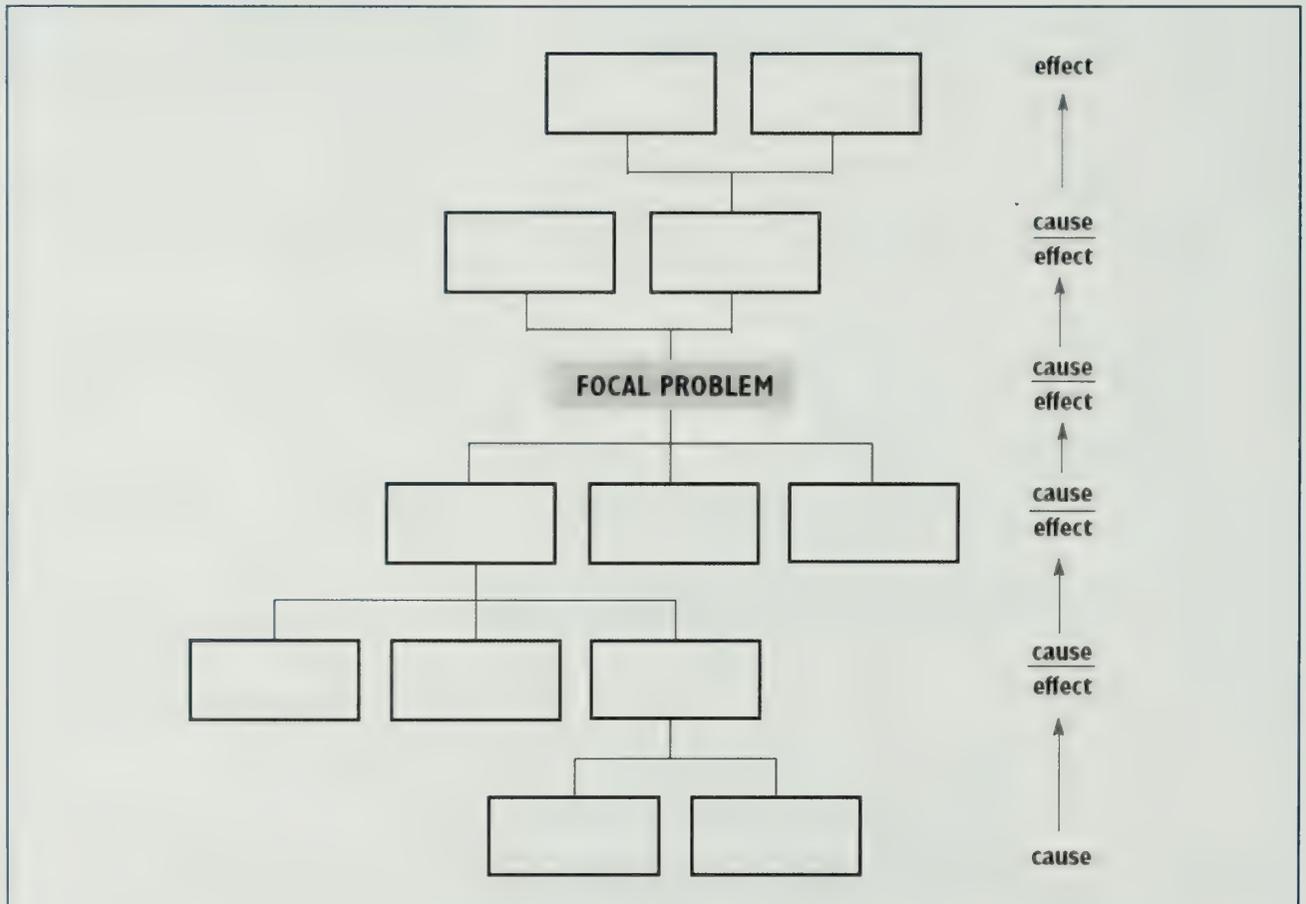
Or, the group must debate which factor, in a particular situation, is the leading cause and which is a secondary or even an imagined cause.

Step 4: Add cards as needed to complete the cause-and-effect logic. Fill in any gaps in the logic.

- Remove cards that are repetitive.
- Rewrite cards to be more specific and real.
- Be sure the statements are substantial.

Step 5: Review the problem tree to ensure that the planning team agrees that the cause-effect relationships are valid.

A problem tree looks something like this:

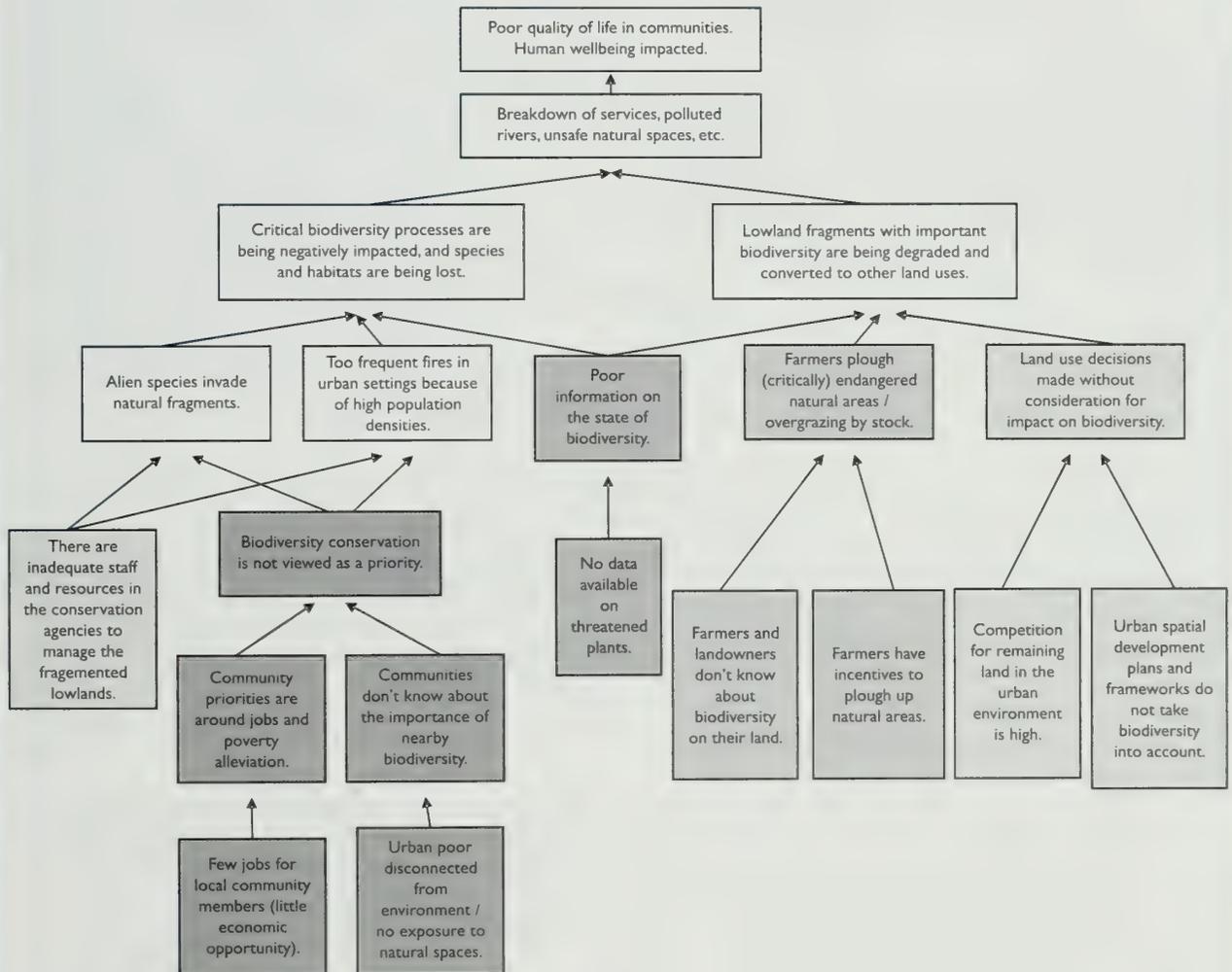


Notes

1. Because different groups interpret relationships differently, there is no 'perfect' or 'correct' problem tree. Rather see this step as an important way of analysing problems and the relationships among them. It helps us to realise the complexity and interrelatedness of problems.
2. What is important, is for the whole group doing the exercise to develop a common understanding of the problems and their interrelationships.
3. A problem tree is as good as the correct, realistic information you bring to it. If you have poor information, you will probably have a poor tree!
4. It is important for the people experiencing the problems to participate in this step.
5. The problems on which you choose to focus are influenced by who you are and your frame of reference.

Case study: Sandplain Flower Reserve problem tree

Problem Tree



3. OBJECTIVES ANALYSIS

Why?

- To identify desired improved conditions.
- To show the means-end relationship between these desired improved conditions.
- To state the expected result or outcome of producing each of the outputs.

Tool?

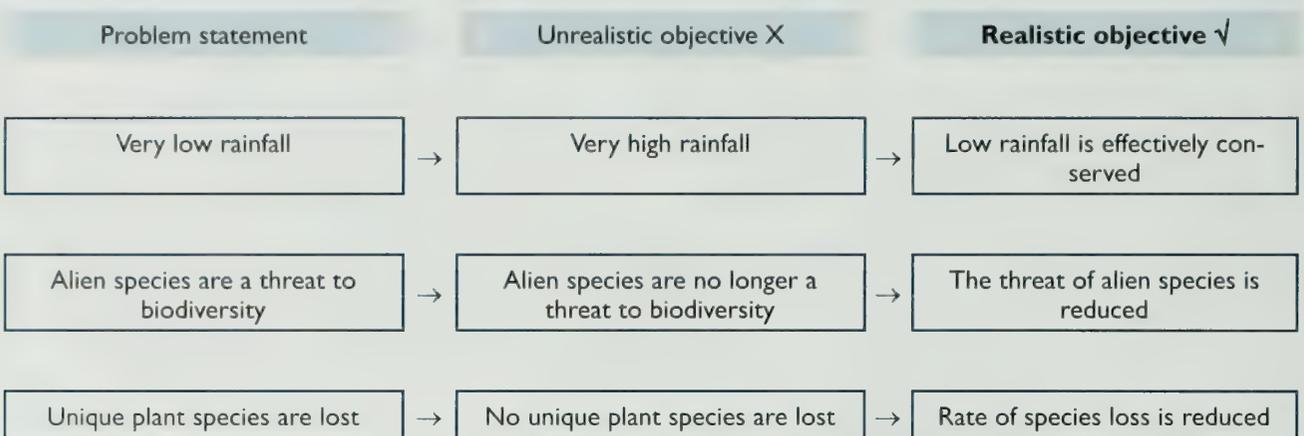
An objectives tree using cards.

An objectives tree describes the range of potential improvements relating to people's lives. It seldom happens that all these objectives can be met by a single project intervention. However, it alerts the planning team to the relationship among different objectives

How?

Step 1: Restate all the problem statements in the problem tree as positive, desirable and realistic conditions. They should be stated as outcomes. This means that they are stated as though they have already occurred. Work from the top of the tree downwards. They should also be measurable and realistic.

Here is an example:



Step 2: Reword the focal problem as an outcome and write it on a card of the same colour as all the other cards.

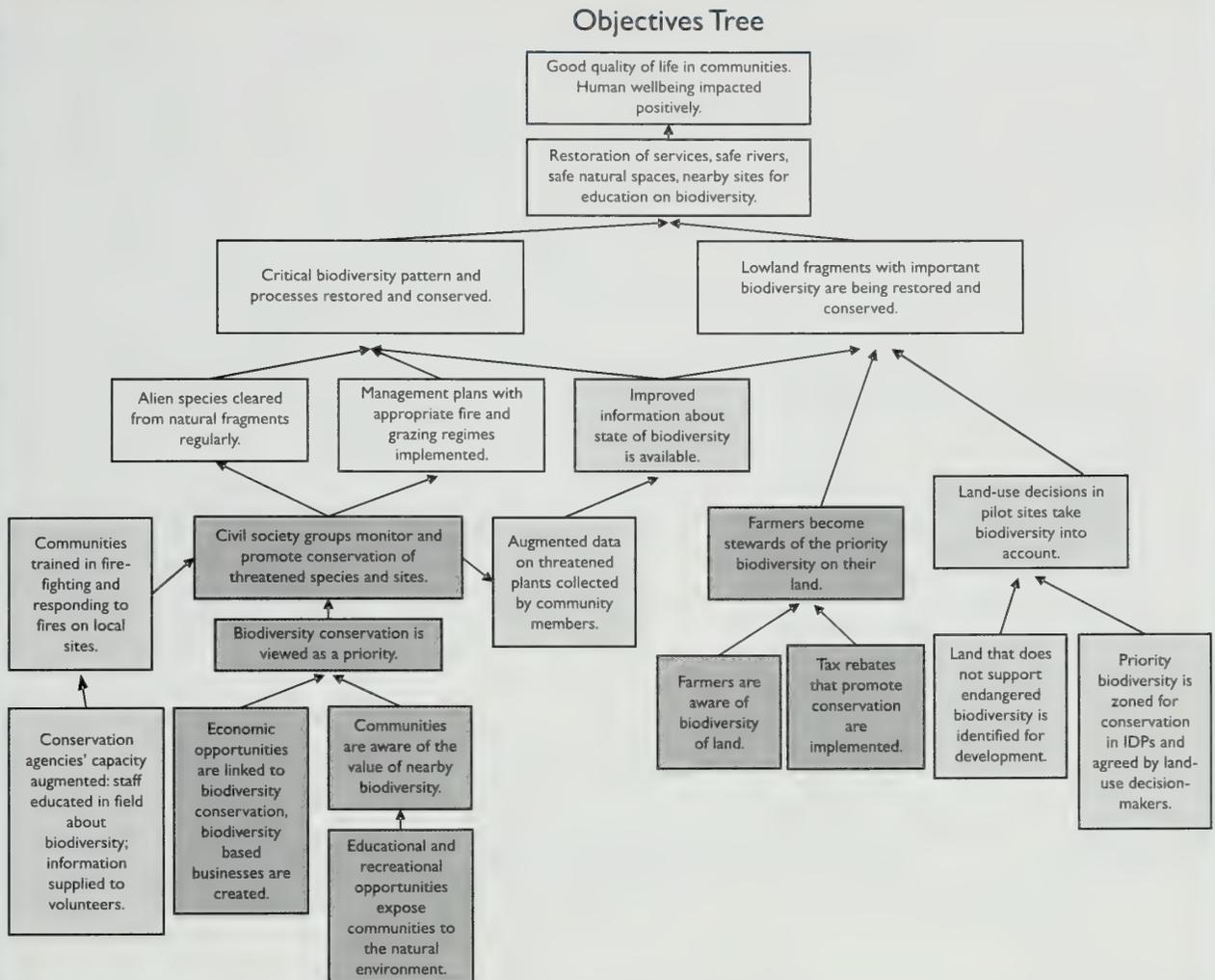
Step 4: Add or delete cards and ensure the means-to-end logic is valid. From the *bottom up*, read to check for means-end logic.

Step 3: Review the cards and reword them to make them realistic. Sometimes this requires rewriting the problem statement. (This is an example of *iteration*—the process of revisiting and checking ideas. It allows the development of a fuller understanding of the problems.)

Step 5: Draw connecting lines to show the means-end relationship.

The objectives tree looks very much like the problem tree, but shows positive outcomes. See page 17 for an example of a complete objectives tree.

Case study: Sandplain Flower Reserve objectives tree



4. ALTERNATIVES ANALYSIS

Why?

- To identify alternative ways of impacting on the range of problems identified. One project intervention cannot solve all the problems at once. Instead, the planning team must:
- make some choices in order to make the most strategic intervention;
- assess the feasibility of each alternative (or strategy);
- select one agreed and appropriate strategy.

How?

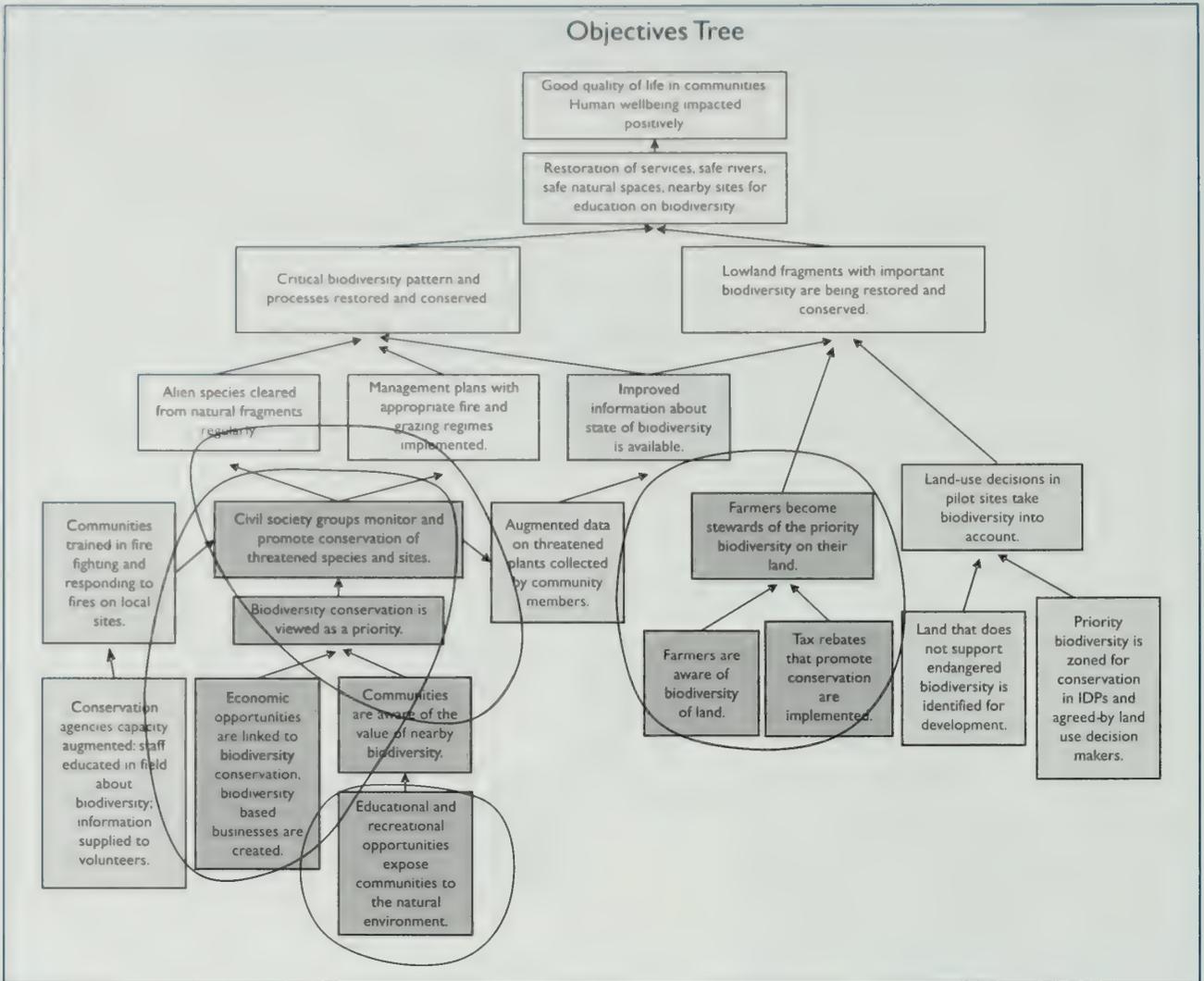
Step 1: Study the range of objectives in the objectives tree.

Each card represents an objective that could be achieved.

Step 2: Identify the different 'means-end ladders' that present themselves in the objectives tree. Outline these with a pen. These are the various options or strategies. There may be overlap between the elements of different strategies.

Step 3: Eliminate any optional strategies which are:

- Unrealistic.
- Not within your field of expertise or capability.
- Being tackled by an existing project/programme/people's initiative in the area.



Step 4: Select a strategy (or alternative) and discuss the implications it has for different stakeholders.

A matrix is a simple tool that can be used for Step 3 and Step 4.

Options/Alternative	Positive implications	Negative implications
1.		
2.		
3.		

You should take this matrix one step further and develop criteria to assess the options. The criteria allow you to compare each option against the same elements.

Some examples are given below. (Note that the matrix has been changed around with options listed at the top axis. Use whatever arrangement is useful to you.)

	Options	1.	2.	3.
Criteria				
▪ Cost-effectiveness				
• The number of people it will reach				
• Is it environmentally sustainable?				
• How long will it take to be achieved?				
• ...				
• ...				

See the case study example on pages 19–20.

Case study: CFR Alternatives Analysis

Alternative 1: Custodians Programme

Description: Building the capacity of private landowners and community groups to identify plants on the Red Data list and manage alien plants and fires in the critical biodiversity areas that are next to where they live. Landowners and communities where the most conversion of natural vegetation has taken place would be targeted, and services would be provided on a volunteer basis. Several sites across the CFR could be chosen.

Alternative 2: Conservation Incentives Project

Description: Recognising that the State will never have sufficient resources to own and/or manage all the land that contains critical biodiversity, a stewardship programme would promote partnerships between landowners and conservation agencies, and encourage landowners to manage their land appropriately by using tax rebates to reward good land management and conservation.

Alternative 3: Conservation and Livelihoods Project

Description: Identifying and creating livelihood opportunities for communities living next to critical sites. These could include a range of jobs, such as helping to manage the nature reserve, being a biodiversity guide or clearing alien species on a regular basis. This would create jobs for communities burdened by unemployment and develop the capacity of the conservation sector that needs many forms of support to conserve the unique habitat and species in the CFR. Partnerships would have to be developed between conservation agencies, local government and the private sector.

Alternative 4: Schools that know and care for the environment

Description: Schools across the CFR are selected to participate in an education and conservation programme. Learners, parents and school communities are educated about the environment. Schools adopt a threatened species, or critical areas. These schools' resource base of environmental knowledge grows. Learners volunteer to clear sites and are in turn exposed to unique habitats. A partnership would have to be developed between the Department of Education, local authorities and the conservation agency.

Case study (continued): Assessing the advantages and disadvantages of each alternative

Option/Alternatives	Advantages	Disadvantages
1. Custodians Programme	Focused. A selection of sites across the CFR could be identified.	Diversity of groups. Management costs would be high.
2. Conservation Incentives Project	Targets landowners who own most of the critical biodiversity. In the long run, could alleviate lack of extension capacity in conservation agencies.	Changing people's attitudes is a slow process. In the short term, would require increased extension support from conservation agencies.
3. Conservation and Livelihoods Project	Job creation opportunities. Opportunities for building institutional relationships with the job creation sector.	Not directly linked to the conservation process.
4. Schools that know and care for the environment	Spread knowledge through curriculum. More people involved.	Schoolchildren might move after some time. Education programme would not necessarily result in direct and immediate changes in behaviour.

This assessment of each alternative gave valuable insights to the C.A.P.E. planning team on the merits of each option. To help the team select one option as its project, the members decided to assess each one against what they believed to be the six most important criteria that should characterise the project:

- Contribution to a priority conservation need.
- Potential to catalyse the impact beyond target area.
- Evidence of capacity enhancement and knowledge transfer.
- Sustainable impact in the long term.
- Innovation and novelty.
- Impact on socio-economic problems.

Case study (continued): Assessing each alternative against selected criteria

Options Criteria	1. Custodians of rare and endangered wildflowers	2. Stewardship	3. Conservation and Livelihoods Project	4. Schools that know and care for the environment
Contribution to a priority conservation need *	High	Medium	High	Medium
Potential to catalyse impact beyond target area	High	High	Medium	Medium
Evidence of capacity enhancement and knowledge transfer	High	High	Medium	High
Sustainable impact in the long term	High	Medium	High	Medium
Innovation and novelty	High	High	High	High
Impact on socio-economic problems	Medium	Medium	High	Low
High = 3 Medium = 2 Low = 1	20	17	19	17

* This criterion was weighted by 2.

Selecting the project

The planning team saw that the **Custodians Programme** and the **Conservation and Livelihoods Project** both received very strong ratings in the assessment.

The team strongly argued for the Custodians Programme because it would reach a wide range of prioritised areas.

The second project for which they opted was the Conservation and Livelihoods Project. These projects were seen as quite closely related and the one built on and strengthened the other.

Note to the reader: In reality, all four pilot projects are being implemented in the CFR. See the publication *Fynbos Fynmense* (Ashwell et al. 2006, SANBI Biodiversity Series 4) for details, or visit the C.A.P.E. website on www.capeaction.org.za!

In summary so far ...

What we have achieved so far:

The four analytical phases have been completed:

- A participant analysis.
- A problem tree.
- An objectives tree.
- The selection of a preferred alternative or project strategy.

There is nothing to stop you from going back and, on the basis of new information or deeper discussion, amending or adapting any of these. The purpose is to have:

- A much deeper understanding, as a team, of the participants and the problems particular to this situation.
- An understanding of the range of objectives or even solutions to which your organisation, institution or project can contribute.
- An agreed strategy that is realistic, desirable and will bring about CHANGE.

The next step is to develop the objectives for the project and the other project elements.

5. DEFINING THE PROJECT ELEMENTS

The project elements are found in the first column of the project-planning matrix.

	Indicators	Assumptions
Development goal/Outcome		
Project purpose/Immediate objective		
Outputs/Deliverables		
Activities		
Inputs		

The first three elements (**Development goal**, **Project purpose** and **Outputs**) share the following common features:

- **They are stated as outcomes**

They are stated as if they have already been achieved. This will help the planning team to identify what is needed for this statement to become true.

It is also said to assist psychologically with conceptualising the project!

Here are some examples:

Future orientation X	Achievement orientation ✓
<ul style="list-style-type: none"> • A training course will be developed by June 2007. • A species distribution map will be updated by February 2007. 	<ul style="list-style-type: none"> • A training course is available by June 2007. • A species distribution map is updated by February 2007.

- **They are fairly specific and describe what will be found when the particular element is achieved.**

Key questions—some examples:

Q

Quantity—What numbers of people, service products and so on, will be involved?

12 civil society groups.

100 environmental educators.

Q

Quality—To what standards will this be done?

According to last year's standards.

Methods are appropriate to the literacy level and local knowledge.

T

Time—By when will this occur, how frequently will it happen, will it end at some point?

By June 2008.

Within 12 months of the start of the project.

On a monthly basis.

L

Location—Where will this be taking place?

In the Tulbagh Valley.

In the Eastern Cape Province.

- **They are realistic, desirable and achievable.**

The elements of the project should be achievable. (Do not set yourself up for failure!) The purpose of planning is to develop a framework which can be successfully implemented. It is one thing to be ambitious; it is quite another to design a project which cannot be achieved.

AREMINDER

Development goal/Outcome

This objective specifies the benefit that the beneficiaries will gain as an output of the project. The development goal is often related to the problem/need that the project is seeking to address, and is seen as the longer-term desired solution or change.

For example: By 2020 the biodiversity of the CFR is effectively conserved and restored.

Project purpose/Immediate objective

This expresses the action that the target group will take in order to bring about the desired change. The project purpose often describes a change in the target group's behaviour, resulting from this group's use of the services or products provided by the project.

For example: Landowner custodians and community groups take conservation action to improve the status of threatened plant species in priority conservation areas of the CFR.

Outputs/Deliverables

These describe the goods/services/products that the project makes available to the target group. The outputs are causal to the development goal or outcome. These are the responsibility of the project and largely under the project management's control.

For example: Guidelines are drawn up for the management of threatened species.

Activities

All those steps that the project takes to provide the various goods, services and products (or outputs), are listed.

For example: Full-time programme co-ordinator and programme assistant are appointed.

Inputs

The resources needed to do the activities. Resources refer to staff, raw materials, capabilities, etc.

Look back at page 8 for a reminder of how these elements are linked.

Developing the two project objectives

How?

Let us go back to the project planning matrix (PPM) for a moment (see page 21). The PPM is a tool:

- To present information agreed to by the planning team.
- To reveal the relationships among the different project elements in a simple format.
- Which is also useful to check the logic between the different project elements. (Fear not, we will come back to this later!)

For now, what is important is that we start at the top of the PPM.

Step 1: Start at the top of the PPM and work downwards. Start with the Development goal/outcome and Project purpose. Look at the Alternative (or project strategy) you selected. Study the cards you outlined as being part of the means-end strategy.

Step 2: Identify the card that expresses the benefits that people will experience.

Example:

- *The biodiversity of the CFR is effectively conserved and restored, wherever appropriate, and this will deliver significant benefits to the people in the region.*

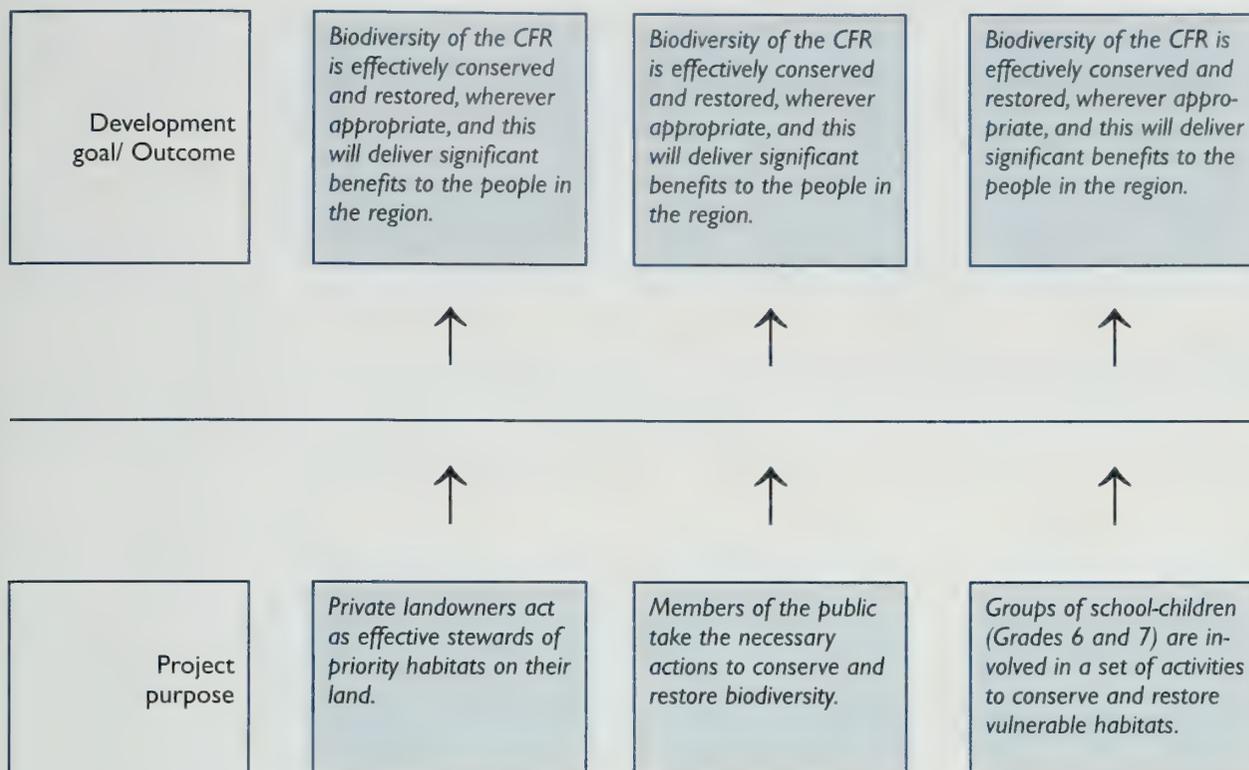
This becomes the **Development goal/Outcome**.

Step 3: Identify a card at the next level down that expresses how a particular target group acts differently to bring about the Development goal/Outcome. You will have to be fairly specific.

Example:

- *Private landowners act as effective stewards of priority habitats on their land.*
- *Members of the public take the necessary action to conserve and restore biodiversity.*
- *Groups of schoolchildren (Grades 6 and 7) are involved in a set of activities to conserve and restore vulnerable habitats.*

This becomes your **Project purpose**.



Do you see the logical relationship between these two elements of the project?

Notes

- While you draw on the cards from the objectives tree for the strategy your team has selected, you may want to be more specific when wording these two objectives, the Development goal/Outcome and the Project purpose. You can use the key questions on page 24 to help with this.
- This step helps you identify and define (in the Project purpose) the key target group with which you will work. Will it be the Department of Agriculture, small-scale farmers, women-headed households, mothers of young children or schoolteachers?
- The project must be aimed at a particular group who will be able to bring about the desired change. In some cases they are the target group—maths teachers (with students being the ultimate beneficiaries). In other cases the target group will be the same people as the beneficiaries. The case of the small-scale farmers is an example of this.
- It is common to develop simple, or draft, objectives at this stage. Once the Outputs have been identified, it is often easier to articulate the scale and scope of the project. The Development goal/Outcome and Project purpose can be revised to reflect the new thinking of the planning team.

Developing the project outputs

What are the outputs?

- Outputs, together, make it possible for the project purpose to be achieved.
- Outputs are not sequential; each output is the consequence of a number of activities.
- Outputs are the specific results or tangible products produced by undertaking a series of tasks or activities.

Depending upon the project team's capacity, capabilities and resources, the project outputs will vary.

How?

- Step 1: Look at the project purpose and ask the question—'What must the project deliver for it to be possible to achieve this project purpose?'
- Step 2: Brainstorm and write up ideas on cards. Debate these and then agree on the outputs (and therefore the responsibilities) of the project.

Here is an example:

Development goal/ Outcome

By 2020 the biodiversity of the CFR is effectively conserved and restored, wherever appropriate, and delivering significant benefits to the region.

Project purpose

The status of threatened plant species in priority areas of the CFR directly improved through the conservation actions taken by landowner custodians and community groups.

Outputs

- 1 Custodians Programme set up and given the capacity to work with civil society.
- 2 Civil society knows about threatened plants and has been given the capacity to conserve priority sites for conservation.
- 3 Information on threatened plant species in the CFR is updated and in an accessible format for land-use decision-making.

Notes

- The outputs will be informed by the creative approaches, resources and knowledge of a particular project planning team.
- People with particular sector/subject expertise could be brought in at this point to advise the planning team.
- There are countless examples of projects that were tried elsewhere (some with success, others not). It is helpful to draw on more than the planning team's own experience and knowledge (unless you are convinced that your ideas are the best ones!)

Developing the project activities

What are the activities?

- They are sequential steps.
- They are the tasks the project must complete to achieve each output.

How?

- Take each output and make a list of the activities that are needed to achieve it.
- Set out these activities in a logical sequence. It helps to number them.

Here is an example:

Output 7: A teachers' manual for environmental education (Grades 6 and 7) with support material is developed.

Activities:

- 7.1 Conduct a survey to identify the existing published materials on this topic.
- 7.2 Hold a workshop to set the key content areas to be covered.
- 7.3 Allocate work to teams; provide a framework.
- 7.4 Teams research their content areas.
- 7.5 Sections are written in draft.
- 7.6 Hold a workshop to integrate all sections.
- 7.7 Edit and prepare all support materials.
- 7.8 Publish.

Another example:

Output 4: Civil society in pilot areas is aware of threatened plants and given the capacity to conserve

priority sites for the conservation of threatened plant species.

Activities:

- 4.1 Run workshops with stakeholders from the priority areas identified by the C.A.P.E. Lowlands Project to identify all existing civil society groups (e.g. small NGOs and CBOs), and areas where potential groups can be formed.
- 4.2 Select six areas where there are appropriate civil society groups or individuals with a potential to form such groups.
- 4.3 Visit areas and encourage the identified civil society groups to take part in the programme (wherever feasible, recruit individuals from previously disadvantaged groups who have historically been excluded from conservation initiatives in South Africa to work in partnership with individuals who have conservation experience).
- 4.4 Select a champion for each civil society group with whom the Custodians Programme will liaise throughout the project implementation.
- 4.5 Run training workshops to give groups the capacity to collect information about threatened species, to act as conservation agents in their areas, and to manage selected sites actively where threatened species occur.
- 4.6 Provide groups with ongoing support and guidance in the implementation of appropriate conservation actions to conserve and manage the threatened plant populations in their areas.
- 4.7 Set up partnerships between civil society groups and the C.A.P.E. Incentives Programme to ensure that civil society groups receive the legal and other support required to secure the conservation status of their sites.

Notes

The examples on the previous page describe certain ways of achieving each respective output. Every project team will have different ways of doing things (producing a manual, sourcing and distributing equipment).

It is important to write down all the sequential tasks. This will give a manager or staff member the order of the steps to be taken to achieve the overall desired outputs.

Case study: Project elements

Development goal/Outcome:

By 2020 the biodiversity of the Cape Floristic Region (CFR) is effectively conserved, restored wherever appropriate, and delivering significant benefits to the region.

Project purpose/Immediate objective:

The status of threatened plant species in priority conservation areas of the CFR is directly improved through the conservation actions taken by landowner custodians and community groups.

Outputs:

1. Custodians Programme set up and given the capacity to work with civil society.
2. Civil society in pilot areas knows about the threatened plants and has been given the capacity to conserve priority sites for the conservation of threatened plant species.
3. Information about threatened plant species in the CFR has been updated and is in an accessible format for land-use decision-making, Red Listing and volunteer programmes.

Activities:

e.g. for Output 2

- Run workshops with stakeholders from the priority areas identified by the C.A.P.E. Lowlands Project to identify all existing civil society groups (e.g. small NGOs and CBOs), and areas where potential groups can be formed.
- Select six areas where there are appropriate civil society groups or individuals with a potential to form such groups.
- Visit areas and encourage the identified civil society groups to take part in the programme (wherever feasible, recruit individuals from previously disadvantaged groups who have historically been excluded from conservation initiatives in South Africa to work in partnership with individuals who have conservation experience).
- Select a champion for each civil society group with whom the Custodians Programme will liaise throughout the project implementation.
- Run training workshops to give groups the capacity to collect information about threatened species, to act as conservation agents in their areas, and to manage selected sites actively where threatened species occur.
- Give groups ongoing support and guidance in the implementation of appropriate conservation actions to conserve and manage the threatened plant populations in their areas.
- Set up partnerships between civil society groups and the C.A.P.E. Incentives Programme to ensure that civil society groups receive the legal and other support required to secure the conservation status of their sites.

Identifying the project inputs

What are inputs?

- Inputs are the resources or 'raw materials' required to undertake the activities and to produce the intended outputs of a project.
- These could be
 - Finances.
 - Materials.
 - Staff.
 - Services.

Be sure that the inputs

- are directly related to the activities that will be undertaken;
- are adequate to implement the activities you have planned;
- are defined in terms of quantity, quality and costs; and,
- most important, are appropriate to the situation in terms of gender, cultural, technological and other environmental considerations.

Here is an example:

Activity:

A field researcher is hired for the project period.

Inputs

- Appropriately qualified person for three years.
- A 4x4 vehicle for country roads.
- An administrative support person for 12 hours per week.
- Fuel, insurance and service costs for vehicle.
- Overnight subsistence costs for up to seven days a month in the field.

In summary so far ...

What we have achieved so far:

Five project elements have been defined:

- Development goal.
- Project purpose.
- Outputs.
- Activities.
- Inputs.
- The two objectives have been developed:
 - Development goal.
 - Project purpose.

The project outputs have been developed.

The project activities have been developed.

The project inputs have been identified.

None of these are written in stone!

As you develop each step, new ideas or information emerge and earlier work can be adapted or amended.

The idea is to come up with a logical relationship between the five project elements.

If we have the appropriate INPUTS,
 we can perform all ACTIVITIES
 that are needed to deliver our OUTPUTS.
 If we achieve all outputs, this will make it possible to achieve our PROJECT PURPOSE
 which contributes to the achievement of the DEVELOPMENT GOAL.

The next step is to identify the risks external to the project and to understand indicators.

6. ASSESSMENT OF ASSUMPTIONS

What are these?

Assumptions are the important and relevant factors

- which are beyond the control of the project; but
- which must exist or take place if the project is to be successful.

In other words, they are assumed in the project purpose.

For our project to be successful we assume, for example:

- The actions of particular agencies.
- Certain economic conditions.
- Political stability or change.
- Decreased levels of conflict.
- No changes in the climate.

How?

Step 1: Identify any factors beyond the project's control, which could influence the success of the project.

These are identified at two levels in the project planning matrix (PPM):

- From Outputs to Project purpose
- From Project purpose to Development goal or Outcome.

There are two questions to ask:

- If we successfully achieve all our Outputs, what external factors could affect the achievement of our Project purpose?
- If we successfully achieve our Project purpose, what external factors could affect the achievement of our Development goal or Outcome?

The planning team identifies these external factors and writes them on cards. They are worded as *positive conditions* like objectives, not problems!

Why?

Because they should, like objectives, express what we seek for success.

Here are a few examples:

- *Local agencies collaborate in planning.*
- *Farmers are willing to allow their land to be surveyed for threatened species.*
- *The safety of conservation volunteers is ensured.*

Notes

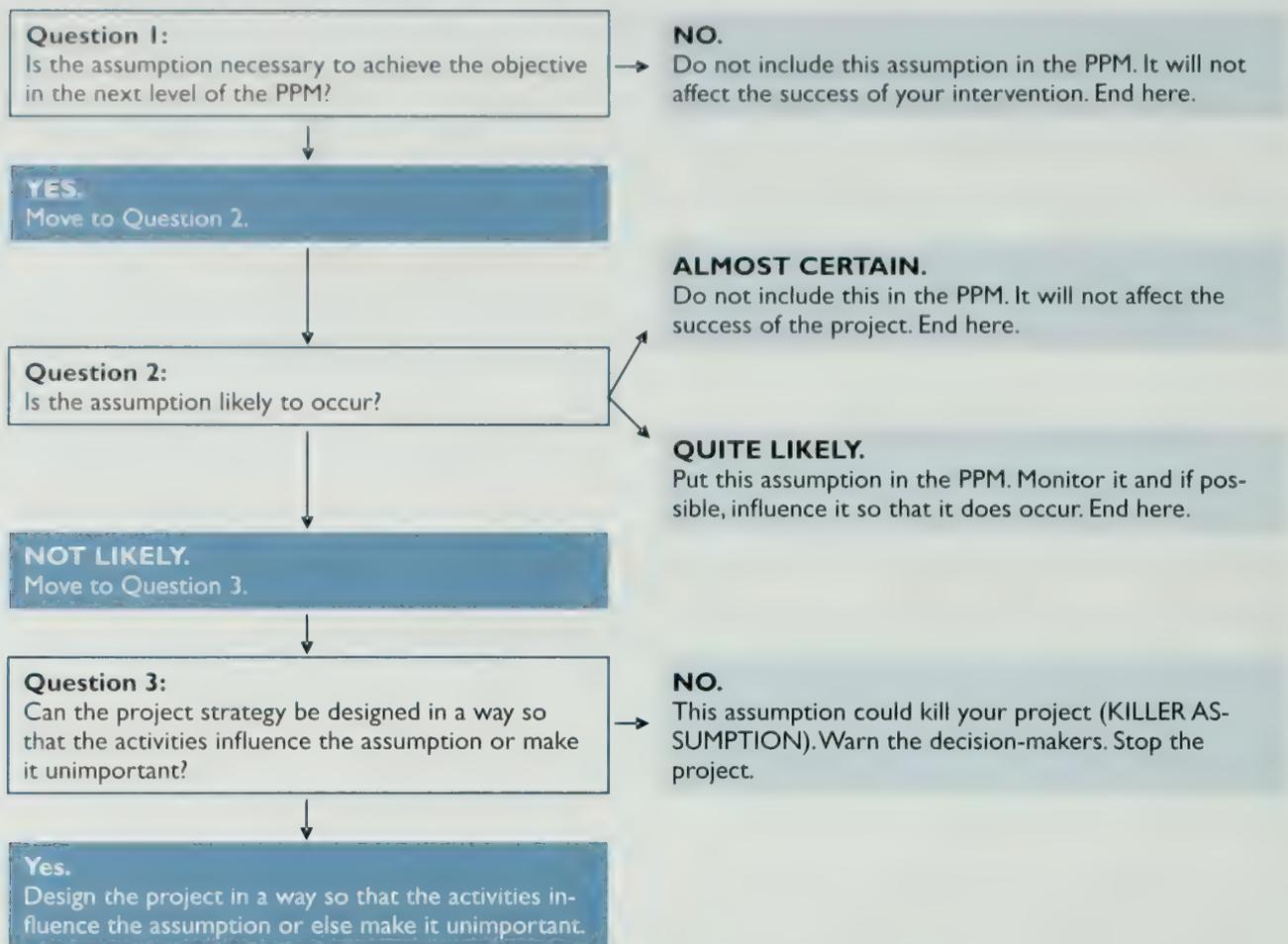
Consider the following picture. See how the logic works. Follow the arrows from the bottom of the picture upwards.

Project elements	Assumptions (external factors)
<p>Development goal/Outcome</p>	
<p>If we achieve our Project purpose ...</p> <p>Project purpose</p>	<p>what assumptions could affect achieving our ...</p>
<p>Outputs</p> <p>↑</p> <p>If we achieve all these Outputs ...</p>	<p>what assumptions could affect achieving our ...</p>

Step 2: Assess the external factors.

A useful procedure for assessing the importance and probability of assumptions is outlined on the next page. Assess each assumption in turn.

A procedure for assessing the importance and probability of assumptions



Case study: Assumptions

Project elements	Assumptions
<p>Development goal/Outcome By 2020 the biodiversity of the Cape Floristic Region (CFR) is effectively conserved, restored wherever appropriate, and delivering significant benefits to the region.</p>	
<p>Immediate objective The status of threatened plant species in priority conservation areas of the CFR directly improved through the conservation actions taken by landowner custodians and community groups.</p>	<ul style="list-style-type: none"> • Government is committed to biodiversity conservation at high levels and line agencies are required to incorporate biodiversity into planning. • International funding is available for the incremental costs of biodiversity conservation. • There is private-sector investment in sustainable biodiversity-based business. • Existing conservation organisations remain committed to working on off-reserve programmes with civil society groups. • Civil society has the desire and skills to work closely on management plans.

<p>Outputs</p> <ol style="list-style-type: none"> 1. Programme for threatened plants is set up and given the capacity to work with civil society. 2. Civil society in pilot areas knows about threatened plants and has been given the capacity to conserve priority sites for the conservation of threatened plant species. 3. Information on threatened plant species in the CFR is updated and in an accessible format for making decisions about land use, Red Listing and volunteer programmes. 	<p>Civil society in pilot areas is interested in becoming involved and being mobilised to conserve priority sites.</p> <p>Conservation organisations can develop effective mechanisms for supporting civil society's involvement in conservation.</p> <p>Landowners change their land-use practices based on knowledge of the threatened species occurring on their land.</p> <p>CPU ensures that the data collected are continually made available to civil society for making decisions about land use.</p>
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7. DEVELOPING THE INDICATORS

What are they?

- Indicators help us to determine the progress being made towards meeting project objectives and should provide, where possible, a clearly defined unit of measurement and target.
- Indicators state how the performance standard to be reached (in order to achieve the objectives and outputs) will be measured.
- Indicators can be direct or indirect.

Here are some examples:

Objective	Direct indicator	Indirect indicator (proxy indicator)
<ul style="list-style-type: none"> • Increased livelihood opportunities for conservation volunteers. 	<ul style="list-style-type: none"> • Numbers of jobs for conservation volunteers increased. 	<ul style="list-style-type: none"> • Volunteer households have a higher standard of living (e.g. school fees are paid).

How?

Step 1: It is important first to specify the elements of each objective in some detail in order to identify appropriate indicators for objectives.

Here is an example of what these details should include:

Target group (for whom?)	Groups of previously disadvantaged people.
Quantity (how much, how often?)	Twelve volunteer groups are involved in the clearing of alien species.
Quality (how well?)	Groups are able to recognise 90% of the alien species and to clear 70% of alien species.
Time (by when?)	Between October 2007 and October 2009.
Location (where?)	Gordon's Bay.

Objective	Specified objective
1: Increased percentage of habitat protected.	The percentage of valuable lowland areas protected has risen from 3% in 2006 to 10% in 2009.
2: Learners have a better knowledge of biodiversity.	By the end of 2009, 70% of all Grade 6 learners know what species in their area are at risk, for what reasons, and what they can do about it.

When specifying objectives, remember that indicators should be S.M.A.R.T.:

- They should be *specific*.
- They should be *measurable*.
- They should be *achievable*.
- They should be *realistic*.
- They should be *time-bound*.

Step 2: Identifying the appropriate indicators involves asking which element/s of each objective you want to measure. Remember that the indicators you define must enable the project team to measure the progress of its work.

Here are some examples of indicators:

Objective	Direct	Indirect
Increased percentage of habitat protected in formal conservation areas.	Geographic information available at local authorities.	Not needed.
General public is more involved in biodiversity issues.	More volunteers are willing to work on conservation issues. Conservation agencies receive more donations from the public.	Less littering of the veld.

It is often helpful to have more than one indicator for each objective.

A good indicator is:

- Independent:** No two indicators in a PPM can be the same, i.e. one indicator cannot be used on more than one level.
- Factual:** An indicator should not rely on subjective impressions; it should rather reflect fact.
- Plausible:** The change recorded should be attributable to the project and not to other factors.
- Based on obtainable data:** If the data are not readily available or costly to collect, then monitoring and evaluation can become difficult and expensive.
- Objectively verifiable:** Project partners, outsiders and sceptics should be able to verify that change has genuinely occurred.

Indicators serve as measures and guiding values in the early stages of planning. At a later stage, when the project is implemented, they can be reviewed, and more useful and realistic indicators formulated.

However, the initial brainstorming about the type and content of indicators should be done at the planning stage. Research to establish figures, percentages, time-frames, etc. can be done later with specialist expertise.

Step 3: Identify how the evidence will be verified and checked. These are the means of verification (MOV).

The MOV refer to how and where one can check that an objective has been achieved at the intended performance level. In other words, means of verification are data sources.

The *sources* of information about the achievement of objectives should be agreed at the planning stage to ensure that there are ways of verifying success, i.e.:

- What information is needed.
- In what form the information is needed.
- Who should provide the information.

- How the information will be collected.
- How often (frequency) the information should be provided.

Here is an example:

Objective	Indicator	Means of verification
Increased percentage of habitat protected in formal conservation areas.	Geographical information available at local authorities.	Geographical system at local government level.
General public is more involved in biodiversity issues.	Six additional volunteers willing to work on conservation issues.	AGM recordings of volunteer groups.
	Grow income with 5% through donations from the public.	Financial statistics of conservation agencies.
	No littering of the veld.	Comparative field study report.

To check the usefulness of an indicator, ask these questions:

- Is the information you need available from existing sources?
- Are you sure that this information is reliable and up to date?

- Will you have to gather the data yourself because they are not available elsewhere?
- If so, do the benefits of having these data justify the costs of collecting them?

See examples of indicators and means of verification in the context of a complete PPM on page 14.

Case study: A complete project-planning matrix

(The example shown here is based on a CEPF-funded C.A.P.E. project that was implemented by SANBI. The project is now known as the Custodians of Rare and Endangered Wildflowers—CREW.)

Project elements	Indicators	Means of verification	Assumptions
<p>Development goal/Outcome:</p> <p>By 2020 the biodiversity of the Cape Floristic Region (CFR) is effectively conserved, restored wherever appropriate and delivering significant benefits to the region.</p>	<ol style="list-style-type: none"> 1. The priority species and habitats defined as irreplaceable in the C.A.P.E. strategy are maintained. 2. The Protected Area Network expands to include all areas identified in the C.A.P.E. strategy as irreplaceable. 3. The levels of productivity measured in 2002 in terrestrial (wildflower harvesting) and marine ecosystems (total catch) are maintained. 4. The gross revenue generated by the protected area system increases by 10% per annum. 	<ol style="list-style-type: none"> 1. C.A.P.E. monitoring and evaluation reports. 2. State of CFR biodiversity report. 3. Provincial State of Environment reports. 4. Annual reports of conservation agencies. 5. Reports of the C.A.P.E. Co-ordination and Implementation Committees. 	<ol style="list-style-type: none"> 1. Government is committed to biodiversity conservation at high levels and line agencies are required to incorporate biodiversity into planning. 2. The National Biodiversity Strategy and Action Plan supports effective conservation of the CFR. 3. International funding is available for the incremental costs of biodiversity conservation. 4. There is private-sector investment in sustainable biodiversity-based business.

<p>Project purpose/ Immediate objective:</p> <p>The status of threatened plant species in priority conservation areas of the CFR is directly improved through the conservation actions taken by landowner custodians and community groups.</p>	<ol style="list-style-type: none"> 1. At least six civil society groups in pilot areas, continuing to monitor and promote the conservation of threatened plant species. 2. All of the land-use decision-making in the six pilot areas takes threatened plant distribution and status data into account. 3. At least 12 priority sites for threatened plant species are under effective conservation management through actions taken by civil society groups. 4. Management guidelines for threatened plant species are determined in 100% of the pilot areas. 	<p>Data on threatened plants collected by civil society groups.</p> <p>Data layers on threatened plant distribution are being used (available) by land-use planners in pilot sites.</p> <p>Management plans.</p>	<p>Existing conservation organisations remain committed to working on off-reserve programmes with civil society groups.</p> <p>Land-use policy places value on biodiversity and provides positive incentives for civil society to be involved in conservation.</p> <p>Civil society has the desire and skills to work closely on management plans.</p>
<p>Outputs:</p> <ol style="list-style-type: none"> 1. Programme for threatened plants is set up and given the capacity to work with civil society. 	<p>Training courses for workshop facilitation, data management and project management undertaken by the end of Year 2.</p>	<p>Certificates of participation in training courses.</p>	
<ol style="list-style-type: none"> 2. Civil society in pilot areas knows about threatened plants and has been given the capacity to conserve priority sites for the conservation of threatened plant species. 	<p>Six civil society groups in priority C.A.P.E. areas identified and committed to working with the project by the end of Month 4.</p> <p>Twelve new sites in the CFR have a more secure conservation status with management plans incorporating guidelines on conserving threatened plants, as a result of civil society projects in the six pilot areas by the end of Year 3</p> <p>By the end of Year 3, 75% of private and communal landowners, on whose land threatened plant data were collected, know about the presence and status of these species.</p>	<p>Memoranda of Understanding.</p> <p>Management plans; records of meetings with relevant officials, activities conducted at different sites.</p> <p>Records of field trips conducted by civil society groups. Awareness pamphlets for farms.</p>	<p>Civil society in pilot areas is interested in becoming involved and being mobilised to conserve priority sites.</p> <p>Conservation organisations can develop effective mechanisms for supporting civil society's involvement in conservation.</p> <p>Landowners change their land-use practices, based on knowledge of threatened species occurring on their land.</p>

<p>3. Information on threatened plant species in the CFR updated and in an accessible format for making decisions about land use, red listing and volunteer programmes.</p>	<p>Existing information on threatened plants synthesised and a spatially explicit database linked to CapeNature set up by the end of Year 2.</p> <p>Civil society volunteers have been given the capacity to identify rare and threatened plants and to collect standardised monitoring data.</p> <p>Six civil society groups involved in data collection in selected pilot areas from Month 5 until end of project.</p> <p>Information gaps filled through specialist input and targeted field-trips by staff and additional volunteers throughout the programme implementation by the end of the project period.</p>	<p>CFR threatened-plant database CPU data layer</p> <p>Field data forms completed by civil society members. Six-monthly news letters.</p> <p>Field data forms completed by specialists/volunteers and staff members.</p>	<p>CPU ensures that the data collected are continually made available to civil society for making decisions about land use.</p>
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In summary ...

What we have achieved so far:

We have

- Identified and assessed the external factors or risks that could affect the success of the project.
- Explored how to adapt or revise the project to avoid or contain external risks.
- Defined the indicators of project achievements.

Remember ...

- It is important to understand what indicators are and how important they are for project management, BUT it is more useful to define them once you move into project implementation.
- Until you are at the 'coalface' and working with the dynamics of implementation, it is not easy to draw out realistic indicators.

The PPM is now complete but it is important to review it. What follows is a set of questions to help you to do this.

REVIEWING THE PROJECT-PLANNING MATRIX

Some questions for reviewing the project-planning matrix (PPM)

1. Is the PPM complete? Does it contain:

- A Development goal or Outcome, which describes impact?
- A Project purpose, which describes the effects of the project on the target group?
- Outputs, which describe the project performance?
- Indicators at all three levels?
- A comprehensive list of activities?
- Inputs (staff, materials, equipment, etc.)?

2. Are the planning levels of the PPM logically linked? That is,

- if activities ... then outputs;
- if outputs ... then Project purpose;
- if Project purpose ... then the Development goal/Outcome.

Are the planning levels logically linked when considering important assumptions about the project environment? That is,

- if outputs and assumptions ... then Project purpose?
- if Project purpose and assumptions ... then Development goal/Outcome?

3. Do the Outputs describe the performance of the project and, specifically, the assistance that the project delivers to the target group?

*Example: Materials developed ...
Staff trained ...
Credit facilities available ...*

4. Does the Project purpose describe the target group action that is required to achieve the Development goal/Outcome?

*Example: Target group uses relevant skills ...
Target group organises ...
Target group constructs ...*

5. Does the Development goal or Outcome describe the expected development impact?

*Example: Beneficiaries have higher income ...
Environment is protected ...
Beneficiaries enjoy better health ...*

6. Are the indicators at all levels of the PPM specific enough and do they satisfy the minimum requirements regarding the

- Target group (Who?)
- Location (Where?)
- Quality (How well?)
- Quantity (How much?)
- Time (By when? How often?)

7. Are there objectives that are not planned?

8. Are all the stated important assumptions likely to occur according to what you currently know?

Are important assumptions listed that do not actually qualify to be important assumptions, since they describe factors that can be strongly influenced by the project?

9. Are the stated Outputs and Objectives realistic (can they most probably be achieved?), especially when considering the risks involved (i.e. the probability of important assumptions holding true)?

In summary ...

If you have

- worked through the questions to help you to review the PPM, and
- you are satisfied that the project is realistic and achievable with the resources you have,

then it is time to develop a plan of operation.

Section 4: A LOOK AHEAD

THE PLAN OF OPERATION

What is it?

An outline of activities, time lines, responsibilities and costs for each output.

Why do it?

The Plan of Operation guides project managers and staff in their day-to-day operation regarding:

- The steps required to achieve the outputs.
- Who is responsible for certain steps or activities.
- Deadlines for various steps or activities.
- The costs of different activities.

How?

- Step 1: Select the first output and enter it on the top line of the table (see case study on page 36).
- Step 2: Identify all the activities that have to be done to achieve the output. List them in sequence.
- Step 3: Starting from the first activity, list:
- The time by when it will be done.
 - Who will be responsible for seeing that it is done.
 - What it will cost.

Enter these in the operational planning document.

Notes

1. Timetable

The scale of the activities and the length of time needed to achieve the output will help you identify what time-scale to use in this column.

Week	1	2	3	4	5	6	Etc.
Month	Jan	Feb	March	April	May	June	Etc.

In the column, write the period when the activity will be completed. This will guide the project managers and staff as to when the next activity can be expected to begin.

2. Person responsible

It is wise to put only one person's name or title in this column. Although it might be a team that conducts the activity, one person is responsible for seeing that the activity is completed.

3. Costing

It is useful to think of three different items:

- **Personnel costs** could be the cost of project staff, consultants and other person-related services. Full-time salaried staff, part-time staff and temporary staff can be considered. These can be expressed in person hours or person days, weeks or months. Other personnel costs can be included (e.g. subsistence and travel for a consultant).
- **Capital costs** are the once-off or occasional purchases of capital goods, such as:
 - Equipment (vehicles, computers, tractors, overhead projector, furniture, printing equipment).
 - Land or buildings (these can be dealt with as a separate item if there is not a once-off payment for a purchase).
- **Consumables** are items that are used only once or are used up quite quickly. Examples are stationery, seeds, building materials, the fares for road and air travel, and the cost of training materials.

Case study: Plan of Operation

Output No. 2: Civil society in pilot areas knows about threatened plants and has been given the capacity to conserve priority sites for the conservation of threatened plant species.

Activities	Time frame	Person responsible	Costs/Inputs
<ul style="list-style-type: none"> Run workshops with stakeholders from the priority areas identified by the C.A.P.E. Lowlands Project to identify all existing civil society groups (e.g. small NGOs and CBOs), and areas where potential groups can be formed. 	Third Quarter 2006	Programme officers	R3 000 per workshop + salary: R550 000 for three years
<ul style="list-style-type: none"> Select six areas where there are appropriate civil society groups or individuals with a potential to form such groups. 	First Quarter 2007	Team leader	-
<ul style="list-style-type: none"> Visit areas and encourage the identified civil society groups to take part in the programme (wherever feasible, recruit individuals from previously disadvantaged groups). 	May 2007	Field workers and programme officers	Transport to meetings; hiring meeting venue: R2 000 per workshop
<ul style="list-style-type: none"> Select a champion for each civil society group with whom the Custodians Programme will liaise throughout the project implementation. 	June 2007	Programme officers.	-
<ul style="list-style-type: none"> Run training workshops to give capacity to groups to collect information about threatened species, act as conservation agents in their areas, and to manage selected sites where threatened species occur, actively. 	Third Quarter 2007	Training co-ordinator	Transport, venue, materials, external consultant: R50 000
<ul style="list-style-type: none"> Provide groups with continual support and guidance in the implementation of appropriate conservation actions to conserve and manage the threatened plants populations in their areas. 	Fourth Quarter 2007 until Nov. 2009	Programme officers and field workers	-
<ul style="list-style-type: none"> Set up partnerships between civil society groups and the C.A.P.E. Incentives Programme to ensure that civil society groups receive both legal and other support required to secure the conservation status of their sites. 	Second Quarter 2007	Team leader	-
	Completion date: Nov. 2009		Total costs: R625 000

Section 5: HOW TO GET FROM A GOOD PLAN TO AN APPROVED PROPOSAL

1. INTRODUCTION

The good news is: you have got to this stage! You have a well-thought-through plan. Your plan is based on an informed analysis of participants, problems, objectives and alternatives. You have developed project elements that make sense, and all assumptions and indicators are carefully formulated.

Unfortunately there is also some bad news: you are not done! Not only because your plan has to be operationalised and implemented, but also because quite likely you have to convince external (or internal) funders to make some financial/human capital available for your plans. Support agencies usually require written proposals for project support.

Having completed a plan on paper is often a moment of great euphoria, and it should be! Getting to a proper plan

for your programme is a process that often asks for a lot of thinking power from many people in the organisation. The temptation might be to send your plan as it is to your possible funders to get it financed. 'It was well thought through, we looked at all the options; we truly believe that this should be the way forward.' It is hard to imagine that anybody else might not agree with you immediately.

You will probably feel disillusioned when you discover that funder organisations will still ask questions, want more background information or want you to reformulate the proposal in their standard format.

Number one tip: do not be upset when this happens. This chapter will help you to take your plan to the stage of an approved proposal for funding.

Some thoughts about funders ... (adapted from www.sangonet.co.za)

It is important to know how to handle different types of funders. It helps if you take into consideration their individual backgrounds and personality styles. Here are a few tips that might help you in that crucial face-to-face encounter that will dictate whether you get to implement your annual plans or shelve them for (yet) another year. Here we have identified four general types of funders.

Caution! *As with any situation—it is dangerous to generalise!* People are unpredictable and we often realise the mistakes in our assumptions long after it is too late to repair the damage. Your interactions with funders will often reflect the chaotic principles that define human existence. Take these tips with a pinch of salt, but always remember that a little bit of extra effort is likely to produce far greater returns for all involved!

1. Some funders are quite academic. Be very aware of protocol and the correct forms of address. A loose and unstructured approach will not win you many points. You will score much higher in their estimation if you come across as well informed and rather scholarly, with a deeply held conviction in the work that you are doing. This integrity will be further embellished by a healthy résumé loaded with a number of credible projects and activities linked to organisations (and people) that they admire. Do not, for any reason, try to play one funder off against another!
2. Other funders' main concern is that they want to know whether you have been spending their money wisely. For this reason, it is a very good idea to make sure that you submit all the necessary reports and M&E indicators on time and according to a predefined schedule. Try to make sure that you seem organised and efficient (even if your last mode of transport has given up the ghost) when they arrive for a visit. It will do you no credit if your working environment is a shambles and it looks as if nothing has happened for the past five months!
3. Some funders like talk in plain business terms. Please note that 'plain' rarely means 'simple'. They may try to assume a soft exterior, but underneath it all, they are pure bottom line. Try not to come across as a typical hippy, a tree-hugger. These funders will feel safe in the presence of people who give the impression that they make swift, logical decisions, unhindered by any weakness or sentiment.
4. A different kind of funder generally wants you to let down your guard and show your humane side. They want to know that you love what you are doing and have a sense of dedication beyond the calling of any other mere mortal.

In this chapter we shall discuss some essential points to consider when establishing and building your relationship with funders. Then we offer you some practical tips on the actual process of transforming your plan into a funding proposal.

2. TAKE INTO CONSIDERATION IN YOUR RELATIONSHIP WITH FUNDERS ...

- **Funder organisations are different from you, but in some ways also the same**

Like your own organisation, funder organisations have their own:

- Back funders (be they other NGOs, their government, a national lottery, international funders, the public in their area).
- Policies.
- Internal challenges.
- Institutional limitations.
- Fashionable jargon.

- **Establish and nurture contact with the funder**

Identify the particular person who would consider a funding request and make some personal contact before sending the proposal. Try to meet one of the programme/funding officers from the funder organisation when they are in the neighbourhood. Show them what you do, because visualising the projects/programmes and your organisation helps to build the perception of a trustworthy and relevant organisation or programme.

- **Research the policy and practice of the potential funder before putting in a funding proposal**

Do not 'spray and pray'. Sending proposals all over the world without starting a relationship or really spending some time to see if there could be a fit, is often not much use. Funders receive many 'long-shot' applications. Know how your objectives and goals fit in with the philosophy and mission of your particular funder organisation.

- **Once in a while make a cost-benefit analysis of the relationship**

On a regular basis, assess what you are getting out of the relationship and where it is taking you. Get a sense of the funder's requirements, how much you will be able to keep doing the thing you chose to do. If the amount of energy (or frustration) you put into a relationship is too high for what you get in return, then try to shift this imbalance. If efforts to change the relationship are fruitless, then end the relationship.

- **The funder needs partner organisations like you**

You might feel like the underdog in the relationship. Funders have the power to grant you some money or to decide not to. This is of course true, but funder organisations also need you. They have to prove to their back funders that money is being spent efficiently and effectively on relevant issues. Funders or even officers in a funder organisation also have to spend their money within a certain time frame (e.g.

a calendar year). If they do not, they might receive less to spend the next year. It might be worthwhile to know when funders are struggling to spend their money (e.g. at the end of their financial year).

- **The relationship between organisations is a relationship between people**

The relationship between your organisation and a funder organisation is based on the relationship between two contact people in these organisations. However, people move on and so relationships have to be re-established, reaffirmed or renegotiated on an irregular basis. Do not be taken aback or feel offended. This is just the way things go and it might imply that you have to spend a bit more time and energy on re-establishing the relationship. If it happens often or with friction, this may call for a conversation at a higher level.

- **Funders are not all the same**

A bad experience with one funder might dull your ability to establish a relationship with another one. 'They are neo-colonial, bossy, never listen and have strict formats to follow!' Sometimes funders want a different kind of relationship with partners, but partners keep responding to them in their usual way. Take opportunities to establish or change relationships with funders.

- **Timing of presenting the proposal**

Contact the funder before and during the proposal-writing process to find out about general trends or new areas of interest. This early communication with the funder may dramatically increase your chances of success. If you have a relationship already, inform your funder once in a while what you are planning to do in the near future. Send the funder a draft of a programme you are planning. You might want to invite them to give their thoughts: they might be willing and feel honoured. Asking them for ideas somewhere along the process ties them into your project in a way. Their basic understanding of your plan will improve and they might be more inclined to grant you funding. To ensure that your proposal will not be pointlessly submitted, verify that funding is still available. Ensure that the funding disbursement schedule and the application deadline (if they exist) match the time constraints of your project/programme/organisation. Many funders fund grants only at certain times of the year. Become familiar with the funding schedules of the funders in which you are interested, and co-ordinate your submission with their timetables. Make sure you complete your application in time to meet the funder's deadlines. Nothing is worse than preparing a submission and missing the deadline by a week. Unless you have the time to prepare properly, do not compete for the grant at all. The time between submitting a proposal and the granting of funding can take from two weeks to six months.

- **Do not be too surprised or angry when funders still ask you questions**

You have thought so well about this plan, this is it! 'How dare they question our ideas, do they think we are not capable of doing our own work?' Though these feelings and thoughts are normal, sit back before responding and consider the following:

- Their questions could be valuable. They see other project plans, and have an understanding of some lessons learned in organisations elsewhere. They see it from a different perspective; their perspective could be useful and enhance your plan.
- In their circles, being critical is seen as a key part of their work. They will have to account to their back funders for the appropriate use of funding. If too many approved projects/programmes 'fail' or do not deliver what they promised to deliver, their funding from back funders might be endangered. As a result,

future funding to other partner organisations and the programme officer's own job might be at risk.

- The culture of feedback differs in different organisations, cultures and countries. Sometimes the value 'be professional in your judgement' tends to move towards being too sceptical or in other cases, too positive. Often officers in funder organisations are trained to see the flaws and possible problems instead of the innovative character and the possible benefits of a proposed project.
- Responding with irritation seldom helps. You are an expert in *your* plan and *your specific* context. Funders are not. Just explain. It might be useful to get a better understanding of the question behind the question. Answering the direct question might not be too helpful. Try to get a real conversation going on the 'possible question behind the question'.

3. TIPS FOR WRITING YOUR PROPOSAL

A 'typical' proposal to a funding organisation could contain the following paragraphs:

An example of a 'typical' format for a proposal to a funding organisation

1. Context: a brief summary of the context in which the project is proposed.
2. The project: describes the project idea in brief, with comments.
3. Primary stakeholders: a description of the main stakeholders, including the beneficiaries.
4. Secondary stakeholders: a description of the stakeholders that are not directly involved in project planning.
5. Development objective: explained and justified.
6. Immediate objectives: explained and justified.
7. Outputs: a description of outputs.
8. Activities: a description of main activities.
9. Inputs: a description of inputs from all sources.
10. Assumptions: a description of assumptions/external factors.
11. Sustainability: an overview of how the project will sustain itself.
12. The implementation plan: refers to the schedule of activities in the matrix.
13. Organisation and administration: responsibility, who will do what.
14. Monitoring and evaluation: a description of the system you will use.
15. The project-planning matrix: as an appendix.
16. The budget: (with comments if necessary) as an appendix.

- **Working with predefined structures for proposals**

Often funder organisations give partner organisations a structure for their proposal. This might be to help these organisations handle the influx of proposals they receive. It will make it easier for them to compare and assess project/programme proposals. The structure may also be provided as a service to the organisation that is asking for funding and may not be

compulsory at all. It might be worthwhile to enquire about the format. Some funders will be satisfied as long as the topics that are covered in their format are answered in one way or another.

- **Get a feeling of the other's style of writing**

Glance through a funder's annual report, its documentation, its e-mails. Is the style very formal? Are

the reports and communications very long? What wording is used? This could give you an indication of the style of writing (and reading) that your funder organisation prefers. However, several styles might exist in an organisation. Do not be afraid to ask your contact persons in the funder organisation for their impressions when reading the proposal. This might give you some lessons for follow-up funding proposals or for monitoring and evaluation reports.

- **Translate your plan to a proposal that fits the other's mindset and jargon**

All organisations use their own favourite wording. This is a reality we have to live with. Some organisations might want to force others to use their wording. You do not have to do that. In your plan, use your own wording, but in the process of getting the plan into a proposal, you may have to adjust or 'translate' your wording to suit their jargon/vocabulary. What you term an 'impact' could be an 'effect' for somebody else, an 'output' could be an 'outcome', etc. These small differences in interpretation can have a huge impact (or effect) on the funder's ability to understand the proposal and therefore on your chances of getting your funding.

- **A logframe is not a particularly useful format for communicating information to others**

The logframe/project-planning matrix was designed as a way of creating a well-thought-through and detailed plan for your project. It is not a good way of communicating. The tables often run across several pages, and short of the funder organisation's printing everything out and sticking the whole table together on a wall, it does not give a good overview. The logframe or project-planning matrix holds many details that might be of interest to a funder, but it is helpful to give them the big picture of the plan before sharing the small details of the framework (in an appendix). Put the first column of the framework into words (a one-pager) to show the funder what the project proposal is about. Show the logic. The reader wants to know where the proposal is going.

- **Give an overview, an executive summary**

It can be quite frustrating to read through 20 pages of an introduction before you find out what someone wants from you. A good proposal needs an executive summary that quickly identifies, for the potential funder, what difference a funding contribution would make and what contribution is requested from the funder.

- **Consider how much of an introduction is really necessary**

It could be offensive to start a long, detailed introduction on the history of South Africa or on the context of HIV/Aids. The funder already has basic

information about this. They might view this as challenging their knowledge if you start from scratch and explain basic facts to them. If you really feel that detailed information is needed, put it in an appendix. The funder will probably skim through the appendix, but it might give you the feeling that you provided all the information and might even show that you were really trying to be as thorough as possible (or it might give the funder the feeling that you were wasting trees!).

- **Structure, grammar and layout must not be ignored**

'The project is good, that will show. It does not need fancy window dressing.' Unfortunately this is not completely true. Unclear structuring, sloppy grammar and ignoring the look/layout of the proposal can cause unnecessary frustration for the reader. Do spend that extra hour making bullet points, checking your spelling, checking and double-checking for typographical errors, including page and paragraph numbering and making subheadings to give it a professional look.

- **Assess your current writing capability and get help if needed**

Good thinkers and doers are not all good writers. Make an honest assessment of your writing skills. This is not to say that you cannot learn how to become (an even better) writer, but unchecked experimentation here might be a costly lesson. Ask someone else who is not closely involved in the planning formulation to read the proposal. If they struggle with some parts, it is likely that a funder elsewhere (with possibly a different native tongue, a different context and a different writing style) will get confused (and possibly annoyed) while reading your proposal. It might be worthwhile to give attention to reformulating, clarifying and restructuring your proposal with the help of a colleague or someone else.

- **Do not try to impress funders by writing long texts**

It may sound obvious, but do not make the proposal too long! Try to re-read the proposal and see if you can remove bits and pieces without losing the gist of your plan. A 50-page proposal for the funding a R5 000 project is probably out of proportion. Most programme officers in funder organisations are responsible for the funder's relationships with dozens of other organisations. They have limited time to spend on reading, analysing and forming an opinion about your proposal. Excessively long proposals might also indicate that your organisation is not clear about its plan. Why can they not explain it briefly? It might also suggest to the funders that you have something to hide.

Common reasons why proposals are turned down. A checklist:

- The problem being faced has not been explained properly.
- The problem does not strike the reader as significant.
- Client groups (community) have not been involved in the planning.
- The proposal is poorly written and hard to understand.
- The proposal objectives do not meet the funder's objectives.
- The proposal asks for funding beyond the funder's financial capability.
- The programme has not been co-ordinated with other NGOs.
- The funder has not been assured of your organisation's capabilities.
- The objectives of the project are too ambitious in scope.
- The writer did not follow the guidelines provided.
- There is little evidence of your organisation's sustainability beyond the life of the grant.
- The evaluation procedure is inadequate.

Source: www.sangonet.co.za

For further information, look at the 39-page Toolkit *Writing a Funding Proposal* on www.civicus.org or visit Sangonet's website: www.sangonet.org.za

APPENDIX 1

JARGON... THE INSIDER'S LANGUAGE

Many theories, approaches and methods typically use very specific terms or words to mean certain things. One has to become familiar with the jargon to understand them. When you do, you become an 'insider'.

There are also many terms that have very specific meanings in project-planning approaches. To understand the approach, one has to embrace these terms and their

meaning. It is not a question of whether they are right or wrong, or whether one agrees or disagrees with their meaning. Rather, the terms have the meaning for this particular approach but not necessarily for other approaches.

Some of the most important terms in project planning—in particular in the LFA methods—are defined below.

Activities:	the steps that the project must take to achieve the outputs.
Assumptions:	external conditions that are not under the control of the project (i.e. external risks), but without which the project will not succeed.
Alternatives:	the possible project intervention choices available to the planning team.
Beneficiaries:	the people who will experience improved conditions (benefits) as a consequence of the project targeting their needs.
Benefits:	the positive conditions of change resulting from a project.
Development goal:	describes the benefits that will result from the project.
Development objective:	see Development goal.
External factors:	see Assumptions.
Evaluation:	measures the impact of the project (an evaluation is normally conducted by an external agency).
Immediate objective:	see Project purpose.
Indicators:	the evidence we need to measure whether or not an objective has been achieved.
Inputs:	the human, financial and material resources required to implement the project.
Iteration:	always revisiting and checking our ideas. Nothing is static or complete.
LFA:	Logical Framework Approach.
Means of verification:	the location or source of the evidence used as indicators of project achievements.
Monitoring:	the task of observing the progress of the project. It is an internal management function of the project.
Objectives:	describe what we are trying to achieve. There are four levels of objectives in the ZOPP approach: goal, purpose, outputs and activities.
Objectives analysis:	a tool to visualise an improved future, linked on a 'means-end' basis.
OVI:	objectively verifiable indicators—see Indicators above.
Outcome:	see Development goal.
Outputs:	describe the responsibilities of the project, and the services and products it will deliver.
Participation analysis:	a tool to analyse all the players who have an interest in either solving a problem or 'keeping the problem going'.
Problem:	people's experience of what, on a daily basis, blocks development.
Problem analysis:	a tool to analyse the range of problems facing people, and how the problems are linked.

Project:	a set of planned activities designed to achieve specific objectives with given resources within a specific time frame.
Project purpose:	describes what the target group will be able to do because of the support they receive from the project.
Results:	see Outputs.
Target group:	the people whom the project aims to support, and whose resultant actions will bring about a benefit to themselves and/or to others.

APPENDIX 2

NOTES FOR TRAINERS: HELPING PEOPLE TO LEARN HOW TO PLAN A PROJECT USING A 'LOGICAL FRAME- WORK APPROACH'

Introduction

These brief notes will attempt to give the prospective trainer some tips and guidelines about the following three questions:

- How does one conceptualise and design a training programme?
- How does one draw up a detailed plan for a training programme?
- How does one run and manage a training programme?

These three general questions will be answered in a specific way using the LFA to Project Planning as the technical learning objective, increasing knowledge and understanding of the CFR as a contextual objective, and conservation and sustainable local economic development as the broad practice objective of the training programme.

1. Conceptualising and designing a training programme

There are many benefits from investing time in conceptualising and designing a training programme before moving into the detailed planning stage.

- Investing time gives an opportunity to stop and think about what one has to achieve.
- It brings a sharper focus to the objectives of the training programme.
- It helps to contextualise the purpose and value of a particular training intervention—why this training and why now?
- It encourages one to look at the bigger picture—how this training fits in with other capacity-development efforts, and to what changes it will contribute in the longer term.

The differences between conceptualising, designing and planning are as follows:

- *Conceptualising* involves looking at what learners know and do not know, exploring what they have to know or are able to do, and formulating objectives or outcomes. This step focuses on **why** the training is important.
- *Designing* is about identifying which methodologies and approaches will best achieve these

outcomes, such as lectures, role-playing and experiential exercises. It is also about what tools will be used to assess this. This step looks at **what** is needed.

- *Planning* focuses on the 'micro steps'—the timing and duration of each exercise, the instructions for tasks, the content of handouts. This step focuses on **how** the training will be carried out.

Conceptualising a training programme

Some questions to consider when conceptualising a training programme:

- Why is this programme important? What is the need? What are the problems to be addressed?
- What does the programme hope to achieve? What objectives should be met?
- Who is the target group? What is the context of the learners?
- What criteria will be used to select participants/learners?

An example of a conceptual framework

What problem or need does this programme aim to address?

Members of an Environmental CBO Network in the Cape Floristic Region are experiencing a number of problems:

- The voluntary members are losing motivation and focus.

- There are very few resources to support the running of programmes.
- Ideas that are put forward for new projects seem to get stuck.
- There is very little capacity to form and maintain partnerships with resource agents.
- Projects that are started seem to fail or are not completed.
- Poor internal and external communication.

What does the training programme aim to achieve?

This programme aims to strengthen CBOs in the network to continue to innovate and run vital conservation and restoration projects. This will be achieved by increasing the capacity of CBOs in the network to design, plan and manage conservation projects more effectively.

Who is the target group?

The target group of this training will be leaders from CBOs in the CFR Environmental Network. These leaders are responsible for initiating, planning and managing projects implemented by the members of their organisations.

What is the context of the learners or trainees?

Leaders of CBOs are very busy and often burdened people. They are often heads of single-parent families and are unemployed. They are good at identifying the opportunities or problems that have to be addressed. They have the ability to mobilise people and organise them to get things done. They do not have the technical capacity to develop the written plans that are needed to secure support for the organisation's action projects. The effort to keep things going with minimal resources and the lack of capacity is quite disheartening at times.

What are the existing resources on which the training programme can draw?

1. The Network has several experienced project managers with specialist knowledge of biodiversity and capacity in restoration and conservation. They also have information about donor partners that are committed to an environmental agenda.
2. There is a commitment from experienced project managers to pass on their knowledge.
3. A handbook on project planning has been developed with some notes for trainers, which can be used as resources.

What theoretical framework will the programme adopt?

The programme will be based on the Logical Framework Approach to project planning. It will demonstrate participatory planning methodology and will encourage reflection on the importance of participation as a central factor for sustainable development.

The programme will use the Action Learning Cycle as the learning approach.

Writing the objectives for the training programme

- How do you want participants to change through this training programme?
- What skills, knowledge and attitudes do you want participants to have gained?
 - To develop skills in ...
 - To create awareness of and clarify attitudes on ...
 - To develop a deeper understanding of ...
- State the objectives as outcomes, that is, as if they have already been achieved. Stating the objective as an outcome makes it easier for trainers to be clear about what kinds of tasks they have to design to achieve this objective.

For example:

By the end of the course, participants have developed a project plan using the LFA.

- Keep the objectives specific and describe what will be found once the objective has been achieved.

For example:

By the end of the course, participants will have:

- An understanding of the importance of participation in project planning.
- An understanding of the LFA as whole and the seven steps of the LFA to project planning.
- Applied these seven steps in a small group in the process of drawing up a project plan.
- Reflected on group dynamics and given and received feedback on participatory behaviour.

- Make sure the objectives are relevant, realistic and time-bound.

For example:

The above objective would not be relevant to a group of experienced project planners who want to increase their capacity for managing and monitoring project implementation.

Nor is the above objective realistic and time bound unless it states how long the course takes and the level at which participants enter the programme.

Designing a training programme

Here are some questions to consider when designing a training programme:

- What are the objectives of the programme?

- What will the broad curriculum be? What are some of the issues, concepts and skills that have to be covered?
- What training approach and methods will be used? How much theory will be used? How much practice?
- How much contact time is needed to achieve the objectives? How should this be phased?
- What existing resources can be drawn on? Where can we go to find case studies, exercises and materials that are relevant to the context?
- What support will be provided to help learners integrate their learning into their life and/or work situations?

An example of a design for a training programme

What are the training objectives?

By the end of the five-day training programme, Leaders of Environmental CBOs will have:

- Reflected on their experience of initiating and running projects and shared the lessons learned.
- An increased understanding of a project approach to development and the assumptions and principles of the Logical Framework Approach to project planning.
- An understanding of the LFA as a whole and the seven steps of the approach.
- Applied the seven steps to a case study of the CFR and drawn up a project plan.
- Experienced the challenge of participatory planning, reflected on group dynamics and given and received feedback on participatory behaviour.

What training approach will be followed?

An adult education approach will be followed in which the Action Learning Cycle will be used extensively. The programme will attempt to cater for the challenge of the participants' individual learning styles and challenge them to learn in new ways.

What is the broad outline of the programme?

What issues and concepts will be covered?	What methodology will be used?	What resources will be required?
Action Learning Cycle and favoured learning orientations.	A demonstration and presentation of the cycle and application throughout the course.	Appropriate handouts, participants' actual experience.
Approaches to development and lessons learned from experience.	Interactive presentation and some reflection on experience.	Brief notes in the Project Planning Handbook.
Introduction and background to the LFA.	Brief presentation.	Notes in Project Planning Handbook.
Conservation and restoration of biodiversity to ensure sustainable development.	A generative conversation and the reading of the case study.	Notes in Project Planning Handbook and resource experts.
Participant/Stakeholder analysis (Step One).	Brief presentation and application in small groups (six to eight people.)	Notes in Project Planning Handbook and appropriate equipment.
Problem analysis (Step Two).	Brief presentation, demonstration, application in small groups, presentation and feedback and debriefing of the step.	Notes in Project Planning Handbook and appropriate equipment.
Group dynamics and group norms, challenges of participation.	Reflection on process exercise, brief presentation and norm-setting exercise.	Handouts and appropriate equipment.
Objectives analysis (Step Three).	Same as in Step Two.	

<i>Alternative Analysis (Step Four.)</i>		
<i>Review of the Contextual and Situational Analysis Phase.</i>	<i>Plenary discussion.</i>	
<i>Introduction to Design Phase.</i>	<i>Presentation of the 'Development Picture.'</i>	<i>OHP or display board, notes in Project Planning Handbook.</i>
<i>Project elements: Development objective Immediate objective Outputs Activities (Step Five).</i>		
<i>Indicators and means of verification (Step Six).</i>		
<i>Assumptions/External factors.</i>		
<i>Operational Plan (activities and inputs).</i>		
<i>Participation and the project team, group closure.</i>	<i>Conversation and a feedback exercise in groups.</i>	<i>Some handouts on participation and facilitative behaviours.</i>
<i>Summary and evaluation.</i>	<i>Presentation and individual exercise.</i>	<i>Evaluation questionnaires.</i>

How long will the training programme be, and how will it be phased?

This course will be a five-day training programme. Each day will consist of four one-and-a-half hour sessions. The day will start at 08:30 and close at 17:30.

How will the programme be assessed?

Peers and the trainers will assess informally, with the option to submit project documentation individually to trainers for a more formal assessment.

2. Planning to implement a training programme, drawing up the detailed plan

The design is about the overall road map, and planning is about the detailed directions on how to get there. In training there are two broad areas that need planning:

- The content of the programme, made up of the individual sessions.
- The logistics of the programme: these include booking the training venue, transport to the venue, catering and all the other details needed for learners to be comfortable.

We will deal only with the detailed content of the plan. The plan looks at each session in the programme and how to get there. It focuses on the steps needed to achieve specific objectives. The plan answers questions about 'how' and 'when'.

Planning a training session

The detailed planning of a training programme is one of the most creative elements of a whole training proc-

ess. During this process, trainers have to draw on their knowledge, emotions and intuition in order to prepare training material and processes that are interesting, absorbing and pitched at the right level for the learners. It is important to ensure that whatever is planned will contribute to the objectives of the programme.

The following set of questions is helpful when planning a training session:

- What is the purpose of the session?
- What are the interests of the participants? What is their current level of capacity?
- What will the content of the session be?
- What method/s will be used in the session?
- What steps will be followed in the session?
- How much time is available?
- How will the session be debriefed? How will we draw out learning?

An example of a training-session plan

Name of the session

Approaches to development and lessons learned from experience.

Session objectives

At the end of the session participants will:

- Have a clearer understanding of development.
- Have explored what blocks or constrains development.
- Be aware of two approaches to intervening in the development process.
- Have reflected on and shared their experience of initiating and running projects.

Time allocated

The session will run for one-and-a-half hours. It will take place in the morning on day one of the course.

Method/s to be used

This session will use a range of methods: plenary conversation, presentation, an individual reflection exercise and a group discussion.

Steps to follow

1. **Development buzz:** introduce the theme of the session 'WHAT IS DEVELOPMENT?'; ask participants to buzz in pairs around this question (five minutes).
2. **Development definition stations:** invite participants to stand up and move around the room and read the four or five different definitions that have been stuck up on the wall at different stations.

Ask participants to choose one that makes the most sense to them and to discuss, with the others who have chosen it, why they favour that definition.

Allow one speaker from each grouping to say why they think their chosen definition is the most relevant (20 minutes).

3. **Presentation:** what blocks development and two approaches to intervening in the development process (15 minutes).

4. **Individual reflection on experience:**

Individual participants are asked to think about a project in which they have been involved and to make some notes guided by the following questions: What role did you play? What were the project goals? What were the highlights? What were some low points? What was achieved? (10 minutes).

Participants join two others and share their stories (15 minutes).

Each triad is given two cards and asked to extract two key insights about what makes a project successful (10 minutes).

In the plenary, each triad shares their two insights and the cards are stuck up on a flipchart (10 minutes).

5. **Debriefing the session:** the trainer asks the participants: 'What new insights have you gained, what have you confirmed about your understanding of development and development processes?' (10 minutes).

Some useful tips for planning sessions

- Follow a logical sequence as far as possible. Keep a flow in the programme and find links between different sessions.
- In general, have four main sessions of 90 minutes each, split by tea and lunch.
- Theory should come before an exercise designed to put the theory into practice. This gives the learners some 'hooks' on which to build their understanding.
- When working with a complex model or framework, make a conscious decision about how you will present the material. Depending on the learning styles of the participants, you may choose to present the 'big picture' first, or to start with its constituent parts and build up the big picture (perhaps building in experiential exercises at each stage).
- Decide what notes or handouts to give learners in order to enhance their learning during the session, and their revision afterwards.
- In general, move from individual exercise to pair exercise to small-group exercises and then to plenary. This encourages learners to reflect on their own experience and to build participation as learners gradually get to know and feel safe with each other. The use of pairs and small groups also ensures that those participants who do not feel comfortable speaking in plenary remain an active part of the process.
- Take a developmental approach. Start with the simple and move to the complex. For example, it is better to start with simple case studies than to throw participants into very complicated role playing.
- Never plan for more than 20 minutes of unbroken input or lecture.
- Allow enough time for the introduction of exercises, and for debriefing afterwards. If the exercise involves a number of steps, it is advisable to have instructions written on a chart or individual copies made for each participant.
- Hold extra material in reserve. This allows you to be flexible in your approach and to adapt and change sessions when necessary. Having more material than you require also allows you to deal with unexpected needs or issues in an unflustered manner.
- Use active exercises after lunch. It is a good idea to get people moving, particularly if they have had a heavy meal. Find ways to raise the group's

energy level to avoid the common 'graveyard hour' phenomenon.

- Do not publish a detailed timetable. Remain flexible—things have a way of changing!

Using learning support material

The effectiveness of a training course or learning programme can be increased by the innovative use of learning support material.

- A well-developed textbook/handbook on the content being taught can guide the structure of a course.
- It allows individual learners who learn best by reading, rather than by following verbal instructions, to go ahead or catch up.
- It decreases anxiety in learners when they are given the assurance that the material covered in

the session can be found on certain pages of the handbook.

- Learners can be asked to read a set chapter to prepare for the next day's topic or to revise and deepen what has already been covered.
- An exercise in a handbook can be used in a course, or a set of instructions in the handbook referred to in an application exercise.
- A handbook/textbook can be used to consolidate and sustain what is learned in a training programme. It is important to remember though, that time should be set aside in the course to orientate learners to the resource. This could involve scanning the whole resource together. Another way could be to ask participants to name the areas covered in the course, that they would like to revise or take further. Then the group can be guided through a process of finding the relevant sections and then scanning them.

An example of a session in which a handbook is used

Name of the session

Problem analysis (Step Two of the Analysis Phase of LFA)

Session objective

At the end of the session participants will:

- Know what a problem analysis is and why this is an important step.
- Have learned to use a problem analysis tool, 'A Problem Tree'.
- Have gained a clearer understanding of the CFR.
- Be more aware of the way different people think and understand the cause and effect of different problems.

Time allocated

This session is planned to run for 90 minutes, but the time it takes will depend on the group's capacity and dynamics.

Methods to be used

This session will use a range of methods: brief presentation on problem analysis, instruction and demonstration of the 'Problem Tree Tool' in plenary. An application exercise will be completed in small groups followed by group presentation, question-and-answer session and individual reflection.

Steps to follow

1. Brief presentation on problem analysis:

As an introduction, present points on the problem orientation of the LFA (pages 4–5 of the handbook). Show slides of the relevant pages in the handbook to explain the rationale, the analysis tool and how to develop the problem tree.

Reveal and explain them step by step and demonstrate with cards on a board, using your own examples or those offered by participants.

2. Developing the problem trees in small groups:

Inform participants that they are to be divided into small groups to develop a problem tree based on the CFR case study. (Group allocation has to be done thoughtfully, to try to ensure some balance.)

Before the big group divides into the separate workstations for small groups, ask the participants to refer to the relevant pages in their handbooks and get them to read together with you the 'Notes' on page 15.

Each group works on developing a problem tree using the equipment provided (blue cards, marker pens, pins and a large pin board).

Trainers move around the groups, offering assistance if needed.

3. Group presentation:

One group is asked for volunteers to present their problem tree to the rest of the big group. Questions for clarification and understanding are asked and answered.

4. Debrief the Problem Analysis Step:

In plenary, a discussion is facilitated around the following question:

What have you learned from this step and why do you think it is important?

5. Individual reflection:

Ask the participants to make notes on what they noticed about themselves and others' different ways of thinking about problems. What new insight have you gained about yourself as a rational thinker?

3. Running and managing a training programme

What has to be considered and kept in mind at each stage of the actual implementation process? In any life situation there is a beginning, a middle and an end. This simple truth also applies to the training programme.

The entry phase

Opening up a training programme involves finding ways of enabling participants to enter fully into the process. There are five key areas to which a trainer has to give attention during the entry phase:

- Enabling participants to feel familiar with and comfortable in the training room.
- Introducing participants to one another and building the learning group.
- Clarifying what content will be covered (and what will not).
- Finding agreement on how learning will happen during this event.
- Clarifying the different roles of trainer and learner.

The middle phase

The aim of the middle phase is to make sure that participants are fully, and most effectively, engaged in learning together.

It is important to take certain **design elements** into account in the middle phase. Here are some of the important principles to remember:

- Move from the known to the unknown.
- Start simply and increase the complexity of what you are training along the way.
- Draw on learners' life experiences and encourage them to draw out lessons and apply them in the safe environment of the programme.
- Allow for the fact that different people have different learning breakthroughs at different times.
- Accommodate different people's learning styles by using a range of exercises and techniques while working with the same content.

Managing **individual learning** in the context of a group and the **dynamics** that take place in a group is an extremely important task for the trainer in the middle phase. Here are seven tasks on which a trainer has to work in the middle part of the training process.

1. Keep the tone of the workshop open and exploratory, rather than drawing conclusions too early on.
2. Let 'ahas' happen at a personal level without imposing them on the whole group. Adults are responsible for their own learning and for what they choose to share with the rest of the group.
3. Encourage participants to air their own views on issues.
4. Invite creativity and innovation.

5. Nurture qualities of receptiveness and deep listening.
6. Watch out for group 'think'. This is when everyone is so comfortable with one another that no one thinks critically or originally.
7. Accommodate different levels of interpersonal sharing. Some people are comfortable about opening up within groups and talking quite deeply about themselves and their lives. Others are not, and should be able to make an independent choice about how much to share without being judged by trainers or fellow learners.

Managing the group dynamics is also about watching the energy level of the group. Pay attention to people's verbal and nonverbal signals, which may tell you when people are losing focus. Once you notice that energy levels are low, do not ignore them. Address them by allowing a short break, inviting people to stretch or asking for a participant to lead the group in an energiser.

Another important aspect of which trainers have to be aware (and make use of) is the level of diversity in the group. This is especially relevant when working in plenary. Diversity feeds energy. If everyone thinks the same way, there is no debate or challenge, and therefore no movement. It is important to remember that diversity comes in many forms, including learning style, personal history, values, gender, ideology, religion, culture and age.

Plenary discussions are a common feature of the middle phase of a programme. The following tips are helpful for managing these.

- Ask open-ended questions.
- Always acknowledge an individual's contributions and find constructive ways to build on and further develop them.
- Allow the group to respond to a participant's question or answer.
- Allow for silence and enough time for people to think through their responses.
- Explore what is happening in the group at a certain moment in the process.
- Summarise and then move on.

Establishing **learning subgroups** is also a common feature of the middle phase and trainers have to be aware of how they establish groups for different learning purposes. Working in small groups allows for a higher level of participation than is possible in plenary, and more intensive work can be tackled. Below are four different kinds of learning situations that you as a trainer may have to manage. We also offer tips on how best to organise these situations, using subgroups.

- Exploring issues at a value-based and emotional level. For learning to happen at this level, there has to be a quite deep and intimate sharing and self-disclosure between participants. This requires a certain level of trust and safety. In this scenario,

participants should be allowed to choose whom they would share with. It is not a good idea for the trainer to assign people. Often this kind of learning works best in pairs.

- Discussing and/or developing models and theory. Here it is useful to form groupings of people from varied backgrounds with diverse opinions. This allows for generating a wide variety of ideas and for participants to draw on their different experiences. The size of the subgroup for this kind of work can vary widely, but between four and six participants per group is manageable. A larger group requires more time to deliberate. A random selection method, such as counting people off, may be best in this situation.
- In a scenario where the participants will be practising new skills or capabilities, it is useful to form subgroups with mixed capabilities so that participants can learn from one another. It is important not to form one group full of experienced people and another with complete beginners. This also allows the subgroups to work at a similar pace and increases the likelihood that they will finish the task at more or less at the same time. The trainer will have to take responsibility for assigning people to subgroups.
- Applying learning in a person's own context is another subgroup scenario. Here it is important to form talking partners or groups of three, made up of people from the same or similar organisations/fields. This helps participants to ground their learning in the reality of their own context. Participants can be encouraged to form their own groups if they are familiar with fellow participants' contexts and fields of interests.

Some guidelines to enhance learning in subgroups:

- Circulate a clear set of instructions that spell out the content to be covered and the process to be followed.
- Ensure that there is an appropriate space for subgroups to break away and meet. It must not be too far away from the central training area.
- Supply the groups with appropriate materials such as flipchart paper, marker pens and cards.
- Make sure each group knows what output is expected from them and how they will or will not integrate their output with the output from other groups.
- Make and show a summary of the ground rules that must be honoured to ensure effective and efficient participation in groups.

Closing the learning groups

A training situation is a laboratory. It is often very different from the real context in which participants work or live. This is why the participants have to be given an

opportunity to plan how they will re-enter their normal work and life situations. Another reason why closure is important is that participants use the training process as a safe space in which to open up issues they may not have explored before. It is necessary for trainers to ensure that participants reach some conclusion about any unfinished business. Proper closure also makes it more likely that learning will be sustained and result in change in the participant's life or work situation.

What has to be closed at the end of a training programme?

- Areas of content that have been explored. This can be achieved by holding a session in which people can ask any outstanding questions they have about the content or preparing a summary/roadmap of the material covered or asking the participants to present their own summary of the content of the programme.
- Relationships between group members. This can be done by giving one another feedback or symbolic gifts, by holding a celebratory party or asking participants to characterise the group in whatever way they choose.
- The relationship between the trainer and the group. This can be done by inviting feedback, creating the opportunity to value the different roles of 'trainer' and 'learner' and affirming that both have learned from the experience.
- Moving from being a full-time learner to the demands of multiple roles. This can be done by allowing time for the participants to reflect on and share with a talking partner what they left behind to come on the programme, how they may have changed while on the programme, how they feel about returning and what adjustments will be required to re-enter their roles.

In a five-day programme, entry should take at least one session, and closure would require the same amount of time. This also depends on the participants in the group, the type of content and the level at which the programme was pitched. Some programmes are designed to be residential so that a very close learning group can develop. A programme of this nature may need more time for both entry and closure.

The following two examples of outlines for training programmes will further illustrate the points made above. A brief summary of the problem and the learning needs of the different groups will be given, to help you contextualise the example and the objectives for the programme, followed by a programme outline or timetable. Such outlines are helpful to share with participants. The programme outline should give participants an idea of how the day/s are structured and broadly what will be covered in each session. Providing a more detailed programme tends to limit the trainer's scope for being flexible and makes some participants very anxious about falling behind.

Example 1: A one-day programme for leaders of CBOs in the CFR Environmental CBO Network

Problem statement:

The network offers a number of small grants to member CBOs for developing the capacity of their members. Very few leaders of CBOs apply for these grants, and the few applications received are not very clear and poorly written.

Objectives:

At the end of this one-day workshop CBO leaders will have:

- Clarity about the rationale and criteria for the small grant applications.
- Explored what capacity problems exist among their membership.
- Understood the steps to follow in designing a small project.
- Applied their understanding of these design steps.

Programme:

08:30 to 10:00	10:30 to 12:00	13:00 to 14:30	15:00 to 16:30
<p>Introductions</p> <p>People:</p> <ul style="list-style-type: none"> • Name. • Organisation. • Organisational achievement. <p>Purpose:</p> <ul style="list-style-type: none"> • Expectations. • Objectives and programme. <p>Process: How we will learn.</p> <p>Rationale and criteria for small grants</p> <p>The project management cycle</p>	<p>An overview of the seven steps of LFA Planning</p> <p>Problem analysis</p> <ul style="list-style-type: none"> • What are the capacity problems facing member CBOs? • Problem Tree. <p>Objectives analysis</p>	<p>Project design</p> <ul style="list-style-type: none"> • Development objective. • Immediate objective. • Outputs. • Activities. <p>Assessment of assumptions</p>	<p>Appraising the project designs</p> <p>How will you know what the project has achieved?</p> <p>Summary and evaluation and closure of the day</p>

Example 2: A three-day programme for project managers

Problem statement:

Project managers from different government departments and members of the environmental cluster are responsible for initiating, appraising and monitoring projects that will mainstream the issue of biodiversity and the need to conserve or restore it in the CFR. They have no experience of participatory planning processes and have an inadequate understanding of the different steps necessary when designing a development project. Their understanding of biodiversity is basic.

Objectives:

At the end of the three-day programme, project managers will have:

- A clearer understanding of how to mainstream the issue of conserving biodiversity in all development projects.

- Deepened their understanding of biodiversity.
- Increased their understanding of the steps involved in the LFA to project planning.
- Used and practised some participatory tools.

Programme:

08:30 to 10:00	10:30 to 12:00	13:00 to 14:30	15:00 to 16:30
<p>Day 1: Session 1</p> <p>Introductions People:</p> <ul style="list-style-type: none"> • Name. • Organisation. • Concern for the environment. <p>Purpose:</p> <ul style="list-style-type: none"> • Questions on which to work. • Objectives. • Programme. <p>Process: How we will learn?</p> <p>Environmental mainstreaming</p> <p>How do we do environment-sensitive development?</p>	<p>Session 2</p> <p>Project approach to development</p> <p>Overview of the LFA to project planning</p> <p>Stakeholder analysis</p> <p>Who has to be involved to ensure mainstreaming?</p> <p>What are their different interests?</p>	<p>Session 3</p> <p>Problem analysis</p> <p>Read case study.</p> <p>Present step and demonstrate the tool of a problem tree.</p> <p>Small groups develop a 'problem tree'.</p>	<p>Session 4</p> <p>Problem Tree exercise (continued)</p> <p>One group presents and receives feedback.</p> <p>Problem analysis step: debriefing.</p> <p>A look ahead at Day 2 and a review of the past day.</p>

<p>Day 2: Session 1</p> <p>New insights and questions An open conversation which includes the iterative nature of the approach.</p> <p>Group process How do individuals learn best in a group and what is needed from other participants?</p> <p>Small groups work on setting themselves process guidelines.</p>	<p>Session 2</p> <p>Objective analysis Present and demonstrate step.</p> <p>Small groups continue to work on an objectives tree.</p> <p>One group presents and gets feedback.</p> <p>Debrief the step.</p> <p>Alternatives analysis</p> <p>Present and demonstrate.</p>	<p>Session 3</p> <p>Alternatives analysis (continued) How to think out of the box, picture solutions and ways to get there.</p> <p>Small groups do an alternatives analysis.</p> <p>One group presents and gets feedback.</p> <p>Debrief the step.</p> <p>A pictorial overview of development through a project or planned intervention</p>	<p>Session 4</p> <p>Project design Present and demonstrate the three objective levels (Development, Immediate objectives and Project outputs).</p> <p>Groups develop their own set of objectives.</p> <p>One group presents and gets feedback.</p> <p>Debrief the step.</p> <p>A look forward to Day 3 and a review of the past day.</p>
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Day 3: Session 1	Session 2	Session 3	Session 4
<p>New insights and questions An open conversation that includes ideas about how to design a sound yet innovative strategy.</p> <p>Assessing the assumptions</p> <p>Present and demonstrate the step.</p> <p>Small groups work on assessing the assumptions for their projects.</p> <p>One group presents and gets feedback.</p> <p>Debrief the step.</p>	<p>Developing the indicators</p> <p>Present and demonstrate the step.</p> <p>Small groups work out indicators for the three levels of objectives.</p> <p>One group presents and gets feedback.</p> <p>Debrief the step.</p>	<p>Operational planning (Activities, inputs and budgets)</p> <p>Present and demonstrate the step.</p> <p>Group work on an aspect of the operational plan.</p> <p>One group presents and gets feedback.</p> <p>Debrief the step.</p> <p>Small-group closure</p>	<p>Participation</p> <p>Who participates in the different planning steps and how to facilitate.</p> <p>What form will carry the project?</p> <p>A discussion about the importance of planning for the formation and operation of a project team.</p> <p>Summary, evaluation and closure</p>

APPENDIX 3

LOGICAL FRAMEWORK EXAMPLES FROM THREE CEPF-FUNDED CAPE PROJECTS

3.1 Mainstreaming biodiversity on the Cape Flats—building good practice in sustainable management

NARRATIVE SUMMARY	PERFORMANCE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Long-term Goal Statement	Targeted Conservation Outcomes	Means of Verification	Important Assumptions
<p>The unique biodiversity in the urban lowland fragments of the Cape Floristic Region is conserved in a way that benefits people of the Cape Flats and is embraced as a valuable element of urban life in line with the Integrated Metropolitan Environmental Policy and Biodiversity Strategy of the City of Cape Town.</p>	<p>1. 97% of 2002 baseline lowland priority areas remains untransformed by 2008.</p>	<p>1. State of Biodiversity Report.</p>	<p>1. Government is committed to biodiversity conservation at high levels and line agencies are required to comply with directives to incorporate biodiversity into planning and to collaborate through the mechanisms established.</p>
	<p>2. 5% increase in area under conservation management in priority areas by 2008.</p>	<p>2. Reports of the Cape Co-ordination and Implementation Committees.</p>	<p>2. Government institutions will have the capacity to integrate and implement forward plans efficiently.</p>
	<p>3. 100% increase in 2002 baseline jobs directly associated with conservation and nature-based tourism by 2008.</p>	<p>3. Conservation agency reports.</p>	<p>3. There is private sector investment in sustainable biodiversity-based business.</p>
	<p>4. 50% increase in recreational use of protected areas in the CFR by South African citizens.</p>	<p>4. Visitor statistics for a representative sample of protected areas.</p>	<p>4. Communities willing to engage in opportunities developed in protected areas and sufficient capable civil society organisations are available and willing to undertake C.A.P.E. activities.</p>
	<p>5. 10% annual increase in school children who visit biodiversity education centre programmes.</p>	<p>5. Visitor statistics of biodiversity education centres.</p>	<p>5. Provincial education authorities and partners are committed to implementing biodiversity education programmes at schools.</p>

Project Purpose (short-term impact)	Purpose Indicators	Means of Verification	Important Assump- tions
Sustainable conservation management of sites in the biodiversity network of the City of Cape Town is achieved through active partnerships between government, the private sector and community-based organisations.	<p>Purpose 1 By the end of the project, a new cohort of skilled people-centred urban conservation managers from the Cape Flats has secured sustainable conservation management at four pilot sites.</p>	<p>Area managers' reports. Project evaluation.</p>	<p>Funds are raised to support continued employment of the urban conservation management team and operational costs into the future.</p>
	<p>Purpose 2 By the end of the project, local leadership drives community conservation efforts at four pilot sites on the Cape Flats and is starting to emerge at an additional two sites.</p>	<p>Partnership projects. Project reports. Champions' Forums attendance register and proceedings.</p>	<p>Reasonably low turnover in community leadership allows capacity to be built.</p>
	<p>Purpose 3 By 2006 (q4), Cape Flats Nature Trust provides an appropriate financial vehicle and institutional structure, and has raised at least \$1.5 million, to sustain work of Cape Flats Nature until at least 2012.</p>	<p>Project reports Financial reports.</p>	
	<p>Purpose 4 By 2005 (q4), Cape Flats Nature Trust and the value of its work is recognised by Capetonians.</p>	<p>Council resolution. Media reports. Financial reports.</p>	
	<p>Purpose 5 By the end of the project, the people of Cape Town, particularly the Cape Flats, have experienced and value the four pilot sites, and are knowledgeable about and support conservation of the area's unique biodiversity.</p>	<p>Visitor figures. Media reports. Project reports.</p>	
	<p>Purpose 6 By 2004 (q4), vibrant environmental education programmes stimulate the use of sites as outdoor classrooms and improve the quality of education.</p>	<p>Figures for use by educators and learners. Project reports. Project evaluation.</p>	
	<p>Purpose 7 By 2005 (q4), the four pilot sites contribute economically to the surrounding townships by attracting local, national and international visitors.</p>	<p>Visitor figures. Project reports. Project evaluation.</p>	<p>There is a large enough market for tourism to the townships that can be attracted through the pilot sites.</p>

Project Purpose (short-term impact)	Purpose Indicators	Means of Verification	Important Assumptions
	<p>Purpose 8 By 2005 (q4), the four pilot sites are recognised as contributing to quality of life (education, health and wellbeing, economically) in surrounding townships.</p>	<p>Media reports. Council resolution.</p>	
	<p>Purpose 9 By the end of the project, leadership in government recognises that biodiversity conservation is essential for sustainable development on the Cape Flats, is prepared to act on this knowledge and understanding, and provides ongoing political support for Cape Flats Nature.</p>	<p>Resources allocated from local, provincial and national government. Participation of politicians in project activities.</p>	
	<p>Purpose 10 By 2006 (q2), the City of Cape Town takes and implements policy decisions to lead public/private partnerships for biodiversity conservation on the Cape Flats.</p>	<p>Council resolutions. Resources allocated for conservation on the Cape Flats.</p>	<p>The City maintains ongoing commitment to its Integrated Metropolitan Environment Policy and Biodiversity Strategy.</p>
	<p>Purpose 11 By the end of the project, lessons learnt at four pilot sites have been captured, shared widely and are implemented in the City of Cape Town's biodiversity network, in other towns and cities in the CFK, and beyond.</p>	<p>Project reports. Council resolutions. Project media. Presentations at City, national and international forums. Reports from other towns and cities.</p>	<p>The City maintains ongoing commitment to its Integrated Metropolitan Environment Policy and Biodiversity Strategy.</p>
Project Outputs	Output Indicators	Means of Verification	Important Assumptions
<p>Output indicator 1 Sustainable conservation management is demonstrated at four pilot sites within the City of Cape Town's biodiversity conservation network: Edith Stephens Wetland Park, Harmony Flats Nature Reserve, Macassar Dunes and Wolfgat Nature Reserve.</p>	<p>Output indicator 1.1 User-friendly annual conservation management plans developed in consultation with surrounding communities and implemented, drawing on expert advice where necessary, at two sites by 2004 (q4), and at all sites by 2005 (q4), 2006 (q4).</p>	<p>Annual conservation management plans. Area manager reports.</p>	

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
	<p>Output indicator 1.2 Partnership projects with local communities plan and implement the following actions that contribute to the management of the sites annually, based on the annual conservation management plan and an evaluation of the previous year's activities, by 2004 (q4), 2005 (q4), 2006 (q4):</p> <ul style="list-style-type: none"> • Alien clearing at four sites. • Flora monitoring at one site. • Bird monitoring at one site. • Fire prevention mechanism in place at two sites. • Regular litter clearing at one site. 	<p>Partnership briefs and contracts.</p> <p>Project reports.</p>	<p>Community partners can be found and/or developed to implement conservation projects.</p>
	<p>Output indicator 1.3 Interventions aimed at minimizing threats and maximizing benefits through integration into new local development initiatives developed and implemented at one site by 2005 (q2) and another site by 2006 (q2).</p>	<p>Project reports.</p>	<p>Stakeholders in local development forums and processes are open to working with Cape Flats Nature.</p>
	<p>Output indicator 1.4 Infrastructure needs identified in consultation with the surrounding communities, and funding and construction catalysed at two sites by 2004 (q4) and at all sites by 2006 (q4).</p>	<p>Project reports.</p>	<p>Agreement is reached on infrastructure needs and funds are raised for infrastructure development.</p>
	<p>Output indicator 1.5 Infrastructure use policy developed in consultation with the surrounding communities and implemented at one site by 2004 (q2) and at all sites if appropriate by 2006 (q2).</p>	<p>Infrastructure use policy document.</p> <p>Project reports.</p>	
	<p>Output indicator 1.6 Cape Flats Nature Trust established by 2004 and funds raised to support Cape Flats Nature for a further five years (2007–2012) by 2006 (q4).</p>	<p>Trust Deed.</p> <p>Financial reports.</p>	<p>Individual Trustees remain committed to this project and City remains committed to taking responsibility for nature conservation in the City by investing resources.</p>

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
<p>Output indicator 2 A new cohort of skilled urban conservation managers and champions from surrounding townships established to conserve the biodiversity of the Cape Flats, and is supported by Cape Flats Nature to implement all other outputs.</p>	<p>Output indicator 2.1 Cape Flats Nature's team strengthened to support further project implementation by employing an administrator and Capacity Building Manager by 2003 (q4) and securing the continued employment of the Project Manager from 2005 (q2).</p>	Employment contracts.	
	<p>Output indicator 2.2 A future urban reserve management team of six members at varied levels (e.g. self-taught, students, graduates, experienced) is employed and seconded to the City by 2004 (q2).</p>	Employment contracts.	The City remains committed to the implementation of the Biodiversity Strategy, provides an operational budget for the team, and supervises conservation management work.
	<p>Output indicator 2.3 Quarterly Champions' Forums enable site drivers and partners to share experiences, draw lessons and build skills in 2004, 2005, 2006, 2007.</p>	Champions' Forums attendance register and proceedings.	Consistent attendance allows capacity to be built.
	<p>Output indicator 2.4 Volunteer support and reward system is piloted at one site by 2004 (q4) and implemented at all sites as appropriate by 2005 (q4).</p>	Volunteer support and reward policy document. Project report.	It is possible to build a committed core of volunteers for conservation in a context of deep and widespread poverty and unemployment.
	<p>Output indicator 2.5 Skilled specialists contracted to support activities including fundraising, tourism development, marketing, process facilitation, environmental education development and evaluation.</p>	Contracts.	
<p>Output indicator 3 Campaign conducted to gain broad support for conservation of the four pilot sites and for the work of Cape Flats Nature through awareness raising, promoting use of the sites by the people of the Cape Flats, and securing benefits from biodiversity conservation for the local communities surrounding the pilot sites.</p>	<p>Output indicator 3.1 At least one popular activity is planned and implemented in partnership with local communities at each site annually to attract people from the surrounding communities, particularly youth (in and out of school), to ensure that the sites are used appropriately, and/or to overcome barriers to participation, e.g. safety, by 2004 (q4), 2005 (q4), 2006 (q4).</p>	Partnership briefs and contracts. Project reports.	

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
	<p>Output indicator 3.2 A total of at least four community-based organisations with a common value base and that have not previously used the sites, are introduced to the sites by 2004 (q4) and 2005 (q4).</p>	Project reports.	
	<p>Output indicator 3.3 The profile of the four pilot sites and their unique natural attributes is raised through regular coverage in mainstream (at least two articles and two radio slots) and community media (at least four articles and radio slots), and widely distributed project and site-level partner media including a pamphlet and video for each site by 2004 (q4).</p>	Print media. Pamphlets. Videos. Project reports.	NBI's (later SANBI) Urban Conservation Programme retains the capacity to produce the videos.
	<p>Output indicator 3.4 Cape Flats Nature Trust and the value of its work is recognised by Capetonians through regular coverage in mainstream (at least two articles and two radio slots) and community media (at least four articles and radio slots), and widely distributed project and partner media [at least one article in partner publications, an annual project video by 2004 (q2), 2005 (q2), 2006 (q2), 2007 (q2), a project poster by 2004 (q4)], and a summary of the project's annual plan [2004 (q1), 2005 (q1), 2006 (q1), 2007 (q1)].</p>	Print media. Videos. Poster. Annual plan summaries. Project reports.	NBI's (later SANBI) Urban Conservation Programme retains the capacity to produce the videos.
	<p>Output indicator 3.5 The capacity of educators to use the sites is enhanced through the participative development of learning points, activities and materials, and the provision of training and support on-site at two sites by 2004 (q4), and at all sites by 2005 (q4).</p>	Education materials. Project reports.	Funds are raised to enable this work.

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
	<p>Output indicator 3.6 A comprehensive environmental education programme is catalysed, implemented at all sites by 2004 (q4), and promoted among educators and school principals annually by 2004 (q4), 2005 (q4), 2006 (q4).</p>	<p>Project reports. Letter of support from the provincial Department of Education.</p>	<p>The environment remains an important theme across learning areas in the school curriculum.</p>
	<p>Output indicator 3.7 Interventions are identified and implemented to overcome security risks, particularly for women and children, in partnership with women's organisations and other relevant forums from the surrounding communities at one site by 2004 (q4), two further sites by 2005 (q4) and the fourth site by 2006 (q4).</p>	<p>Intervention proposals. Project reports.</p>	
	<p>Output indicator 3.8 Use of two sites for recreation and other purposes compatible with conservation is measured by 2004 (q4), and increases by 2005 (q4) and 2006 (q4).</p>	<p>Visitor figures.</p>	
	<p>Output indicator 3.9 Sustainable medicinal plant harvesting and/or cultivation and/or nurseries linked to at least two sites by 2005 (q4).</p>	<p>Project reports.</p>	
	<p>Output indicator 3.10 A minimum number of jobs and/or income generation opportunities are created through conservation management, alien clearing, and tourism initiatives across the four pilot sites annually: 90 by 2004 (q4), 100 by 2005 (q4), 110 by 2006 (q4).</p>	<p>Alien clearing contracts. Project reports. Partner reports. Project evaluation.</p>	<p>Funds for alien clearing are available from national poverty relief and other programmes, funds are raised for tourism development work and there is a large enough market for tourism to the townships that can be attracted through the pilot sites.</p>
<p>Output indicator 4 Advocacy campaign conducted to secure support for biodiversity conservation on the Cape Flats at all levels of government and lobby, particularly local government leadership, around specific issues as necessary.</p>	<p>Output indicator 4.1 Subcouncils, key party constituency offices and community development forums in areas around pilot sites, and key City Directors briefed annually on the work of Cape Flats Nature: 2004 (q2), 2005 (q2), 2006 (q2), 2007 (q2).</p>	<p>Project reports.</p>	<p>Annual briefings will mitigate high turnover in political leadership in the Western Cape.</p>

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
	<p>Output indicator 4.2 Concise briefing documents about biodiversity conservation on the Cape Flats and its benefits for townships developed and distributed annually to politicians and officials by 2003 (q4), 2004 (q4), 2005 q4, 2006 (q4).</p>	<p>Briefing documents.</p>	
	<p>Output indicator 4.3 Annual site tours for City leadership and other politicians conducted to promote and provide information on the work of Cape Flats Nature at the four pilot sites, and conservation on the Cape Flats by 2003 (q4), 2004 (q4), 2005 (q4), 2006 (q4).</p>	<p>Site tour information packages. Project reports.</p>	<p>Annual site tours will mitigate high turnover in political leadership in the Western Cape.</p>
	<p>Output indicator 4.4 Politicians invited to attend at least five events spread across the sites each year by 2004 (q4), 2005 (q4), 2006 (q4).</p>	<p>Print media. Project reports.</p>	
	<p>Output indicator 4.5 City Council resolutions secured strategically to support the work of Cape Flats Nature, e.g. formation of the Cape Flats Nature Trust in 2004 (q1), recognition that sustainable management has been demonstrated at the four pilot sites and approval of roll-out strategy in 2006 (q1).</p>	<p>Council resolutions.</p>	<p>Existing and new councilors remain committed to the City's Integrated Metropolitan Environment Policy and Biodiversity Strategy.</p>
<p>Output indicator 5 Lessons for sustainable urban conservation management practice from the work of Cape Flats Nature at four pilot sites are captured and shared, and approach of Cape Flats Nature is introduced at two additional sites in the City within the context of a roll-out strategy for the City's biodiversity network.</p>	<p>Output indicator 5.1 Ongoing monitoring and evaluation system in place by 2003 (q4).</p>	<p>Document outlining monitoring and evaluation system.</p>	

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
	<p>Output indicator 5.2 Annual evaluation conducted involving stakeholders at sites in the process by 2004 (q3), 2005 (q2), 2006 (q3), 2007 (q2).</p>	<p>Stakeholder workshop reports. Evaluation reports.</p>	
	<p>Output indicator 5.3 Lessons and plans presented at least once a year in the Cape Flats Flora working group / City Biodiversity Forum, relevant City committees, e.g. Nature Conservation Management, Environmental Services and in broader forums such as Fynbos Forum in 2004, 2005, 2006, 2007.</p>	<p>Project reports. Papers.</p>	
	<p>Output indicator 5.4 A 'lessons on good practice' booklet and video from major midterm external evaluation produced by 2005 (q3).</p>	<p>Booklet. Video.</p>	<p>NBI's (later SANBI) Urban Conservation Programme retains the capacity to produce the videos.</p>
	<p>Output indicator 5.5 A strategy is in place to replicate sustainable management practice across the network as appropriate by 2006 (q1).</p>	<p>Strategy document.</p>	
	<p>Output indicator 5.6 City officials trained to implement sustainable management at other sites by 2006 (q3).</p>	<p>Training attendance register and proceedings.</p>	<p>Training for officials is only one element of the strategy to replicate sustainable management practice across the City's biodiversity network.</p>
	<p>Output indicator 5.7 Sustainable management is initiated at two additional sites in the biodiversity network by 2007 (q2).</p>	<p>Project reports.</p>	
	<p>Output indicator 5.8 WESSA and leadership in government in NMM are informed of lessons learnt through input in at least two meetings by 2004 (q4) and 2005 (q4), written reports and other project media.</p>	<p>Project reports.</p>	

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
	<p>Output indicator 5.9 Lessons learnt from four pilot sites shared with government leadership and implementing agents from other cities and towns in the CFR and beyond through a workshop hosted by 2006 (q2).</p>	<p>Workshop attendance register and proceedings.</p>	<p>Funds are raised for the event and/or participants will pay their own transport and registration costs to attend.</p>
	<p>Output indicator 5.10 Leadership and implementing agents in other cities and towns in the CFR and beyond are informed of the work of Cape Flats Nature through input at three local government forums and conferences, e.g. World Parks' Congress, South African Local Government Association by 2005 (q4).</p>	<p>Project reports. Papers.</p>	<p>Local government forums will be interested in having conservation issues on their agenda.</p>

3.2 Partnerships, co-operative management and incentives to secure biodiversity conservation in priority areas in the Cape Floristic Region

NARRATIVE SUMMARY	PERFORMANCE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Long-Term Goal Statement	Targeted Conservation Outcomes	Means of Verification	Important Assumptions
By the year 2015, there will be no net loss of critically rare and threatened ecosystems and CFR endemic mammal species due to the operations of landowners, and key government agencies and civil agencies recognise the value and importance of retaining remnant ecosystems and corridors.	<ol style="list-style-type: none"> 1. Conservation plans and agreements are drawn up for all Broad Habitat Units (BHUs) with irreplaceability of more than 0.6 by 2005. 2. C.A.P.E. targets for BHUs with irreplaceability greater than 0.8 are met by off-reserve conservation management by 2010. 3. C.A.P.E. mega-reserve and lowland corridor target areas are under conservation management agreement by 2015. 	<ol style="list-style-type: none"> 1. C.A.P.E. and Incentives Action Team progress review. 	<ol style="list-style-type: none"> 1. Further incremental funding is available for C.A.P.E., agency capacity for incentives, plans and management agreements is retained. Government agencies support conservation management and provide sufficient incentives to secure priority areas. Effective incentives and improved law enforcement outweigh landowners' opportunity costs of alternative destructive land uses.
Project Purpose	Purpose Indicators	Means of Verification	Important Assumptions
Natural habitat on private and communal lands is conserved to establish lowland biodiversity corridors and complement the establishment of mega-reserves	<p>Purpose 1 Institutions and legislators give effect to co-operative management models and incentives within 5 years of project initiation.</p>	Government policy papers and programmes reflect incentive measures.	Political will exists to revisit policy and enable co-operative management. Changes in conservation authorities or socio-economic circumstances do not scuttle the building of relationships.
	<p>Purpose 2 Conservation agreements are adopted by landowners in priority areas.</p>	Co-operative agreements are signed by key landowners.	
Project Outputs	Output Indicators	Means of Verification	Important Assumptions
<p>Output Indicator 1 Incentives action team (IAT) established.</p>	<p>Output indicator 1.1 Partnership formalised and signed. Memorandum of Understanding handed to the C.A.P.E. Co-ordinating Committee (CCC) by the end of project month 1.</p>	Memorandum signed.	<p>Key government stakeholders commit to specific incentives. Suitable candidates who understand incentives or are willing to learn, present themselves.</p> <p>Suitable candidates with conservation, development and negotiation skills are found.</p> <p>Consensus on priorities can be reached between managers and scientists in different stakeholder agencies.</p>

	<p>Output indicator 1.2 Key project staff in place, and roles and responsibilities are agreed and committed. Documentation handed to the CCC by the end of project month 2.</p>	<p>IAT operating strategy document.</p>	<p>Consensus on priorities can be reached between managers and scientists in different stakeholder agencies.</p> <p>Most landowners are willing to negotiate or accept co-management models.</p>
	<p>Output indicator 1.3 Workshop held to identify key stakeholders and workshop proceedings handed to the CCC by the end of project month 2.</p>		
	<p>Output Indicator 1.4 Strategic partnerships entered into with key stakeholders and partnership agreement document(s) handed to the CCC by the end of project month 4.</p>	<p>Partnership agreement document.</p>	
	<p>Output indicator 1.5 Necessary infrastructure and equipment procured by the end of project month 4.</p>		
	<p>Output indicator 1.6 Training strategy and schedule developed and strategy document submitted to the CCC by the end of project month 6. Training sessions and workshop proceedings submitted to CCC.</p>	<p>Strategy document, training manuals.</p>	
<p>Output indicator 2 Appropriate co-operative management models and incentive schemes developed.</p>	<p>Output indicator 2.1 Co-operative management models and incentive schemes needs analysis revisited and refined.</p>		
	<p>Output indicator 2.2 Additional models and schemes developed to address unmet needs. Report handed to the CCC by the end of project month 7.</p>		
	<p>Output indicator 2.3 Operational procedure manual developed and delivered to the CCC by the end of project month 9.</p>	<p>IAT toolbox and operations manual.</p>	

Project Outputs	Output Indicators	Means of Verification	Important Assumptions
Output indicator 3 Lobbying strategy for institutional and legislative reform in place.	Output indicator 3.1 Strategy development workshop held with key stakeholders by end of month 8.	Policy option papers.	
	Output indicator 3.2 Policy and legislative reform options and position papers presented to relevant institutes and agency legislators.		
Output indicator 4 Priority areas for the establishment of pilot projects selected.	Output indicator 4.1 Identify possible pilot project areas from the CAPE lowlands project and the CAPE CPU by the end of project month 8.		
	Output indicator 4.2 Stakeholder workshop held to select priority areas for pilot project establishment and proceedings submitted to the CCC by the end of project month 10.	Priority area target maps with key landowner info database.	
Output indicator 5 Pilot projects launched and co-operative management models and incentive schemes implemented.	Output indicator 5.1 Database developed and populated for selected pilot areas. Database developed by the end of project month 9.		
	Output indicator 5.2 Two negotiators appointed by end of project month 11.		
	Output indicator 5.3 A negotiation strategy for the pilot areas is in place by the end of project month 12.		
	Output indicator 5.4 Co-operative management models offered to all target landowners in each selected pilot area within 16 months of project initiation.	Negotiator and extension officer reports.	
Output indicator 6 Package the lessons learned from co-operative management models and incentives schemes and promote them.	Output indicator 6.1 Uptake of incentive schemes and of co-operative management models assessed. Iteration at month 14 and report completed by end of project month 23.	Lessons learned review report.	
	Output indicator 6.2 Budget assessment and revision in months 8, 12 and 18.		
	Output indicator 6.3 Develop a marketing strategy for the further implementation throughout the CFR.	Promotions and roll-out strategy document and roadshow.	

3.3 The C.A.P.E. Threatened Plants Programme

NARRATIVE SUMMARY	PERFORMANCE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Long-Term Goal Statement	Targeted Conservation Outcomes	Means of Verification	Important Assumptions
<p>By 2020 the biodiversity of the Cape Floristic Region (CFR) is effectively conserved, restored wherever appropriate, and delivering significant benefits to the region.</p>	<ol style="list-style-type: none"> 1. The priority species and habitats defined as irreplaceable in the Cape are maintained. 2. The Protected Area Network expands to include all areas identified in the Cape as irreplaceable. 3. The levels of productivity measured in 2002 in indicator terrestrial (wildflower harvesting) and marine ecosystems (total catch) are maintained. 4. The gross revenue generated by the protected area system increases by 10% per annum. 	<ol style="list-style-type: none"> 1. C.A.P.E. monitoring and evaluation reports. 2. State of CFR biodiversity report. 3. Provincial State of Environment reports. 4. Annual reports of conservation agencies. 5. Reports of the C.A.P.E. Co-ordination and Implementation Committees. 	<ol style="list-style-type: none"> 1. Government is committed to biodiversity conservation at high levels and line agencies are required to comply with directives to incorporate biodiversity into planning and to collaborate through the mechanisms established. 2. The National Biodiversity Strategy and Action Plan supports effective conservation of the CFR. 3. International funding is available for incremental costs of biodiversity conservation. 4. There is private sector investment in sustainable biodiversity-based business.
Project Purpose	Purpose Indicators	Means of Verification	Important Assumptions
<p>The status of threatened plant species in priority conservation areas of the CFR directly improved through conservation actions effected by land-owner custodians and community groups.</p>	<p>Purpose 1 At least six civil society groups in pilot areas continuing to monitor and promote the conservation of threatened plant species.</p>	<p>Data on threatened plants collected by civil society groups.</p>	<p>Existing conservation organisations remain committed to work on off-reserve programmes with civil society groups.</p>
	<p>Purpose 2 All land use decision-making in the six pilot areas takes threatened plant distribution and status data into account.</p>	<p>Data layers on threatened plant distribution being used by land use planners in pilot sites.</p> <p>Sites with high concentrations of threatened plants are appropriately zoned.</p>	<p>Land use policy places value on biodiversity and provides positive incentives for civil society to be involved in conservation.</p>
	<p>Purpose 3 At least 12 priority sites for threatened plant species under effective conservation management through actions taken by civil society groups.</p>	<p>Management plans.</p>	

Project Outputs	Means of Verification	Important Assumptions
	<p>Purpose 4 Management guidelines for threatened plant species in pilot areas determined.</p>	
<p>Output indicator 1 Threatened plantsw programme set up and capacitated to work with Civil Society.</p>	<p>Output indicator 1.1 Management and administrative support system in place by the end of month 2.</p> <p>Output indicator 1.2 Training courses for workshop facilitation and project management undertaken by C.T.P.P. staff by end of month 4.</p> <p>Output indicator 1.3 Strategic direction provided by Project Advisory Committee (PAC) that meets monthly for the first 4 months and then 6-monthly.</p> <p>Output indicator 1.4 NBI (later SANBI) financial management, responsible for programme fund investment and accounting, operational from date of grant approval.</p>	<p>Operations manual.</p> <p>Certificates of participation for training courses.</p> <p>Minutes of PAC meeting.</p> <p>Financial audits. Annual financial reports.</p> <p>South Africa's inflation rates do not sky-rocket during project implementation.</p> <p>The rand does not significantly strengthen against the US dollar in the next three years.</p>
<p>Output indicator 2 Civil society in pilot areas aware of threatened plants and capacitated to conserve priority sites for threatened plant species conservation.</p>	<p>Output indicator 2.1 Six civil society groups in priority C.A.P.E. areas identified and committed to work with the project by the end of month 4.</p> <p>Output indicator 2.2 12 new sites in the CFR have secure conservation status with management plans incorporating threatened plant guidelines as a result of civil society projects in the six pilot areas by the end of year 3.</p> <p>Output indicator 2.3 75% of private and communal landowners, on whose land threatened plant data were collected, are aware of the presence and status of these species by end of year 3.</p>	<p>MOUs.</p> <p>Management plans.</p> <p>Records of activities from civil society groups.</p> <p>Civil society groups in pilot areas are interested in becoming involved and being mobilised to conserve priority sites.</p> <p>Conservation organisations can develop effective mechanisms for supporting civil society involvement in conservation.</p> <p>Landowners change land use practice based on knowledge of threatened species occurring on their land.</p>

Project Outputs		Means of Verification	Important Assumptions
<p>Output indicator 3 Information on threatened plant species in the CFR updated and in an accessible format for land use decision-making, Red Listing, and volunteer programmes.</p>	<p>Output indicator 3.1 Existing threatened plant information synthesised and spatially explicit database linked to Conservation Planning Unit (CPU) set up by the end of month 6.</p>	<p>CFR threatened plant database. CPU data layer.</p>	<p>CPU ensures that data collected are continually made available to civil society for land use decision-making.</p>
	<p>Output indicator 3.2 Six civil society groups involved in data collection in selected pilot areas from month 5 until end of project.</p>	<p>Field data forms completed by civil society members. 6-monthly newsletters.</p>	<p>The Planning and Policy Directorate of NBI (later SANBI) uses findings of the C.T.P.P. to input into national biodiversity policy development.</p>
	<p>Output indicator 3.3 Information gaps filled through specialist input and targeted fieldtrips by C.T.P.P. staff throughout programme implementation.</p>	<p>Field data forms completed by specialists and C.T.P.P. staff.</p>	
	<p>Output indicator 3.4 Information on the distribution and population status of threatened plants fed through to the Critical Ecosystem Partnership Fund (CEPF) Conservation Planning Unit and the NBI (later SANBI) Threatened Species Programme for National Red Listing.</p>	<p>CPU data layers. National Red Lists.</p>	
<p>Output indicator 4 Guidelines for management of threatened species determined through monitoring and research, and threatened plant research capacity built.</p>	<p>Output indicator 4.1 A minimum of 15 threatened species being monitored annually by students and landowners.</p>	<p>Data forms completed by students.</p>	<p>Students will be interested and willing to conduct monitoring and take on postgraduate studies involving the establishment of management requirements for threatened plant species.</p>
	<p>Output indicator 4.2 At least three postgraduate students using data obtained from monitoring to determine management guidelines by the end of year 3.</p>	<p>Popular and scientific publications.</p>	
	<p>Output indicator 4.3 Research results synthesised into user-friendly management guidelines and fed into provincial and national biodiversity policy from year 3.</p>	<p>Local and national policy documents.</p>	

Project Outputs		Means of Verification	Important Assumptions
Output indicator 5 Project monitoring and evaluation system effective.	Output indicator 5.1 Project stakeholders including civil society data collection groups, landowners and conservation officials participate in annual feedback, project evaluation and needs assessment workshop.	Minutes of annual programme evaluation and planning workshop.	
	Output indicator 5.2 Annual evaluation reports from TPP submitted to CEPF.	Evaluation reports to CEPF.	
	Output indicator 5.3 Programme annually re-aligned according to needs identified.	Needs assessment document.	
Output indicator 6 Long-term funding for C.T.P.P. secured.	Output indicator 6.1 Additional funding secured by end of year 3 to allow for continuation of programme.	Project proposals successful and funds committed.	Threatened plant conservation is regarded as a priority by donors.



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Enquiries

SANBI Bookshop, Private Bag X101, Pretoria, 0001 South Africa.

Tel.: +27 12 843-5000

Fax: +27 12 804-3211

e-mail: bookshop@sanbi.org

Website: www.sanbi.org.

