



Submit by Monday 3 December 2012

## DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 19: STAGE 2

Please read the Guidance Notes before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required.

Information to be extracted to the database is highlighted blue.

### ELIGIBILITY

**1. Name and address of organisation** (NB: Notification of results will be by post and email to the Project Leader)

Name:	Address:
IIED	80-86 Grays Inn Road, London WC1X 8NH

**2. Stage 1 reference and Project title**

2029: Social Assessment of Protected Areas

**3. Project dates, duration and total Darwin Initiative Grant requested, matched funding**

Proposed start date:	1 April 2013	Duration of project:	36 months	End date:	31 March 2016
Darwin request	2013/14	2014/15	2015/16	2016/17	Total
£ £ £ £ £					

Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost: 40%

**4. Define the outcome of the project. This should be a repetition of Question 24, Outcome Statement.**

(max 100 words)

Protected area managers and policy-makers have access to guidance and tools for assessing the impact of biodiversity conservation actions on local people living in and around protected areas, enabling them, through better engagement, to make informed decisions to minimise negative social and economic effects and maximize positive impacts for local communities. Benefits would be seen at the local level (in particular for the poor and for traditionally marginalised groups, including women) both through empowerment – as they engage with social assessment and articulate their priorities – and through subsequent improved management which takes those priorities into account.

**5. Country(ies)**

Which eligible host country(ies) will your project be working in. You may copy and paste this table if you need to provide details of more than four countries.

Country 1: Gabon	Country 2: Kenya
Country 3: Liberia	Country 4: Senegal
Country 5: The Gambia	

## 6. Biodiversity Conventions

**Which of the three conventions supported by the Darwin Initiative will your project be supporting? Note: projects supporting more than one convention will not achieve a higher scoring**

Convention On Biological Diversity (CBD)	Yes
Convention on Migratory Species (CMS)	No
Convention on International Trade in Endangered Species (CITES)	No

### 6b. Biodiversity Conventions

**Please detail how your project will contribute to the objectives of the convention(s) your project is targeting. You may wish to refer to Articles or Programmes of Work here.**

**Note: No additional significance will be ascribed for projects that report contributions to more than one convention**

In 2004 the CBD adopted a Programme of Work on Protected Areas (PoWPA). One element of this (element two) is focussed on equity, governance and benefit sharing and within this element it calls for an assessment of the social and economic impacts of establishing and maintaining protected areas. More recently, at CoP 9 in 2008, Decision IX/18 encourages Parties: *to ensure that conservation and development activities in the context of protected areas contribute to the eradication of poverty and sustainable development.*

However, to date, there is still little empirical evidence to assess the social, cultural and economic impacts of protected areas. Studies exist from individual protected areas but are often contradictory, lack objectivity, are methodologically flawed, and employ academic methods that are beyond the resources and capacity of developing country protected area managers.

This issue is particularly important as the new Strategic Plan for Biodiversity adopted in 2010 calls for increasing coverage of protected areas. This proposed Darwin project aims to develop and test a common framework for rapid assessment of social impacts of protected areas, that can be rolled out at scale, allowing countries to fulfil their reporting requirements under the CBD PoWPA and in response to Decision IX/18 and to better plan the expansion of their protected area networks to take social impacts into account.

**Is any liaison proposed with the CBD/CITES/CMS focal point in the host country?**

Yes  No      if yes, please give details:

The proposal has been discussed with the relevant CBD focal points to raise their awareness, to ensure national level support and to ensure that it feeds into and supports their reporting requirements under the PoWPA

**7. Principals in project. Please identify and provide a one page CV for each of these named individuals. You may copy and paste this table if you need to provide details of more personnel or more than one project partner.**

Details	Project Leader	Project Partner 1	Project Partner 2	Project Partner 3	Project Partner 4
<b>Surname</b>	Roe	Corrigan	Wilkie	Schneider	Sumba
	Dilys	Colleen	David	Helen	Daudi
<b>Post held</b>	Team Leader (Biodiversity)	Senior Programme Officer		Director	Vice President for Programme Operations
<b>Institution (if different to above)</b>		UNEP-WCMC	Wildlife Conservation Society	Fauna & Flora International (FFI)	African Wildlife Foundation
<b>Department</b>	Natural Resources Group	Protected Areas Programme	Conservation Support	Conservation, Livelihoods & Governance	
<b>Telephone</b>					
<b>Email</b>					

**8. Has your organisation received funding under the Darwin Initiative before? If so, please provide details of the most recent (up to 6 examples).**

Reference No	Project Leader	Title
19-023	Steve Bass	NBSAPs 2.0: Mainstreaming biodiversity and development
19-013	Dilys Roe	Research to Policy – Building capacity for conservation through poverty alleviation
18-012	Maryanne Grieg-Gran	Paying local communities for ecosystem services: The Chimpanzee Conservation Corridor
17015	James MacGregor	Harnessing carbon finance to arrest deforestation: Saving the Javan Rhinoceroses
16-014	Ivan Bond	Co-management of Forests and Wildlife, Bi Doup-Nui Ba National Park
14-046	Maryanne Grieg-Gran	Sustainable tourism supporting species conservation in the Srepok Wilderness, Cambodia

**9a. IF YOU ANSWERED 'NO' TO QUESTION 8 please complete Question 9,**

Not applicable

**10. Please list all the partners involved (including the Lead Institution) and explain their roles and responsibilities in the project. Describe the extent of their involvement at all stages, including project development. This section should illustrate the capacity of partners to be involved in the project. Please provide written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships.**

Lead institution and website:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
<p><b>International Institute for Environment and Development (IIED)</b>  <a href="http://www.iied.org">www.iied.org</a></p>	<p>IIED is an international policy research institute and non-governmental body working for a more sustainable and equitable global environment. IIED works globally through a wide range of long-standing relationships with partners across the developing world. Its partnerships generate close working relations with many key development actors at the grass roots, national and international level. This emphasis on collaboration with partners and networks enable IIED to link local development priorities to national and international policy making.</p> <p><b>Dilys Roe</b> leads IIED's biodiversity team and was a founder member of the Social Assessment of Protected Areas (SAPA) initiative on which this project builds. As <b>Project Leader</b>, Dilys will coordinate and oversee delivery of the project outputs to time and budget. IIED will appoint a new Researcher with a track record in livelihoods and social assessment methods to the biodiversity team. This Researcher will take responsibility for the day to day research inputs of the project – including the further development of the SAPA framework, development of tools and guidance and roll out of the field-testing programme.</p>

Partner Name and website where available:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
<p><b>UNEP-World Conservation Monitoring Centre</b>  <a href="http://www.unep-wcmc.org">www.unep-wcmc.org</a></p>	<p>UNEP-WCMC's mission is to evaluate and highlight the many values of biodiversity and put authoritative biodiversity knowledge at the centre of decision-making. Since its establishment in the 1970s, WCMC has been at the forefront of the compilation, management, analysis and dissemination of global biodiversity information.</p>
	<p>Colleen Corrigan has been Senior Programme Officer in Protected Areas at WCMC for over 5 years, and has nearly 15 years of experience with protected areas, capacity-building, social sciences, and working with indigenous and local communities. She has been involved in the SAPA Initiative since its inception and will work closely with IIED staff to support the further development of SAPA guidance and tools. is part of the core SAPA team and will support the ongoing SAPA initiative. She will also facilitate the integration of outputs from a complementary project on social vulnerability which WCMC is leading and where field testing will take place in The Gambia and Senegal. Neil Burgess is a senior fellow of WCMC and has expertise in African biodiversity, protected areas and management effectiveness issues. Neil and Colleen will provide review of project documents and outputs from field testing, as well as input to final products.</p>
<p><b>Have you included a Letter of Support from this institution?</b></p>	<p>Yes</p>

<b>Partner Name and website where available:</b>	<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>
<b>Fauna &amp; Flora International</b> <a href="http://www.fauna-flora.org">www.fauna-flora.org</a>	FFI works to conserve threatened species and ecosystems, seeking sustainable solutions, based on sound science, and contributing to human well-being. FFI has a commitment to a rights-based approach to conservation. Dr Helen Schneider, FFI's Director of Conservation, Livelihoods & Governance, has 25 years' capacity-building experience in livelihoods and governance, working with both mainstream development and conservation organisations in less developed countries. She will use this expertise to support the development of the SAPA guidance, peer learning and dissemination.
<b>Have you included a Letter of Support from this institution?</b>	Yes

<b>Partner Name and website where available:</b>	<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>
<b>Wildlife Conservation Society</b> <a href="http://www.wcs.org/">http://www.wcs.org/</a>	The Wildlife Conservation Society (WCS), saves <i>wildlife and wild places by understanding critical issues, crafting science-based solutions, and taking conservation actions that benefit nature and humanity</i> . WCS has worked in Gabon for over 3 decades, and works closely with the National Parks Authority, whose executive director is a past WCS country program director, Dr. Lee White. Dr. David Wilkie designed and implemented, with WCS Gabon and ANPN, a baseline social assessment of rural families prior to the formal establishment of the protected area network. Social assessments are now a core component of the management plans for all of Gabon's 13 protected areas and will provide a comparison against which to test the robustness of the SAPA framework  WCS Gabon and National Parks Authority of Gabon (ANPN) staff will be responsible for conducting social assessments of 3 of Gabon's 13 national parks, and for sharing methods and results with IIED, FFI AWF and the broader conservation and development communities.
<b>Have you included a Letter of Support from this institution?</b>	Yes

<b>Partner Name and website where available:</b>  <b>African Wildlife Foundation</b> <a href="http://www.awf.org">www.awf.org</a>	<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>  The African Wildlife Foundation is an international conservation organisation headquartered in Kenya, where it has worked for the past fifty years. AWF works in priority landscapes across Africa, including the Laikipia-Samburu ecosystem in northern Kenya, where it will test the SAPA tools in three proposed sites, working closely with FFI, Kenya Wildlife Service, Ol Pejeta Conservancy and the Laikipia Wildlife Forum. The AWF Monitoring and Evaluation Officer in Nairobi will support the field testing and capacity building components, and the AWF senior technical team will support the roll out to partner organisations and other sites.
<b>Have you included a Letter of Support from this institution?</b>	Yes

<b>Partner Name and website where available:</b>  <b>IUCN – Global Protected Areas Programme</b> <a href="http://www.iucn.org/about/work/programmes/gpap_home/">http://www.iucn.org/about/work/programmes/gpap_home/</a>	<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>  IUCN and IUCN's World Commission on Protected Areas have been working for several years to develop and build capacity for the social assessment of protected areas. Our mandate stems from decisions by the Conferences of the Parties to the Convention on Biodiversity, that call on IUCN to support capacity development for implementation of the CBD's Programme of Work on Protected Areas and in support of the achievement of the Strategic Plan for Biodiversity.  The Global Protected Areas Programme has the development of Social Assessment for Protected Area among its five priorities, and has been involved in the SAPA initiative since its inception. IUCN will provide an opportunity at the 6th IUCN World Parks Congress in 2014 (a once in ten year event) as the venue at which to launch the products of this work, offering a significant means to influence its uptake and application globally. IUCN will also provide the use of its expert Commissions and the central coordination and communication hub of the IUCN Global Protected Areas Programme, to support this project in achieving its purpose and impact.
<b>Have you included a Letter of Support from this institution?</b>	Yes
<b>Partner Name and website where available:</b>  <b>Forestry Development Authority (FDA), Liberia</b> <a href="http://www.fda.gov.lr/">http://www.fda.gov.lr/</a>	<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>  The Forest Development Agency is Liberia's mandated government agency responsible for the forest sector, and is therefore one of the most influential agencies in Liberia with regards to natural resource management. FDA has full management responsibility for Protected Areas. FDA staff will pilot the social assessment for identified Protected Areas with mentoring and project management support from FFI Liberia, with whom it has a well-established partnership, and IIED researcher.

<b>Have you included a Letter of Support from this institution?</b>	<b>Yes</b>
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<b>Partner Name and website where available:</b>  Laikipia Wildlife Forum, Kenya  <a href="http://www.laikipia.org">www.laikipia.org</a>	<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>  The Laikipia Wildlife Forum is one of Kenya's leading landowner associations, directly working with more than 300,000 landowners and beneficiaries in the Laikipia-Samburu landscape of northern Kenya. LWF will support the field testing amongst private protected areas in this district.  <b>OI Pejeta Conservancy (OPC)</b> is a not-for-profit wildlife conservancy that works to conserve wildlife and to generate income through wildlife tourism and complementary enterprise for conservation and community development. OPC is a long-term and key partner for FFI in Laikipia and is a member of Laikipia Wildlife Forum. OPC will provide one of the field testing sites for the draft framework.
<b>Have you included a Letter of Support from this institution?</b>	<b>Yes</b>

<b>11. Have you provided CVs for the senior team including the Project Leader</b>	<b>Yes</b>
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## TECHNICAL EXCELLENCE

### 12. Problem the project is trying to address

Please describe the problem your project is trying to address. For example, what biodiversity and development challenges will the project address? Why are they relevant, for whom? How did you identify these problems?

**(Max 200 words)**

There exists a well-documented literature on the social impacts of protected areas (PAs). Social scientists tend to highlight negative impacts such as evictions and displacement while conservationists rebut these arguments and emphasise employment benefits, revenue sharing and so on. The 5<sup>th</sup> IUCN World Parks Congress in 2003 was clear that PAs should not cause or exacerbate poverty (Rec.V29). Similarly the CBD's PoWPA calls for an assessment of the social impacts. More recently the CBD CoP9 called on Parties to ensure PAs contribute to the eradication of poverty and sustainable development.

Despite this, progress on assessing social impacts and understanding the trade-offs between conservation and poverty alleviation objectives has been slow. A variety of methods exist but these are limited in their coverage, objectivity, comparability. They can also be resource intensive and beyond the capacity of PA managers to implement. This project is intended to develop, test and roll out a methodology that can be used as a standard across all sites, is sufficiently objective and rigorous to inform decision-making but cost-effective for PA managers to implement. Without such an approach, understanding – and acting on – the social impacts of protected areas will remain an issue of continuous debate but limited progress.

### 13. Methodology

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on how you will undertake the work (materials and methods) and how you will manage the work (roles and responsibilities, project management tools etc).

Max 500 words – repeat from Stage 1 with changes highlighted

The SAPA Initiative has already produced a draft framework<sup>1</sup> for assessing the social impacts of PAs, but to date this has not been finalised or tested due to lack of funding. The project partners are intending to convene a working meeting with interested stakeholders in the margins of the IUCN World Conservation Congress (WCC) in September 2012, to review this draft framework and identify key strengths and weaknesses. The first activity of this new project will thus entail finalisation of the draft framework drawing on the recommendations from consultation meetings held at the IUCN World Conservation Congress and elsewhere.

Subsequent activities include:

1) Development of social assessment toolkit and guidance materials to assist assessors with implementing the SAPA framework. Some social assessment tools are already available and have been developed specifically for application in a protected area context and others are widely used in other contexts and can be adapted for use in PAs including stakeholder analysis, household surveys, impact assessment and continuous improvement processes such as the ISO Environmental Management Standards. Steps will be taken to ensure that the development of the guidance material is linked (e.g. informing, influencing and reflecting) to other on-going initiatives within the CBD Programme of Work and the IUCN World Commission on Protected Areas, in particular where these are seeking to improve the effectiveness of PAs (addressing issues of management, governance, capacity etc).

2) Launch of the draft framework, toolkit and guidelines at the 6th World Parks Congress in November 2014.

2) Field-testing the framework, guidance and tools at selected PAs within three low income African countries (Uganda Kenya, Gabon, Liberia). These countries have been chosen because the project partners have well established partnerships and are well connected to national level protected area authorities, thus increasing the opportunity for rolling out the approach nationally. Specific sites will be confirmed once funding has been secured and will represent a range of PA-governance types including community or co-managed, as well as state-run areas. Experience from a related project led by WCMC in The Gambia and Senegal will also contribute to the field testing.

3) Revision of the framework, guidance and toolkit based on the results of the field-testing.

4) Launch of the framework, toolkit and guidelines at the 6th IUCN World Parks Congress in November 2014.

5) Publication and of outputs to inform and influence different audiences:

- For PA managers – a practical manual published by IUCN including links to key tools and other resources.
- For scientists - an academic journal paper (e.g Oryx)
- For policy-makers - a policy briefing paper (for example published in IIED's Reflect and Act series)

Materials will be translated into French and Spanish to facilitate wider utility and uptake.

6) Regional workshop to present lessons learned from field testing and promote peer-to-peer learning between the partner countries

<sup>1</sup> A summary document is attached as an annex to this proposal  
R19 St2 Form

7) Dissemination of the SAPA products and rollout of the assessment process to other PAs including through the IUCN, CBD, ~~The project partners have strong connections to the IUCN World Commission on Protected Areas and the Secretariat of the CBD and these will be used as key dissemination channels and as opportunities to ensure linkages with ongoing PA effectiveness processes. We will also use additional channels with which we are linked including the IIED Poverty and Conservation Learning Group, the Poverty Environment Partnership, the UNEP/UNDP Poverty Environment Initiative, Livelihoods Connect and Eldis.~~

IIED and UNEP-WCMC will jointly manage the project and will lead on the development of the framework, guidelines and toolkit as well as on dissemination and outreach through their different but complementary networks. FFI, ~~WWF~~, AWF and WCS will lead on the field-testing and on coordination with host country stakeholders.

#### **14. Outcome**

Detail what the expected outcomes of this work will be. The outcome should identify what will change and who will benefit. The outcome should refer to how the project will contribute to reducing poverty while contributing to sustainable development and management of biodiversity and its products. A summary statement of this outcome should be provided in question 4 and 24.

(Max 250 words)

This project will make a substantial contribution towards the CBD's aspiration of protected areas contributing to poverty alleviation and sustainable development.

As a result of this project, assessments of the social impacts of PAs will be standardised - and thus comparable across sites – and move from the preserve of academics and international organisations to field-based practitioners and site managers with limited resources and capacity.

PA managers of all types will have access to guidance and tools for assessing the differentiated social impact of their biodiversity conservation actions on different groups of people. The resulting knowledge on the effects of PA management on local livelihoods and well-being can then be used to inform decisions at a number of levels.

At the local level, communities residing in or near PAs will be engaged in PA management and their priorities identified. PA managers will be able to embark on a process of continuous improvement, minimising negative effects and maximize positive impacts for local communities, and consequently engendering greater local support for conservation in the PA.

At the national level, relevant government departments will have the evidence they need to make informed policy decisions about the PA governance and management regimes that most contribute to sustainable development, balancing trade-offs between conservation and poverty reduction.

At the international level, the use of the SAPA framework will enable member countries to report progress against their commitments to the CBD goal of equity and benefit-sharing from PAs as a contribution to sustainable development.

#### **15a. Is this a new initiative or a development of existing work (funded through any source)? Please give details (Max 200 words):**

This project builds on work on social assessment of protected areas (SAPA) undertaken by

IIED, UNEP-WCMC, IUCN and Care International since 2006, and more recently including FFI. The SAPA initiative has been maintained through funding provided by partner organisations. However, funds have been limited and hence the framework, tools and field testing have not been completed. Nevertheless, as a result, and through workshops, presentations and side events at international meetings, a wide range of stakeholders including academics, policy makers and practitioners, have been brought together to discuss different methodological approaches to social assessment. In 2009 the partners commissioned a review of different methodologies to identify key constraints and gaps. Published in 2010,<sup>2</sup> this provided stimulus for a further partner-funded experts workshop in 2011, resulting in a draft SAPA framework. Social assessment has now been identified as a priority by the IUCN Global Protected Areas Programme, and the SAPA initiative has huge potential to contribute to the newly established "Green List" of well managed protected areas, launched at the IUCN World Conservation Congress in 2012. The timing of the World Parks Congress in 2012 also provides the perfect opportunity for public endorsement and roll out of the SAPA process.

**15b. Are you aware of any other individuals/organisations/ projects carrying out or applying for funding for similar work?**  Yes  No

If yes, please give details explaining similarities and differences, and explaining how your work will be additional to this work and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits:

Individual researchers – often from academic institutions – continue to implement projects to assess the social impacts of protected areas but invariably using one or other of the methodologies reviewed in Schreckenberg et al. (2010). We are not aware of any other individuals or organisations who are attempting develop a common framework for social assessment approaches to protected areas. We are well connected with IUCN and the CBD Secretariat – the two international organisations who have a broad oversight and mandates for global protected area activities and are confident that we would know through them of any overlapping work. We are aware – and have been involved in – the development of a toolkit for assessing protected area governance (coordinated through IUCN) but again only see complementarities rather than duplication with this work. The individuals working on the governance toolkit are well known to us and have been involved in many of our workshops and discussions and are fully supportive of the SAPA initiative.

**15c. Are you applying for funding relating to the proposed project from other sources?**  Yes  No

If yes, please give brief details including when you expect to hear the result. Please ensure you include the figures requested in the spreadsheet as Unconfirmed funding.

**16. Value for money**

Please describe why you consider your application to be good value for money including justification of why the measures you will adopt will secure value for money?

(Max 250 words)

<sup>2</sup> Schreckenberg, K et al (2010) Social Assessment of Conservation Initiatives: A review of rapid methodologies.  
IIED, London  
R19 St2 Form

This application represents good value for money because it builds on - and thus benefits from - an existing body of work in which the project partners have already invested considerable time and resources. As a result of the project partners 'commitment to the SAPA initiative, all are contributing significant co-funding to the project from their own resources – either in the form of cash (where the project has synergies with other projects or grants that the partners hold) or in-kind support including staff time, office facilities, vehicles for field work and so on.

In addition, the following enhance the value for money of this project:

- The country partners are already well-connected to the principal project partners thus reducing any transaction costs of establishing new, project-specific working relationships.
- IUCN has agreed a space at the World Parks Congress to launch the SAPA framework, negating any need to include a separate, project-funded, international workshop to launch the outputs and benefitting from the high level of attendance (c 5000 participants) and profile that this event will receive.
- All the project partners have existing and well established networks through which to disseminate the project outputs without any need for establishing separate mailing lists, websites and so on.

## 17. Ethics

Outline your approach to meeting the Darwin Initiative's key principles for research ethics as outlined in the guidance notes.

(Max 300 words)

The Darwin Initiative requires that projects *inter alia* include strong leadership and participation from the developing countries and communities directly involved; recognise the value of traditional knowledge; respect the rights and privacy of affected communities – including by obtaining Free Prior Informed Consent; and ensure independence and integrity.

These principles are very consistent with the applicants' own approaches to research and conservation practice. For example, FFI has an organisational commitment to respecting human rights in its conservation work, including the need for Free Prior Informed Consent. This commitment is evidenced through FFI's membership of the Conservation Initiative On Human Rights ([http://cmsdata.iucn.org/downloads/cihr\\_framework\\_e\\_sept2010\\_1.pdf](http://cmsdata.iucn.org/downloads/cihr_framework_e_sept2010_1.pdf)) which sets out a common framework of human rights principles that many international conservation organisations have agreed to adhere to.

As the lead applicant, IIED's research approach is also consistent with the Darwin Initiative principles. We have recently produced a statement of principles on our interpretation of "research excellence" which describes how we work with local communities in developing countries (<http://www.iied.org/our-research-striving-towards-excellence>). This goes beyond promoting traditional academic measures of excellent research, which have tended to prioritise methodological rigour and the reliability of data, and emphasizes a research process that involves partnership and empowerment, and results that contribute to positive social and environmental change.

These principles are particularly relevant to this project where we are specifically looking at the social impacts of protected areas on local communities and how negative impacts can be addressed to the benefit of local communities.

## 18. Legacy

Please describe what you expect will change as a result of this project with regards to biodiversity conservation/sustainable use and poverty alleviation. For example, what will be the long term benefits (particularly for biodiversity and poor people) of the project in the host country or region and have you identified any potential problems to achieving these benefits?

(Max 300 words)

This project will set a standard for protected area management so that they “do no harm” to poor people, and indeed are able to fulfil the CBD aspiration that they should make a positive contribution to poverty alleviation. This in turn will lead to more effective conservation and long term benefit to biodiversity.

Currently protected areas rarely assess the social impacts of their biodiversity conservation activities on neighbouring local communities. As a consequence they may exacerbate poverty – through preventing or reducing access to critical livelihood resources. Poverty is a major threat to successful conservation and, unless appropriate mechanisms are put in place to understand – and manage – social impacts the long term future of the biodiversity within protected areas is in doubt. Those involved in protected area management, from the CBD to individual protected area managers are well aware of this problem, but to date they have not had the necessary tools and capacity to address social impacts. This project will empower protected area managers by providing them with a practical toolkit that will help them assess and understand the actual and potential harmful implications of some of their management interventions and design appropriate mitigation measures – enhancing their conservation effectiveness over the longer term.

This project is focussed on three African countries where the partners have well established partnerships and government connections, but the outputs will be disseminated globally. With the support of IUCN and the CBD, the project will facilitate the incorporation of social assessment as a routine element of protected area management. Our confidence in this outcome builds on prior experience with promoting tools for assessing the management effectiveness of protected areas which, once endorsed by IUCN, have been widely adopted by donors (including the GEF), large NGOs, and governments.

## 19. Pathway to poverty alleviation

Please describe how your project will benefit poor people living in low-income countries. Projects are required to show how positive impact on poverty alleviation will be generated from your project in low-income countries. All projects funded under the Darwin Initiative in Round 19 must be compliant with the Overseas Development Assistance criteria as set out by the OECD. The outcomes of your research must at the very least provide insight into issues of importance in achieving poverty alleviation.

(Max 300 words)

Protected areas have been, and remain, the cornerstone of biodiversity conservation practice. If biodiversity conservation is to benefit poor people in developing countries, then understanding the social impacts of protected areas is the first critical step in identifying whether, how, and under what circumstances poverty alleviation can be achieved.

The project will contribute directly to ensuring that managers of the PAs in which the guidance is piloted have the information they need in order to take measures to address poverty alleviation. As noted in the legacy section, we anticipate broadscale uptake of the SAPA framework once tested through this project and endorsed by IUCN, potentially benefitting thousands more of the rural poor in developing countries around the world.

The tools for implementing the social assessment process have not yet been identified but,

building on our knowledge of existing tools, these will facilitate the direct involvement of local communities in the assessment process so that they can articulate their concerns and ensure that their priorities have been taken into account. The data gathered during the assessment process will illustrate if the protected areas are achieving social objectives or not and the framework will include the need to identify measures that will address negative impacts, enhance positive impacts and hence identify pathways to poverty alleviation.

Because Parties to the CBD are expected to report on social assessment of protected areas as part of the requirements of the PoWPA this will also open up the potential for informed and open debate, enhancing the transparency of protected area management and the ability of local people to make their voices heard – not just locally, but nationally and internationally.

## **20. Exit strategy**

State whether or not the project will reach a stable and sustainable end point. If the project is not discrete, but is part of a progressive approach, give details of the exit strategy and show how relevant activities will be continued to secure the benefits from the project. Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

The development and testing of the social assessment framework and guidance will reach its end-point within the project period, culminating with a launch at the IUCN World Parks Congress in November 2014. The final year of the project will be focussed on rolling out the approach (including translation, dissemination and communication). While a certain amount of this will be concluded with the project period it is anticipated that roll out will continue way beyond the project period as the framework becomes increasing widely tested and applied. This continued roll out will be supported by ongoing processes with the CBD and IUCN.

The project is intended to design, test and provide guidance on a process that can be delivered by PA managers without the heavy dependence on high levels of funding for training and implementation that many other social assessment methods require. Consequently there will be no “capacity crunch” once the project ends as trained individuals move on. Furthermore, the project partners have long standing commitments to the pilot countries and so will continue to work to promote social assessment in the sites with which they are associated long after the end of the project.

## **HIGHLY DESIRABLE**

## **21. Raising awareness of the potential worth of biodiversity**

If your project contains an element of communications, knowledge sharing and/or dissemination please provide a description of your intended audience, how you intend to engage them, what the expected products/materials there will be and what you expect to achieve as a result. For example, are you expecting to directly influence policy in your host country or is your project a community advocacy project to support better management of biodiversity?

(Max 300 words)

Our project includes a significant element of communications and dissemination since we plan to develop a social assessment framework that will be piloted in a limited number of countries but can be rolled out globally.

We have multiple audiences including:

- PA management authorities in the host countries, who we expect to further roll out the assessment process at the national level following successful piloting in a limited number of test sites.
- PA managers (including community, private and government representatives) in other countries who will be encouraged to implement and test the assessment process independently based on favourable reports from the pilot countries.
- Donor agencies who fund protected area projects including the GEF, World Bank and UNDP and need to understand and address social impacts as part of their monitoring and evaluation procedures.

The fact that the SAPA Initiative has already engaged with, and is supported by IUCN is key to our communications strategy. The well-established IUCN “Best Practice Guidelines” series will provide a publishing outlet and dissemination channel for the SAPA framework and guidelines. In 2014 IUCN will convene the 6<sup>th</sup> World Parks Congress – a once-a-decade global gathering of protected area managers and policy makers. IUCN will provide space in the Congress programme to launch the SAPA framework and guidance and will assist in its dissemination through the mailing list of its World Commission on Protected Areas globally.

The IUCN congress and publications series is largely targeted at practitioners and policy makers so we will also engage the academic community by publishing a summary of the framework methodology and testing results in a high impact factor conservation journal.

IIED has a highly effective communications team and we will raise the profile of the project and its outputs through extensive links with the media – including our biodiversity media alliance (<http://biodiversitymedia.ning.com/>) – an international network of journalists interested in biodiversity and conservation issues.

## **22. Importance of subject focus for this project**

If your project is working on an area of biodiversity or biodiversity-development linkages that has had limited attention (both in the Darwin Initiative portfolio and in conservation in general) please give details.

( Max 250 words)

The issue of the social impacts of protected area has received considerable attention in the academic literature and practical literature. This has tended to be one-sided. The academic literature has been dominated by accounts of the negative social consequences of protected areas – particularly displacement – predominantly by social scientists and anthropologists. Conservationists have tended to respond with an overtly positive slant – for example tools have been developed to assess the benefits of protected areas (while ignoring the costs). Where studies have been objective and explored both costs and benefits, the methodologies used have tended to be highly academic and resource intensive (eg impact evaluation studies). There has been little attention to assessments of social impacts that exemplify research excellence while at the same time being adaptable to use by non-specialists; and to methods that seek to quantify both positive and negative impacts in an objective, repeatable, manner.

## **23. Leverage**

### **a) Secured**

Provide details of all funding successfully levered (and identified in the Budget) towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity.

**Confirmed:**

WCMC will contribute £8K through its MAVA Foundation funded project on assessing social vulnerability and resilience of protected areas in West Africa plus an additional £6K in the form of in-kind staff time and overhead contributions

FFI will contribute £1K to a project team workshop in year one and will also provide in-kind support in the form of staff time and overhead costs and office facilities for field testing (total value £5K)

IIED will contribute just over £38K in staff time and overhead contributions and will hope to increase this by a further £55K subject to confirmation of internal funding allocations in the new financial year (see unsecured below)

AWF will provide in-kind support in the form of staff time and office facilities for field testing (to the value of £3K)

Laikipia Wildlife Forum will provide in-kind support in the form of staff time and office facilities for field testing (to the value of £5K)

Liberia Forest Development Agency will provide in-kind support in the form of staff time and office facilities for field testing (to the value of £1K)

IUCN will provide an outlet for publishing the SAPA framework and guidance and will host a special session at the World Parks Congress to launch the framework and guidance, IUCNs mailing list of protected area managers and other members of the World Commission on Protected Areas will act as a key dissemination mechanism (estimated value to project of £10K)

**b) Unsecured**

Provide details of any matched funding where an application has been submitted, or that you intend applying for during the course of the project. This could include matched funding from the private sector, charitable organisations or other public sector schemes.

Date applied for	Donor organisation	Amount	Comments
To be allocated internally in Feb 2013	IIED internal funds from mixed sources	£XXXX	IIED has a limited amount of unrestricted funds from a variety of donors that, subject to agreement, could be allocated to this project. IIED also receives an Accountable Grant from DFID which could provide funding for some of the outputs – again subject to agreement

## PROJECT MONITORING AND EVALUATION

### MEASURING IMPACT

#### **24. LOGICAL FRAMEWORK**

Darwin projects will be required to report against their progress towards their expected outputs and outcomes if funded. This section sets out the expected outputs and outcomes of your project, how you expect to measure progress against these and how we can verify this. Further detail is provided in Annex x of the guidance notes which you are encouraged to refer to. The information provided here will be transposed into a logframe should your project be successful in gaining funding from the Darwin Initiative. The use of the logframe is sometimes described in terms of the Logical Framework Approach, which is about applying clear, logical thought when seeking to tackle the complex and ever-changing challenges of poverty and need. In other words, it is about sensible planning.

#### **Impact**

The Impact is not intended to be achieved solely by the project. This is a higher-level situation that the project will contribute towards achieving. All Darwin projects are expected to contribute to poverty alleviation and sustainable use of biodiversity and its products.

(Max 100 words)

Protected areas achieve the CBD aspiration of contributing to poverty eradication and sustainable development as PA managers and national policy-makers use tools to improve knowledge of the links between biodiversity conservation actions, sustainable livelihoods and well-being.

#### **Outcome**

There can only be one Outcome for the project. The Outcome should identify what will change, and who will benefit. The Outcome should refer to how the project will contribute to reducing poverty and contribute to the sustainable use/conservation of biodiversity and its products. This should be a summary statement derived from the answer given to question 14.

(Max 100 words)

Protected area managers and policy-makers have access to guidance and tools for assessing the impact of biodiversity conservation actions on local people living in and around protected areas, enabling them, through better engagement, to make informed decisions to minimise negative social and economic effects and maximize positive impacts for local communities. Benefits would be seen at the local level (in particular for the poor and for traditionally marginalised groups, including women) both through empowerment – as they engage with social assessment and articulate their priorities – and through subsequent improved management which takes those priorities into account.

#### **Measuring outcomes - indicators**

Provide detail of what you will measure to assess your progress towards achieving this outcome. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure the outcome – if you have more than 3 indicators please just insert a row(s).

<b>Indicator 1</b>	By year 3 PA managers in at least 5 protected area sites have undertaken social assessments using the SAPA framework and guidance developed through the project
<b>Indicator 2</b>	By year 3 social assessment process in at least 5 PA sites has resulted in improved awareness and willingness of PA managers to address negative effects
<b>Indicator 3</b>	By the end of project PA managers in at least 3 sites adapt their conservation management strategies to promote net positive well-being outcomes compared with pre-assessment
<b>Indicator 4</b>	At World Parks Congress in 2014 social assessment approach endorsed by CBD and WCPA and wide uptake recommended
<b>Indicator 5</b>	By end of project, uptake of social assessment extends beyond project sites to national systems of protected areas in pilot countries

### Verifying outcomes

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

<b>Indicator 1</b>	Reports from each study site on application of SAPA framework and assessment outcomes
<b>Indicator 2</b>	Project reports including feedback from protected area managers on outcomes of SAPA process and anticipated changes; field datasheets
<b>Indicator 3</b>	Individual PA management plans and/or guidance documents. Feedback from affected communities gathered in project workshops documented in reports
<b>Indicator 4</b>	Official text in CBD meetings and within WCPA guidance
<b>Indicator 5</b>	Relevant text in CBD national reports and reports to POWPA

### Outcome risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the *outcome and impact* of the project. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

<b>Assumption 1</b>	Assessment procedure developed accepted as scientifically and politically robust while being within the capacity of site managers to implement
<b>Assumption 2</b>	Political will and capacity exists at site level to adapt management plans and procedures according to outcomes of social assessment process
<b>Assumption 3</b>	National governments receptive to learning from project sites and rolling out approach to national PA systems
<b>Assumption 4</b>	CBD and WCPA influence and authority sufficient to encourage wider uptake

### Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the Outcome. The logic of the chain from Output to Outcome therefore needs to be clear. If you have more than 3 outputs insert a row(s). It is advised to have less than 6 outputs since this level of detail can be provided at the activity level.

<b>Output 1</b>	SAPA framework document including tools and guidance material
<b>Output 2</b>	Report documenting implementation and lessons learned from SAPA process at project sites
<b>Output 3</b>	Policy brief summarising SAPA process and impacts
<b>Output 4</b>	Peer reviewed journal article to promote review of methodology by academic community
<b>Output 5</b>	Dedicated SAPA web page(s) within Poverty and Conservation Learning Group web portal

### Measuring outputs

Provide detail of what you will measure to assess your progress towards achieving these outputs. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure each output – if you have more than 3 indicators please just insert a row(s).

<b>Output 1</b>	
Indicator 1	By September 2013, revised SAPA framework with tools and guidelines available for field testing
Indicator 2	By September 2014 final framework incorporates lessons learned from field testing
Indicator 3	By November 2014 final version translated into French and Spanish and launched at World Parks Congress

<b>Output 2</b>	
Indicator 1	By July 2014 fieldwork completed and lessons from each site collated
Indicator 2	By September 2014, lessons learned report drafted and posted on project website
Indicator 3	

<b>Output 3</b>	
Indicator 1	By March 2015, policy brief drafted based on final SAPA framework and lessons learned from implementation
Indicator 2	By September 2015 policy brief disseminated via IUCN and CBD channels
Indicator 3	By September 2015 policy brief disseminated by partner networks

<b>Output 4</b>	
Indicator 1	By March 2015, project partners (including host country partners) produce draft journal article
Indicator 2	By July 2015 journal article submitted
Indicator 3	By end of project journal article accepted by, or published in, Oryx or other peer reviewed journal

<b>Output 5</b>	
Indicator 1	By June 2013 SAPA web site established within Poverty and Conservation Learning Group portal
Indicator 2	By September 2014 all project outputs to date uploaded onto website in advance of World Parks Congress
Indicator 3	By end of project all outputs available on project website

### Verifying outputs

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	Publication of agreed outputs (framework and guidance document, policy brief, lessons learned report, journal article)
Indicator 2	Biannual project progress reports
Indicator 3	Project website and website content

### Output risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the achievement of your outputs. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	Project team are able to develop a social assessment framework and guidance that is of sufficient quality to lend itself to field implementation in different contexts
Assumption 2	Country partners are able to understand assessment process and roll out approach to multiple field sites
Assumption 3	Field testing sites remain positive about the project, are willing to test framework and to share lessons learned

### Activities

Define the tasks to be undertaken by the research team to produce the outputs. Activities should be designed in a way that their completion should be sufficient and indicators should not be necessary. Any risks and assumptions should also be taken into account during project design.

<b>Output 1</b>	
Activity 1.1	Consultation and peer review to refine draft SAPA framework
Activity 1.2	Desk research to identify existing tools to support framework
Activity 1.3	Development of additional tools and guidance
Activity 1.4	Field testing
Activity 1.5	Revision of draft framework and guidance

Activity 1.6	Launch at World Parks Congress
Activity 1.7	Translation into French and Spanish
Activity 1.8	Dissemination

**Output 2**

Activity 2.1	Implementation of SAPA framework in one site in each host country
Activity 2.2	Roll out of approach to other sites where appropriate
Activity 2.3	Documentation of lessons learned from implementation in each site/country
Activity 2.4	Publication and dissemination of lessons learned
Activity 2.5	report Regional workshop to share implementation findings

**Output 3**

Activity 3.1	Meeting of project partners to agree policy brief structure
Activity 3.2	Policy brief produced in collaboration with IIED communications team
Activity 3.3	Dissemination via IUCN, CBD and partner networks

**Output 4**

Activity 4.1	Meeting of project partners to agree journal article structure
Activity 4.2	Journal article drafted and submitted
Activity 3.3	

**Output 5**

Activity 5.1	Project web pages designed and uploaded
Activity 5.2	Project web pages regularly updated and all new outputs uploaded
Activity 3.3	

**25. Provide a project implementation timetable that shows the key milestones in project activities. Complete the following table as appropriate to describe the intended workplan for your project.**

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1 SAPA framework, toolkit and guidance document													
1.1 Consultation and peer review to refine draft SAPA framework	4	X	X										
1.2 Desk research to identify existing tools to support framework	3		X	X									
1.3 Development of additional tools and guidance	4		X	X									
1.4 Field testing	9				X	X	X						
1.5 Revision of draft framework and guidance	3						X	X					
1.6 Launch at World Parks Congress	1							X					
1.7 Translation into French and Spanish	2								X	X			
1.8 Dissemination	16							X	X	X	X	X	X
Output 2 Lessons Learned Report													
2.1 Implementation of SAPA framework in one site in each host country	3				X	X	X						
2.2 Roll out of approach to other sites where appropriate	6				X	X							
2.3 Documentation of lessons learned from implementation in each site/country	9						X	X	X				
2.4 Publication and dissemination of lessons learned report	12									X	X	X	X
2.5 Regional workshop to share implementation findings	1									X			
Output 3 Policy Brief													
3.1 Meeting of project partners to agree policy brief structure	1								X				
3.2 Policy brief produced in collaboration with IIED communications team	3							x	x				

20-010

3.3	Dissemination via IUCN, CBD and partner networks	12								x	x	x	x
3.4													
Output 4	Journal Article												
4.1	Meeting of project partners to agree journal article structure	1								x			
4.2	Journal article drafted and submitted	9								x	x	x	
4.3													
4.4													
4.5													
Output 5	SAPA web pages												
5.1	Project web pages designed and uploaded	2	x	x									
5.2	Project web pages regularly updated and all new outputs uploaded	30		x	x	x	x	x	x	x	x	x	x
5.3													
5.4													

## 26. Project based monitoring and evaluation

Describe, referring to the Indicators above, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the projects monitoring and evaluation. Darwin Initiative projects are expected to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. Monitoring and evaluation is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact.

(Max 500 words)

IIED will be responsible for ensuring this project is professionally monitored over its three year duration. Responsibility for in-country monitoring will be allocated to the relevant partner organisation. Partners will submit quarterly financial and narrative reports to IIED that will outline progress made against agreed activities and against budgeted expenditure.

With regard to the technical monitoring of the project, in the first three to six months of the initiative, we will convene a project meeting/teleconference where we would develop and agree a process for how best to monitor the project's outcome and output indicators with our partners.

For the first three indicators, we expect partners to agree and an M&E system with the PA managers at each study site. The first task would be to establish baselines for the indicators. We expect the process would proceed as follows. For indicator 1 we would record what, if any, similar types of studies have been carried out in the past. The meeting will then determine the level of awareness that PA managers have of the negative impacts of their conservation work. This will be established with a set of agreed questions used by all partners. Where possible visits to communities will be made to establish how negative impacts of conservation programmes are currently manifesting themselves and what actions are taken to mitigate them.

At the start of the project there will be no other protected areas using the methodology so no baseline data will need to be collected for indicator 5. Partners will establish the most cost effective way of determining how the spread of the SAPA methodology within each country.

Once PAs start to use SAPA, partners will review how managers are reacting to and using the information generated by the studies and if this is leading to changes in their management plans and behaviour. Local communities will also be visited with the aim not only of verifying the changes to managers' behaviour but also to what extent those changes are addressing the key negative effects of conservation programmes.

IIED will be responsible for tracking changes in indicator 4. Following the World Parks Congress in 2014, IIED will monitor closely public statements made by CBD and WCPA about SAPA as well as making contact with key conservation organisations to determine how they are responding to CBD and WCPA advice.

The above information will help partners to determine the effectiveness of their outputs. Where the agreed changes in behaviour are not occurring, they will discuss with PA stakeholders what changes are needed to secure the changes agreed at the beginning of the project.

This information will be used by IIED with its partners when reviewing progress and it will be key in supporting decisions regarding revisions to action plans and budgets.

## FUNDING AND BUDGET

**Please complete the separate Excel spreadsheet which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet.**

**NB:** Please state all costs by financial year (1 April to 31 March) and in GBP. **Budgets submitted in other currencies will not be accepted.** Use current prices – and include anticipated inflation, as appropriate, up to 3% per annum. The Darwin Initiative cannot agree any increase in grants once awarded.

## 27. Value for Money

Please explain how you worked out your budget and how you will provide value for money through managing a cost effective and efficient project. You should also discuss any significant assumptions you have made when working out your budget.

(max 300 words)

The major budget items for this project are salaries and associated overhead costs. The budget is based on the assumption that IIED will coordinate the development of the SAPA framework and toolkit and that partner organisations will coordinate the field testing and dissemination. The most significant costs are associated with a project Coordinator who will be appointed at a mid-grade researcher level within IIED - but these costs will reduce in the last year once the intense process of methodology development, refinement and testing has finished. Salaries for other IIED and partner staff have been kept to a minimum while being sufficient to achieve the high standards expected. All partners are providing match funding for salary and overhead costs – either in the form of additional financial inputs or in-kind donations of un-funded staff time.

Travel costs are also a significant budget item but again have been kept to the minimum level possible – for example the SAPA coordinator will only travel once to each country relying on partners to roll out the assessment process to additional sites once an initial pilot test has been conducted. The costs are exacerbated by our choice of country – Gabon and Liberia being expensive countries to travel to and within. However, these countries were highlighted as the strongest in our selection process based on partners' existing working relations there and potential for roll out - hence their inclusion. The budget benefits from the inclusion of two additional countries - Senegal and Gambia – at no additional cost.

There is no investment in new equipment and the publication costs and dissemination channels for the project outputs are all covered by match funding provided by the partners. Overall the balance of Darwin to matched funds is high.

### FCO NOTIFICATIONS

Please check the box if you think that there are sensitivities that the Foreign and Commonwealth Office will need to be aware of should they want to publicise the project's success in the Darwin competition in the host country.

Please indicate whether you have contacted the local UK embassy or High Commission directly to discuss security issues (see Guidance Notes) and attach details of any advice you have received from them.

**Yes (no written advice)**       **Yes, advice attached**       **No**

We have checked the FCO website for travel advice to each country and taken note of the advice provided. Liberia and Kenya both include advice to avoid all but essential travel to some areas but these are not the areas where our research will be undertaken. Furthermore we are working with partners who are based full time in these countries and who are aware of any day to day changes in security alerts.

**CERTIFICATION 2013/14**

On behalf of the trustees/ of IIED

(\*delete as appropriate)

I apply for a grant of **£239, 393** in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

I certify that, to the best of our knowledge and belief, the statements made by us in this application are true and the information provided is correct. I am aware that this application form will form the basis of the project schedule should this application be successful. (*This form should be signed by an individual authorised by the lead institution to submit applications and sign contracts on their behalf.*)

**I enclose CVs for project principals and letters of support. Our most recent audited/independently verified accounts and annual report are also enclosed/can be found at (delete as appropriate):**

Name (block capitals)	CAMILLA TOULMIN
Position in the organisation	Director

Signed

Date:

30/12/2012

## Stage 2 Application - Checklist for submission

	Check
Have you provided <b>actual start and end dates</b> for your project?	√
Have you provided your <b>budget based on UK government financial years</b> i.e. 1 April – 31 March and in GBP?	√
Have you checked that your <b>budget is complete</b> , correctly adds up and that you have included the correct final total on the top page of the application?	√
Has your application been <b>signed by a suitably authorised individual?</b> (clear electronic or scanned signatures are acceptable in the email)	√
Have you included a <b>1 page CV for all the Principals</b> identified at Question 7?	√
Have you included a <b>letter of support from the main partner(s) organisations</b> identified at Question 10?	√
Have you <b>checked with the FCO</b> in the project country/ies and have you included any evidence of this?	√
Have you included a <b>copy of the last 2 years annual report and accounts</b> for the lead organisation? An electronic link to a website is acceptable.	√
Have you <b>read the Guidance Notes?</b>	√
Have you <b>checked the Darwin website</b> immediately prior to submission to ensure there are no late updates?	√

Once you have answered the questions above, please submit the application, not later than midnight GMT on Monday 3 December 2012 to [Darwin-Applications@itsi.co.uk](mailto:Darwin-Applications@itsi.co.uk) using the application number (from your Stage 1 feedback letter) and the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (eg whether the e-mail is 1 of 2, 2 of 3 etc). You are not required to send a hard copy.

DATA PROTECTION ACT 1998: Applicants for grant funding must agree to any disclosure or exchange of information supplied on the application form (including the content of a declaration or undertaking) which the Department considers necessary for the administration, evaluation, monitoring and publicising of the Darwin Initiative. Application form data will also be held by contractors dealing with Darwin Initiative monitoring and evaluation. It is the responsibility of applicants to ensure that personal data can be supplied to the Department for the uses described in this paragraph. A completed application form will be taken as an agreement by the applicant and the grant/award recipient also to the following:- putting certain details (ie name, contact details and location of project work) on the Darwin Initiative and Defra websites (details relating to financial awards will not be put on the websites if requested in writing by the grant/award recipient); using personal data for the Darwin Initiative postal circulation list; and sending data to Foreign and Commonwealth Office posts outside the United Kingdom, including posts outside the European Economic Area. Confidential information relating to the project or its results and any personal data may be released on request, including under the Environmental Information Regulations, the code of Practice on Access to Government Information and the Freedom of Information Act 2000.