## DARWIN INITIATIVE FOR THE SURVIVAL OF SPECIES: APPLICATION FOR GRANT FOR ROUND 10 COMPETITION

DEFRA

Department for
Environment,
Food & Rural Affairs

Please read the accompanying Guidance Note before completing this form. Give a full answer to each section; applications will be considered on the basis of information submitted on this form. Applicants are asked not to use the form supplied to cross-refer to information in separate documents except where this is invited on the form. The space provided indicates the level of detail required but you may provide additional information on a separate sheet if necessary. Copies of this form are available on disk or by e-mail on request. You are asked also to complete the summary sheet. Although you may reproduce this sheet in a reasonable font, you should not expand it beyond an A4 sheet (leaving the allocated space for DEFRA comments to be made) as additional information will not be taken into account.

#### 1. Name and address of organisation

WWF-UK, International Plant Conservation Unit, Panda House, Weyside Park, Catteshall Lane, Godalming, Surrey GU7 1XR

#### 2. Principals in project

Details	Project leader	Other UK personnel (if working more than 50% of their time on project)	Main project partner or co- ordinator in host country
Surname	Schmitt		Maingi
Forename(s)	Dr Susanne		David R.
Post held	International Plant Conservation Officer		People and Plants Officer
Institution (if different to above)			WWF East African Regional Programme Office, P.O. Box 62440 Nairobi, Kenya
Department	International Plant Conservation Unit		Forest Programme
Telephone			
Fax			
Email			

Please provide a one page CV for each of these named individuals.

#### 3. Project title (not exceeding 10 words)

Conserving Kenya's indigenous forests through certification of sustainably sourced woodcarvings

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#### 4. Abstract of study (in no more than 750 characters)

The project will provide UK support to enable the certification of wood carvings made from sustainably harvested wood by working with Kenyan carving cooperatives, local and international traders and the Soil Association, a UK certifier accredited under the Forest Stewardship Council. The certification of carvings, initially of those produced by two large cooperatives in Mombasa and Malindi, will contribute to the conservation of coastal and montane Kenyan forests, two of the world's biodiversity hotspots, and the biota which depend on them. This will bring in private sector support to assist the government of Kenya to fulfil its obligations under the Convention for Biological Diversity. Certification will also contribute to efforts to generate a more secure future for the 300,000 Kenyans dependent on the woodcarving industry.

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#### 5. Timing. Give the proposed starting date and duration of the project.

April 2002 to March 2005

### 6. Describe briefly the aims, activities and achievements of your organisation. (Please note that this should describe your unit, institute or department within a university.)

#### **Aims**

The mission of WWF-UK is to stop the degradation of the planet's natural environment and to build a future in which humans live in harmony with nature, by: conserving the world's biological diversity; ensuring that the use of renewable natural resources is sustainable; and promoting the reduction of pollution and wasteful consumption. The aim of the International Plant Conservation Unit is to promote the conservation, and sustainable and equitable use of plant resources in collaboration with partners at various levels.

#### **Activities**

Identification of plant resource use conflicts and/or unsustainable management practices;

Research, in collaboration with partner organisations, including the private sector, of the ecological, economic and social factors and the institutional framework responsible for plant resource use conflicts and/or unsustainable management practices;

Training of local researchers (usually at postgraduate level) to work with communities;

Based on sound ecological, socio-economic and cultural information, and through mediation of discussions between local resource users and national authorities, support the development of sustainable resource management strategies;

Work on relevant policy at various levels;

Raising awareness in the UK and internationally.

#### **Achievements**

Since 1992 the People and Plants Programme, undertaken in partnership with UNESCO and the Royal Botanic Gardens Kew, has been the major focus of the Unit (http://www.rbgkew.org.uk/peopleplants). This programme received funding from Darwin to support training in ethnobotany (1994-1997). Programmes of capacity building have been undertaken in Uganda, Kenya, Zimbabwe, Pakistan, Nepal, Malaysia and the South Pacific. Thirty five young professionals have been traine to MSc level or equivalent, and 9 courses in applied ethnobotany established or developed. Six new NGO netwroks have bee established. The Unit was instrumental in establishing the UK Medicinal Plants Sustainability Forum, an informal body of industrt, practitioners and conservationists.

The Unit was responsible for the Centres of Plant Diversity Project, undertaken with IUCN and many other partners to identify the most important sites for plant conservation worldwide.

WWF has played a leading role in the development and promotion of FSC. The WWF catalogue already stocks carvings made of

#### 7. Has your organisation received funding under the Initiative before? If so, please give details.

Capacity building for biodiversity conservation in Anguilla (1998 ref 08/114), Fiscal Incentives for Biodiversity Conservation (1996 Ref 06/98), Ethnobotany training (1993 ref 162/2/47) and Training courses for overseas students (1993)

### 8. Which overseas institutions, if any, will be involved in the project? Please explain the responsibilities of these institutions.

WWF East African Regional Programme Office (Nairobi, Kenya): Provision of office space and logistical support for project coordinator in country. The Project co-ordinator will organize training and provide the link between the cooperatives and technical support from UK on certification. The Project Co-ordinator will provide secreteriat support fo the Steering Committee. The Steering Committee who will select the resource manager.

Mombasa (Akamba Handicraft Industry Cooperative Society Ltd.) and Malindi (Malindi Handicraft Cooperative Society Ltd.) woodcarving cooperatives: Creation of setup (institutional and physical) suitable for acquisition of sustainably sourced carving woods, chain-of-custody requirements; production of quality carvings; and marketing

National Environment Secretariat: National authority for the Convention on Biological Diversity; Preparation of a case study on sustainable woodcarving

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#### **PROJECT DETAILS**

#### 9. Define the purpose (main objective) of the project in line with the logical framework.

The project contributes to the conservation of critical forest habitats (CBD Art. 8) through a shift from destructively harvested forest hardwoods to farm-grown species for woodcarving. Certification of "good wood" carvings will provide the economic incentive (CBD Art. 11) to maintain this shift. It will thereby reduce pressure on natural forest and woodland habitats; generate additional income opportunities for farmers growing trees suitable for carving and increase access for sustainably produced carvings to markets with high environmental standards. This will increase income security for carvers participating in the certification scheme and thereby have a catalytic effect attracting carvers and groups not initially participating in certification.

#### 10. Is this a new project or the continuation of an existing one?

This is a new project. It builds on research on socio-economic aspects, wood requirements and impact of harvesting on natural habitats already completed; as well as dialogue with stakeholders (carvers and traders).

# 11. What is the evidence for a demand or need for the work? How is the project related to conservation priorities in the host country(ies)? How would the project assist the host country with its obligations under the Biodiversity Convention?

#### How was the work identified?

Kenyan carvers have increasing difficulties to obtain the traditionally preferred woods which come from protected forests and woodlands. This is evidenced by decreasing log sizes, increasing prices and the need to import timber. Studies conducted include surveys of the impact of selective harvesting on natural habitats (Obunga, R. & G. Sigu 1996), surveys of wood quantities and pricing (Choge, S.K. 2000) as well as an assessment of farm-grown alternative species (Obara, A.O. et al. submitted to Economic Botany). In 1998 Kenyan carvers therefore developed a 20-year vision envisaging a shift towards farm-grown trees and a planting programme. In 2000, carvers committed themselves to this approach by adopting the Mbagathi Declaration (copy

#### How is the project related to conservation priorities in the host country?

The need for sustainable use of biological resources is reflected in Kenya's National Environmental Action Plan (1994). The importance of farm forestry in supplying the country's wood requirements is stressed in the Kenya Forest Master Plan (1994). Both the Forestry Bill (2000) and the Environmental Coordination and Management Act (2000) provide mechanisms for community involvement in wood production as a means to conserve indigenous forests. By creating incentives for a shift towards farm-grown trees the project sets an example for the realisation of the country's conservation goals. In reducing pressure on natural habitats and hardwood populations the project contributes to the conservation of endangered species who depend directly on the prime carving species, such as the Sokoke scops-owl and the Golden-rumped elephant-shrew. Efforts of Kenyan authorities to protect areas of international biodiversity value (e.g. Mount Kenya, Arabuko Sokoke, Shimba Hills, coastal Kaya forests) are supported by reducing the demand for carving woods. Private sector involvement in this project (importers and cooperatives) helps to address some of the challenges which are faced by Kenyan forestry authorities at present.

#### How will the project assist the host country meet its obligations under the Biodiversity Convention?

In situ conservation of biological resources (Art. 8) through the establishment of economically viable alternatives to the selective exploitation of forest hardwoods;

Ex situ conservation (Art. 9) through the promotion of and support to plantations of trees used for woodcarving including slow growing forest trees;

Sustainable use of components of biological diversity (Art. 10) through the encouragement of cooperation between national authorities and the private sector (woodcarving cooperatives, traders);

Creation of incentive measures (Art. 11) by rewarding sound ecological decisions through certification;

Public education and awareness (Art. 13) through production and diffusion of educational materials, training of resource users and a media campaign to promote 'good woods'.

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# 12. In what ways can this project be considered a Darwin project? How does the project relate to the Darwin principles? How would the project be advertised as a Darwin project and in what ways would the Darwin name and logo be used?

This project has been developed in COLLABORATION and in response to the needs of the various stakeholders and brings together UK EXPERTISE in certification (within WWF-UK and the Soil Association) with Kenyan organisations including wood carving co-operatives and government.

The project will have both a direct IMPACT by providing an incentive for the use of alternatives to the logging of slow gorwing indigenous species, and an indirect effect by building of capacity within the cooperatives to secure the wood necessary for their survival in the longer term. Small farmers will get extra income from the sale of wood for carving. This will contribute to the elimination of POVERTY in Kenya. It will also help the cooperatives access the benefits of the market for environmentally and socially sustainable goods. The involvement of the National Environment Secretariat will help increase awareness within the Kenyan government of the impact of the work. Certification provides a possible incentive and enforcement mechanism to deliver sustainable forest management in Kenya.

The project is the first attempt to secure FSC certification for woodcarvings in Africa, possibly the world. As such it will be the CATALYST to build capacity for other Kenyan wood products to receive FSC certification and to develop regional or national standards for FSC certification. It could lead to the exploration of the use of alternative species in cases of over-exploitation in other countries, such as Malawi, Ghana and South Africa.

The project will provide TRAINING for over 3,400 wood carvers, cutters and farmers in Kenya so that certification can be secured. This will complement the business training as well as marketing and quality training provided though other funding. The funding is therefore ADDITIONAL and in relation to the impact and the number of people reached represents very good VALUE FOR MONEY.

This project is INNOVATIVE and DISTINCTIVE in that it will influence FSC policy worldwide by providing the first case certification of small scale farm produced wood.

The Darwin Initiative (name and logo) will be acknowledged on all information material including case study for CBD COP.

### 13. Set out the proposed timetable for the work, including the programme's measurable outputs using the attached list of output measures.

PROJECT OUTPUTS				
Year/Month	Output Number	Description		
(starting April)	(see standard output measures)	(include numbers of people involved, numbers of publications printed or produced and days/weeks where applicable		
April 02-Mar 05	8: 6 weeks minimum	Project Leader spends minimum of 2 weeks/yr in Kenya		
April 02-Mar 05	No output ref: 18 weeks	Technical support and liaison by Project Leader incl. design of training		
April 02-Mar 05	15A 9 press releases	Features on project in host country newspapers, radio and TV		
June 02-Feb 03	6A: 3,000 trainees	Certification training for carvers: 30 1-day sessions @ 100 participants		
June 02-Feb 03	6A: 400 trainees	Certification training for farmers: 20 1-day sessions @ 20 participants		
June 02-Feb 03	6A: 24 trainees	Certification training for cutters: 2 1-day sessions @ 12 participants		
June 02-Feb 03	6A: 30 trainees	Cert. training for traders and coops: 1 1-day session @ 30 participants		
Dec. 02	16A: 1; 16B: 1,200 copies	Issue of carvers newsletter produced and distributed		
Mar 03-Nov 03	6A: 3,454 trainees	2nd module of training (details as above)		
Nov. 03	9: 1 report	First annual report of the resource manager		
Dec 03-Aug 04	6A: 3454 trainees	3rd module of certification training (details as above)		
Nov. 04	9: 1 report	Second annual report of the resource manager		
Dec. 04	16A: 1; 16B: 1,200 copies	Issue of carvers newsletter produced and distributed		
April 05	14B: 1 case study	Case study on project prepared for presentation at the COP of the CBD		
April 02-Mar 05	14A: 1 workshop	Workshop for importers organised in Europe		
April 02-Mar 05	14B: 1 conference	Present project results at conference on FSC certification		
April 04-Mar 05	no output ref: 15 importers	Meetings with key importers of woodcarvings in Europe incl. UK		

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Key Milestones	
Year/Month	Description
(starting April)	(include travel dates, drafts and other processes that support the delivery of outputs)
Project start	Wood supply management plans, chain-of custody manuals and group administration manuals completed for Malindi and Mombasa woodcarving cooperative societies
October 2002	Project steering committee established with participants from national collaborating institutions (Forest Dept., Kenya Forestry Research Institute, Kenya Wildlife Service, National Museums of Kenya, National Environment Secretariat), international conservation bodies (Birdlife International, Fauna and Flora International), carvers' representatives and local opinion leaders formed
August 2003	Resource manager selected by steering committee and recruited
November 2003	Monitoring system put in place by the resource manager to track 'good wood' logs and carvings
April 2004	Finance and management training of cooperative managers (funded through UNDP small grants program) completed
October 2004	Certification assessment conducted and certificate granted
2006	Presentation of a case study on the Kenyan sustainable woodcarving project to the Conference of the Parties (COP 8) of the CBD

## 14. Do you know of any other individual/organisation carrying out similar work? Give the details of the work, explaining the similarities and differences.

Mennonite Central Committee, provides training to woodcarvers on designs, and the production of quality carvings which complements the work of this project on certification;

Oxfam, has provided complementary training on business management to Makindu woodcarving cooperative society and considers to pursue this in coordination with a project supported by the UNDP small grants program; Oxfam is committed to using FSC certified woods wherever possible.

The Kenya Forestry Research Institute, continues its research on the suitability of commonly available tree species for woodcarving.

# 15. Will the project include training and development? Please indicate how many trainees will be involved, from which countries and what will be the criteria for selection. How will you measure the effectiveness of the training and will those trained then be able to train others? Where appropriate give the length of any training course.

Training Activity	Dates	Who will participate, how many will participate and for how long?
Groups of carvers, farmers, cutters, traders and cooperative managers will be trained on: the rationale behind certification; principles and standards of certification; chain-of-custody requirements; group organisation; roles and responsibilities of participants in the certification scheme; record-keeping and reporting requirements	June 2002-August 2004	The training will be offered to all potential members of a woodcarving certification scheme including carvers, farmers, cutters, traders and cooperative managers. A total of 3,454 people will be trained in three modules. They will all be Kenyan. Training will be organised in one-day sessions to minimise the participants' production loss, thereby ensuring optimal attendance. Modules will include summaries of the previous sessions and provide opportunity for feedback from the participants. Background material will be distributed for reference and to enable trainees to pass information on to their colleagues. The impact of the training will be evident from the number of woodcarvers signing up to certification.

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#### 16. How will trainee outcomes/destinations be monitored after the end of the training?

A monitoring system on the production, harvesting, transportation, storage, processing, packaging and sale of certifiable/certified wood and wood products as well as the people involved at each stage will be set up by the resource manager. The number of trainees initially participating in the certification scheme and the net increase or decrease thereafter will provide a measure of the effectiveness of the training and allow the monitoring of individual trainees.

FSC certification involves annual audits to ensure certified bodies still meet the principles and criteria. The certification process therefore provides long term monitoring of the outcome/destinations and impact of training.

### 17. How is the work of the project expected to continue after the end of grant period? A clear exit strategy must be included.

Premiums paid for certified products and increased sales will cover the recurrent cost involved in certification (periodic assessment, cost of resource manager). Through training on business management (provided for by a separate project) cooperatives will have been enabled to carry on the certification scheme beyond the life span of the project;

The administrative structure including groups of farmers, cutters, carvers and the resource manager established by the project will ensure the continuation of project activities;

The steering committee formed by the project consists of members from interested institutions. Their interest will not end with the project and as such their roles will continue beyond the project.

#### MONITORING AND EVALUATION

18. Describe how progress on the project would be monitored and evaluated in terms of achieving its aims and objectives, both during the lifetime of the project and at its conclusion. How would you ensure that it achieves value for money? What arrangements will be made for disseminating results? If applicable, how would you seek the views of clients/customers?

One of the requirements for certification is the existence of an effective monitoring system for resource flow, accounting and human activities. This will be set up by the resource manager and overseen by the steering committee. It will serve to justify the certification and provide an assessment of the effectiveness of the project implementation. A key component of the project is the introduction of a certification scheme for woodcarvings. Its existence by the end of the project together with the assessment report prepared by the certifier will serve to ascertain the achievement of the project objectives.

Woodcarving in Kenya is an industry with sales worth US\$ 20 million per year and 60,000 to 80,000 carvers and their families (around 350,000 dependants) depend on it. Through certification this industry will become ecologically and economically more sustainable. Given the size of the industry and the potential benefits achieved through this project the financial requirements would seem to be justified.

Results will be disseminated through country reports and a case study to be prepared for a COP of the CBD; through information on the Internet (www.rbgkew.org.uk/peopleplants) and in a People and Plants newsletter; through media contributions in the host country; through information provided to their customers by participating fair trade organisations.

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The response of clients/customers will be evidenced by feedback on training sessions, signing up to certification by carvers, cutters, farmers and cooperatives and ultimately by the sales of certified carvings.

## Logical framework. Please enter the details of your project onto the matrix using the note at Annex B of the Guidance Note.

Project summary	Measurable indicators	Means of verification	Important assumptions	
Goal  To assist countries rich in biodiversity but poor in resources with the conservation of biological diversity and implementation of the Biodiversity Convention		FSC accredited certification Case study on project prepared for COP of the CBD Cooperative records use of forest hardwoods vs. farm- grown or plantation trees	Cooperatives acting rationally and in the best interest of its members  Stability of the general political environment	
Purpose Conservation of critical forest habitats in Kenya (Art. 8 CBD) by putting in place an incentive (Art. 11 CBD) to enable carvers shift from traditionally preferred forest hardwoods to farmgrown or plantation species, thereby providing for sustainable livelihoods for carvers and tree owners (Art. 10 CBD)	Number of arrests for illegal timber harvesting Number & % of carvers "signing up" to certification (target 5%) Number of farmers supplying carving industry Volume & % of "good wood" used for carving (target 10%) Income for farmers &	Records of Forest Department and Kenya Wildlife Service Records of resource manager and cooperative Records of resource manager and tree cutters Records of resource manager and cooperative Comparisons to surveys in 1996 and 2000	Level of protection and size of protected areas in Kenya is effective in addresing other threats  Resource manager in place  Management plans for wood supply and chain-of-custody being implemented  Adequate training has been provided to cooperative, carvers, cutters and wood suppliers	
Outputs  Certification of sustainably sourced carvings from two woodcarving cooperatives  Increased general awareness about sustainable woodcarving and benefits of certification amongs carvers, tourists, exporters and importers.	Certification documents  Volume/percentage of certified carvings marketed  Amount of media attention  Number of workshops and training activities on the subject  Number of media contributions  Number of meetings with importers	Certification assessment by accredited certifier  Records of resource manager and cooperative  Newspaper cuttings and copies of radio and TV programmes relating to certification  Workshops reports	Scheme of group certification of a catchment of farmers and offsite ecological benefits acceptable under FSC policy Increased awareness leads to change in behaviour	
Activities Training of carvers, farmers, cutters, traders and cooperative managers Steering committee set up & Installation and recognition of a resource manager Implementation of certification management plans Preparation of press releases Meetings with importers Tech support on FSC issues	Inputs  Project Leader (20% of time), Programme Officer (100%) and Resource Manager (100%). Over 3,000 trainees. Materials £10,362 plus £41,448 T&S  T&S for members £6,500 and support by Programme Officer  Assessment visits by Soil Association	Training reports and membership lists Resource manager reports Steering committee reports Monitoring and evaluation reports Newspaper cuttings; records of TV/radio programmes Project reports Importers sourcing practices	Local politics neutral or positive about approach Suitable candidate for resource management available Institutions and individuals in steering committee committed and interested Importers open to changing sourcing practices	

#### **FINANCIAL ASPECTS**

20. Please state gross expenditure on the programme of work. Please work by financial year (defined as April to March) using 2001/2002 prices throughout - do not include any allowance for assumed future inflation. Indicate salary costs on Table A and total costs on Table B. For programmes of less than 3 years' duration, enter 'nil' as appropriate for future years. It would be helpful to highlight (by bold, italics or underlining) the areas for which Darwin funding is requested. Show Darwin funded items separately; do not include with other funding

#### **Table A Salary costs**

	2002/2003 (£)	2003/2004 (£)	2004/2005 (£)
List each member of the team and their role in the project	(-/	(-/	(-)
a) UK			
Project Leader - Susanne Schmitt			
Soil Association Certification Assessor (see consultancy costs)			
Administrative Support - Ros Coles			
Accountant			
Accountant			
b) collaborators Programme Officer (David Maingi)			
Resource Manager			
Resource ividinagei			
	1	1	<u> </u>
Show the % of time each person would spend on this work			
Project Leader - Susanne Schmitt			
Accountant			
Programme Officer (David Maingi)			
Resource Manager			
Administrative Support (Ros Coles)			
Total cost of salaries			

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#### Table B Other costs (Please highlight or underline the areas for which Darwin funding is requested)

	2002/2003	2003/2004	2004/2005
Rents, rates, heating, lighting, cleaning or overheads			
Office costs eg. postage, telephone and stationery			
Travel and subsistence			
Printing			
Conferences, seminars etc			
Capital items/equipment (please specify)			
Other (please specify)			
Certification Assessment			
Trainee Travel and Subsistence			
External financial audit			
Sub-total			
Cost of salaries (from previous table)			
Total of spend*			

<sup>\*</sup> Grants may be limited to a percentage of the total cost of the project. The Department will look for balancing income from non-public sources (eg. private sector funding, subscriptions, donations, fees).

#### 21. How is your organisation currently funded?

The Financial statement for July 1999 to June 2000 is enclosed. Aid agency and government grants made up 10.8% of WWF-UK's income for that year out of a total income of £26.7 million.

Public funding was made up primarily of funding from DFID (£2.261 million), £396,000 from the EU, £134,000 from NLCB (now the Community Fund), £21,000 from the Darwin Initiative, £62,000 from the Environmental Action Fund.

The latest statement will be approved shortly and can be forwarded if required. However, the proportions between different types of funding remain broadly the same. WWF-UK is not currently receiving any funding from the Darwin Initiative but is receiving EAF funding as well as £125,000 (mainly from DEFRA) for an education project in the UK.

22. Please give details of resources you have sought from the host country partner institution(s) for this project. Include donations in kind eg. accommodation with these costed where possible. Indicate any income or donations which are confirmed.

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WWF EARPO is providing Office space for the Programme	Officer (equivalent to £8,250 Office Rent)	and a contribution
towards office costs of £1,500.		

Venues for training sessions provided by project partners

		es of income and amour odies, private sponsors	•		roject (including
		ed income or donations for the Date of the		ere these may be co	osted) and indicat
Table C Da	rwin funding reques	t			
			2002/2003	2003/2004	2004/2005
Income to	be deducted		7,066	7,067	14,927
Amount o	of Darwin Initiative fu	inding requested	47,562	73,227	71,857
FCO NOTII	FICATION				
25. Please Office wil	e check the box if yo	u think that there are se f should they want to pu y			
CERTIFIC	CATION				
On behalf	of the trustees/comp	any <i>(delete as appropria</i>	nte) WWF-UK	<b>X</b>	
I apply for	a grant of ${f \pounds}$	in respect of	of expenditure to be	incurred in the fina	ncial year
ending 31	March 2003 on the ad	ctivities specified in para	agraph 13.		
	at, to the best of our lation provided is cor	knowledge and belief, th	ne statements made	by us in this applic	ation are true and
I enclose a	copy of the organisa	ation's most recent audi	ted accounts and ar	nnual report.	
Name (blo	ock capitals)				
Position i	n the organisation				
Signed			Date:		

Please return completed form to the Department for Environment, Food and Rural Affairs, 4/A2 Ashdown House, 123 Victoria Street London SW1E 6DE.

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Department for Environment, Food and Rural Affairs August 2001