



Submit by Monday 24 October 2011

DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 18: 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.

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

Name: Natural Resources Institute	Address: University of Greenwich, Chatham Maritime, ME4 4TB, Kent
---	---

2. Project title (not exceeding 10 words)

Agroforests: A critical resource for sustaining megadiversity in Guatemala
--

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

Proposed start date: April 2012		Duration of project: 3 years				End date: March 2015	
Darwin funding requested	2011/12 £	2012/13 £75,209	2013/2014 £91,638	2014/15 £83,409	2015/16 £	Total £250,256	
Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost: 27%							

4. Define the purpose of the project (extracted from logframe)

Improved public and private policies that recognize the role of agroforests in meeting the objectives of the CBD in Guatemala

5. Principals in project. Please 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 UK personnel or more than one project partner.

Details	Project Leader	Other UK personnel (working more than 50% of their time on project)	Main project partner and co-ordinator in host country/ies
Surname	Haggar		Aguilar
Forename (s)	Jeremy		Rosa Maria
Post held	Head of Department		Environmental Coordinator
Institution (if different to above)			National Coffee Association, (ANACAFE)
Department	Agriculture, Health and Environment		
Telephone			
Email			

Details	Project Partner	Project Partner	
Surname	Tot	Martinez	
Forename (s)	Cesar	Doris	
Post held	Director of Sierra Las Minas Biosphere Reserve	Researcher in Biodiversity	
Institution (if different to above)	Fundacion Defensores de la Naturaleza	Universidad del Valle	
Department		Centre for Environmental Studies and Biodiversity	
Telephone			
Email			

6. 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
3248	Dr Anthony Russell-Smith	INVERTEBRATE BIODIVERSITY OF THE MKOMAZI GAME RESERVE, TANZANIA
5147	Dr Anthony Russell-Smith	An invertebrate study of the Etosha National park, Namibia
3040	Dr Philip Stevenson	Fungal Wilt Disease Resistance and Phytochemical Variation in Wild Species of Chickpea
3108	DR John Orchard	Darwin Initiative Onion Germplasm West Africa

7. IF YOU ANSWERED 'NO' TO QUESTION 6 describe briefly the aims, activities and achievements of your organisation. (Large institutions please note that this should describe your unit or department)

Aims (50 words)
Activities (50 words)
Achievements (50 words)

8. 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.

<p>Applicant institution and website where available: Natural Resources Institute, University of Greenwich www.nri.org</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>The project leader has worked on the agroecology of agroforestry systems in Central America for the past 20 years. NRI will coordinate the project, facilitating joint planning between the partners, providing methodological support in implementation of actions and in analysis of the information gathered. NRI will also coordinate the monitoring and evaluation of the project with partners. Together we will develop the strategy for local, national and international engagement with public and private policies (including dissemination in the UK) to increase the recognition of agroforests in supporting biodiversity in threatened ecosystems. NRI has decades of experience in supporting natural resource management in developing countries</p>
<p>Lead partner Name and website where available: National Coffee Association (ANACAFE) www.anacafe.org</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>ANACAFE provide technical and development services to the coffee sector in Guatemala as well as representing the sector in national policy. ANACAFE will be responsible for coordinating the Palajunoc study site liasoning with the producers association and cooperatives, facilitating the biodiversity and socioeconomic studies, producer training and biodiversity management strategies. They will be responsible for supporting producers in achieving sustainable certification and facilitate promotion of biodiversity sustainable coffee. ANACAFE will participate in the policy discussions on recognizing biodiversity in agroforests as the representative of the coffee sector.</p>
<p>Partner and website where available: Centre for Environmental Studies and Biodiversity, Universidad del Valle www.uvg.edu.gt/investigacion/ceab/index.html</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>Universidad del Valle will be responsible for implementation of the biodiversity and socioeconomic research on farm, and participate in the mapping of agroforests, development of policy recommendations and their dissemination. The Centre for Environmental Studies and Biodiversity has previously led projects on evaluation of environmental services in forests and agroforests, socioeconomic impacts of economic and environmental change, and is a recognized technical advisor to the Guatemalan government on environmental policy and the biodiversity office of National Council for Protected Areas (CONAP).</p>

Partner Name and website where available: Fundacion Defensores de la Naturaleza www.defensores.org.gt	Details (including roles and responsibilities and capacity to engage with the project): Fundacion Defensores de la Naturaleza is a national environmental NGO with responsibility for management of the Sierra Las Minas Biosphere Reserve, one of the sites for project implementation. They also lobby nationally on biodiversity policy issues. They implement environmental development projects with the communities in the buffer zone of the Sierra Las Minas Reserve. Defensores will collaborate in the biodiversity studies, be responsible for training land-owners and communities in managing for biodiversity and facilitating participatory development of biodiversity strategies by the producer associations. Furthermore, they will collaborate in the engagement with CONAP in policies to recognize biodiversity in agroforest systems.
---	--

9a. Have you consulted stakeholders not already mentioned above? If yes, please give details: The overall objectives of the project were discussed in detail with the main producers association, APODIP, in the Sierra Las Minas Biosphere Reserve. A letter of support from the organization is attached to the proposal.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
9b. Do you intend to consult other stakeholders? If yes, please give details: The producer organizations and cooperatives in the two study sites have been collaborators in previous projects and have on-going interactions with the Guatemalan partners. Although some consultation was achieved prior to the submission of the proposal, it is considered necessary to invite all local and national stakeholders to a participatory planning workshop in each zone to integrate their specific interests with the objectives of the project.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
9c. Have you had any (other) contact with the government not already stated? If yes, please give details: Universidad del Valle and Defensores de la Naturaleza have on-going engagement with the Biodiversity Office of the National Protected Areas Council (CONAP). Guatemala at date of submission is waiting for a run-off election for President on 6 Nov, and it is probable that staff in CONAP will change with the change in government. Therefore it was decided that consultation on the project should wait until after the elections and the new authorities have taken possession (January 2012). The benefit of this is that the project is not likely to have to deal with any change in government during the course of its implementation.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
9d. Will your project support any work in the UK Overseas Territories? If yes, please give brief details stating which Territory/ies will be involved.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

PROJECT DETAILS

10. Please provide a Concept note (Max 1,000 words) (repeat from Stage 1, with changes highlighted)

In February 2011, Guatemala was admitted to the Group of Like-Minded Megadiverse Countries (<http://marnguatemala.blogspot.com/2011/02/guatemala-el-nuevo-pais-megadiverso-del.html>) based on the evidence it presented of the country's high cultural, ecological, faunal and floral diversity. The two most important land-uses in Guatemala are forest and agroforestry systems each covering just over 29% of the country. Agroforestry systems are important for combining productive activities with environmental services including biodiversity. As they cover almost a third of the country, a strategy for sustaining these services is an essential part of conserving Guatemala's megadiversity. Protected areas in Guatemala are concentrated in the lowland tropical forests of the Peten and the montane forests of the Sierras, with under-

representation of humid sub-tropical forest ecoregion (CONAP 2009), a highly biodiversity region but also with high agricultural use. Agroforestry systems, including shaded coffee, cocoa and cardamom plantations, are a key land-use in these areas and are essential to sustaining biodiversity in this ecological region. Shaded coffee systems have been recognized for their role in providing habitat for birds, bats, reptiles, butterflies (Perfecto et al. 1996), although shaded coffee systems vary considerably in their botanical and ecological complexity (Moguel and Toledo 1999).

During the fall in coffee prices between 2000 and 2004 a study was conducted by the project leader together with the Guatemalan Coffee Association (ANACAFE), which determined that thousands of hectares of shaded coffee was being converted to less biodiverse land-uses. As economic evaluations indicate that intensified low shade coffee is more profitable, it is not clear why many farmers maintain biodiverse shaded coffee systems. The total land area of these diverse shaded coffee systems is also unknown, in part because they are difficult to distinguish from forest by remote sensing. Similarly, it is not known to what extent these agroforests provide real corridors between forest patches within the landscape and between different altitudinal forest ecosystems. Public and private policies designed to promote the conservation of these agroforests, such as sustainability certification for coffee, (e.g. Rainforest Alliance) or the creation of private reserves, have made local contributions, but it is not known what impact they may be having at the landscape level to sustain biodiversity.

Currently Guatemala's biodiversity strategy concentrates on the conservation of its remaining natural forest resources, and the prevention of the expansion of intensive agriculture or industrial activities at the expense of these resources. However it does not recognize the potential threat to agroforestry as a system that is sustaining biodiversity, and as acting as a buffer between natural ecosystems and an agro-industrialized land uses. Meeting the CBD objectives of sustainable use and the equitable sharing of benefits requires engagement with agroforest land-owners and their representatives. Coffee agroforestry systems are also recognized as a critical ecosystem for migrant and over-wintering insectivorous birds from North America (Greenberg et al. 1997), although Guatemala has not signed the CMS. The Smithsonian Migratory Bird Centre has promoted bird-friendly coffee certification for those farms that have shade systems optimally managed for migratory birds, but this product is not currently available in Europe.

The research studies and local support will be focused on two areas: the lower slope of the Pacific Volcanic range, and the Sierra Las Minas Biosphere Reserve in the east. The Pacific site has no protected status, but agroforests are considered critical to maintaining a forested landscape. The local Palajunoc Producers Association aims to protect and promote environmental production systems, and collaborated in previous studies in this region. Agroforests also maintain connectivity between the protected core region and forest fragments in the buffer zone of the Sierra Las Minas. There are two small-scale producer associations (one indigenous Q'eqchi producers) in the area who are Fairtrade certified and some also organic.

The first objective is to effectively demonstrate the importance of agroforest systems at the landscape level. This will require integration of the mapping of forest land cover (conducted by Universidad del Valle) and the coffee mapping conducted by ANACAFE, with subsequent ground-truthing to determine the type of shade systems. The ecological integration between agroforests and forest patches will be determined by comparing species composition and dynamics between these systems among specific groups such as trees, epiphytes, birds and selected insect orders. The dynamics of tree regeneration in the agroforests determines the overall habitat structure. Other studies have indicated a high turn-over of native trees invading agroforests, and could explain the high β -diversity among tree species found in coffee agroforests (Hagggar unpublished data).

The second objective is to better understand the decision making of large and small-scale land-owners and how this determines the type and composition of agroforests they manage. Particular emphasis will be placed on the impacts of sustainable coffee certifications, declaration of private reserves, reforestation incentives, local natural resource policies, and the local values of the owners and community. Conservation strategies will be developed with communities and producer associations to access to conservation incentives, or lobby for changes in those policies if access is restrictive.

The third objective is to work with the producer's associations to identify strategies to improve the recognition of the benefits of agroforests through sustainable certification of the products. UK coffee traders and roasters, such as Twin Trading and CafeDirect, will be engaged to develop and promote a biodiversity supported coffee brand in the UK, similar to Bird-friendly coffee in the USA,

and farmers supported to meet the criteria for certification. Feedback will be given to certification standards as to how recognition of biodiversity may be improved.

The fourth objective is to engage public policy makers on policies that support agroforests. An alliance will be facilitated between the different interested actors to support policy interventions. The Universidad del Valle and Defensores de la Naturaleza are active players in informing and lobbying natural resource policy in Guatemala. These organizations together with ANACAFE, in representation of the main land-users, would be in a position to engage public policy makers in the Biodiversity Office of the National Protected Areas Council (CONAP) develop a strategy to conform the coffee biological corridor proposed between ANACAFE and the Ministry of Environment.

11a. Is this a new initiative or a development of existing work (funded through any source)?

Please give details:

The area of work started in 2004 with a grant from the British Embassy to ANACAFE, and advised by the project leader of this proposal, to evaluate the environmental services from coffee systems. The project produced a manual for the evaluation of environmental services from coffee systems and a report on the impacts of the fall in coffee prices on coffee agroforests and the environmental services they provide. A follow-on collaboration between ANACAFE and Defensores de la Naturaleza was established. CAFNET: Connecting, enhancing and sustaining environmental services and market values of coffee agroforestry in Central America, East Africa and India was funded by the European Commission and was led by J Hagggar in Central America, then at CATIE, and CIRAD. This project evaluated environmental services, promoted sustainable management and evaluated the impacts of sustainable certifications in the Sierra Las Minas reserve. In parallel CEAB at the Universidad del Valle has collaborated with J Hagggar on developing policy recommendations of the impacts of the economic and environmental change; and with ANACAFE on evaluation of climate mitigation and adaptation strategy for coffee producers. Thus this proposal builds on on-going collaboration between the four parties in building a body of evidence and capacity to promote the recognition of agroforests as critical for the conservation of biodiversity in Guatemala, and the need to support producers who maintain these systems.

11b. 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:

11c. 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.

CEAB/Universidad del Valle and NRI are collaborating on a proposal, "Smallholder coffee production and ecosystem services in the Mesoamerican Corridor" with the University of Hawaii to present to the NSF Geography and Spatial Science Program in January 2012 and awarding would be expected in mid-2012. The NSF proposal would provide additional research support to the policy objectives of the current proposal.

12. Please indicate which of the following biodiversity conventions your project will contribute to: -

At least one must be selected.

- Only indicate the conventions that your project is directly contributing to.

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

Convention on Biological Diversity (CBD) Yes No

CITES Yes No

Convention on Migratory Species (CMS)* Yes No

*If CMS please indicate whether it is the main Convention or one or more of the daughter agreements/MoUs (ACAP, AEWA etc)

Is any liaison proposed with the CBD/CMS/CITES focal point in the host country? Yes No
If yes, please give details:

The national collaborators, particularly University of Valle and Defensores de la Naturaleza have on-going interactions with the Biodiversity Office in the Protected Areas Council (CONAP). They will use these connections to engage staff of the office in discussion of the value of agroforests for biodiversity and how policies may support the land-owners in conserving high-biodiversity systems.

What specific issues covered by the Convention(s) will this project address and how were they identified? (150 words)

The project will provide a case study example that contributes to the Acihi Targets and a broader Biodiversity strategy for the 2011-2020 period. The project serves as an example of mainstreaming biodiversity across government, business and society (Target A), rather than being solely focused on protected areas, with the engagement of civil society, land-owners and national and international businesses supporting biodiversity conservation through sustainable management of productive land-uses (Target B). The biodiversity of coffee agroforests has ensured ecosystem service benefits to society and especially the poor and indigenous peoples (Target D) that need to be conserved through participatory planning, knowledge sharing and capacity building (Target E). The National Coffee Association has identified since our early studies that many of their members are managing systems that sustain substantial biodiversity, but that this is not effectively recognized neither by public biodiversity policies nor sustainable coffee markets (<http://www.guatemalancoffees.com/index.php/greenbook>).

What will change as a result of this project? (150 words)

Nationally the aim is to broaden Guatemalan biodiversity policy to support conservation processes in semi-natural productive land-uses that are critical to conserve biodiversity in certain ecological zones, and to effectively engage a commercial sector of producers and businesses in developing a strategy to support biodiversity. Public-private policies such as the private reserves, reforestation incentives, and sustainable commodity markets will be evaluated for their effectiveness in promoting biodiversity and changes to increase their effectiveness proposed and discussed with stakeholders. Locally, producer associations in two critical ecological zones will be trained and have better capacity to manage biodiversity on their farms as a coordinated response across the landscape; and should receive better recognition for the conservation of biodiversity in their agroforests through better market prices.

Why is the project important for the conservation of biodiversity? (150 words)

Agroforests sustain biodiversity (such as trogons, toucans, manikins and Amazon parrots and critical wintering habitat for neotropical wablers) in ecological zones where natural forest is highly fragmented and protected areas very limited. The sub-tropical humid zone is where the majority of the population and much of the agricultural production of Mesoamerica are concentrated due to the equitable climate and soils. These systems provide altitudinal connectivity between montane forest with forest fragments down the altitudinal slope which is essential to many species, e.g. bell-birds that migrate along this gradient, but also in the longer term to enable adaptation of species ranges in response to climate change. Agroforests are threatened by conversion to intensively managed more profitable systems, and urban expansion, as was witnessed during the crash in coffee prices. Public and private policies are required to provide farmers with the incentives to maintain these high biodiversity systems.

13. How will the results of the project be disseminated; how will the project be advertised as a Darwin project and in what ways will the Darwin name and logo be used? (max 200 words)

All project reports, publications, policy briefs and public media interviews will recognize the support from the Darwin Initiative. Publications from the project will use the logo, while scientific papers will recognize Darwin as the funder. The language of the publications will differentiate according to the target group, those for training or policy incidence in Guatemala will be in Spanish, while those for promotion of sustainable products in markets, or sharing lessons of how public-private policies can support biodiversity conservation will be in English. The British Embassy in Guatemala, who supported the original study that initiated this proposal, will be contacted to inform them of the project and explore how Darwin support for this project may be promoted. The UK government is reinforcing relations in Central America and re-opening the embassy in El Salvador; environmental issues have been one of the areas of engagement by the UK in the region. In the UK, findings will be disseminated on biodiversity forums and the sustainable coffee blogs, as well as formal publications. These postings will show how support for environmental development from Defra, is promoting the offer of sustainable products by UK coffee roasters at the same time supporting biodiversity conservation.

14. What will be the long term benefits (particularly for biodiversity and local communities) of the project in the host country or region and have you identified any potential problems to achieving these benefits? (max 200 words)

Maintaining the connectivity of forest cover in humid subtropical zone is critical to maintaining the ecological viability of sustaining biodiversity in this landscape, but it is even more vital for species to be able to adapt their ranges with climate change. Public and private policies that support high-biodiversity agroforest systems will help prevent the conversion of these systems to more intensive production systems but the economic incentives (e.g. conversion to urban development) may be too great for these incentives to counteract. Communities will benefit from local environmental services of conservation of soil and water sources, but also will benefit from the aesthetic and cultural services of living in a forested biodiverse systems. Changes in public policies and market incentives to sustain biodiverse systems will provide permanent economic benefits to low-income small-scale land-owners; but ensuring provision of landscape level environmental services to communities or for biodiversity requires the participation of large-scale land-owners as they control larger proportions of the landscape. The social and ethnic differences between small and large scale landowners mean they have differential capacity to access markets or policy support and create difficulties in agreeing landscape/community level biodiversity management plans.

15. 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 project builds upon existing institutional strategies of the main partners ANACAFE and Defensores de la Naturaleza to promote sustainable management practices amongst producers and for the benefits from them to be recognized by public and private support. This project will contribute to that through demonstration of the importance of agroforests for biodiversity to reinforce its recognition through public policies of the national biodiversity office, and further developing markets that explicitly recognize biodiversity. It will also reinforce the skills of the organizations to provide training on participatory strategy development, and management practices that support biodiversity, and how to access support from public or private schemes. Training on these aspects within ANACAFE and Defensores de la Naturaleza will extend beyond the direct collaborators to include technical staff from the regional offices of ANACAFE and other reserve offices from Defensores to ensure that the lessons and capacity are spread across the organization and to other regions of Guatemala.

16. If your project includes capacity building in local communities in the host country, please indicate how you will assess the training needs in relation to the overall purpose of the project. Who are the target groups? How will the training be delivered? What skills and knowledge you expect the beneficiaries to obtain and how these may be used beyond the life of the project and any wider application How will you measure training effectiveness. (max 300 words)

You should address each of these points.

Capacity building needs and interests will be assessed as part of the initial participatory stakeholder planning. The two producers associations in the Sierra Las Minas APODIP and ADIPSA have a joint membership of about 500 small-scale mostly indigenous Q'eqchi families. The Palajunoc Producers Association (Pacific pilot zone) has about 40 members who are medium scale producers (farms of between 50 and 100 ha). In the same region there are fourteen cooperatives of small-scale producers numbering some 1600 members. The project will seek to engage at least 3 or 4 of the larger cooperatives hoping to involve some 500 producers in total. We foresee training in two areas. First, through the development of community or organizational level strategies for conserving biodiversity on the farms with participation from the producers' organizations, local municipalities, local environmental NGOs, local staff of ANACAFE and Defensores, including the local park guards. Second, training will be on specific practices of farm management that help protect biodiversity (e.g. not pruning shade trees when migrant birds are present), accompanied by training on achieving sustainable certification for sale of coffee or other products (APODIP and ADIPSA are already organic fair-trade certified), and also on achieving private reserve status or obtaining reforestation incentives. Many of the Q'eqchi families do not speak Spanish; proven training methods developed for illiterate people will be used. The combination of training and access to incentives will help ensure uptake and sustainability of practices. Inclusion of technical field staff from ANACAFE and Defensores, who are not directly involved with the implementation of the project, will aid dissemination of the skills and processes to other regions of Guatemala. A field evaluation of changes in management practices will be undertaken at the end of the project (against the initial field surveys taken as a baseline).

LOGICAL FRAMEWORK

17. Please enter the details of your project onto the matrix using the note at Annex 3 of the Guidance Note. This should not have substantially changed from the Logical Framework submitted with your Stage 1 application. Please highlight any changes. (Use no smaller than Arial 10 pt)

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Goal: Effective contribution in support of the implementation of the objectives of the Convention on Biological Diversity (CBD), the Convention on Trade in Endangered Species (CITES), and the Convention on the Conservation of Migratory Species (CMS), as well as related targets set by countries rich in biodiversity but constrained in resources.			
Sub-Goal: Improved policies on sustainable use and equitable benefits in the implementation of the objectives of the CBD Guatemala	Biodiversity policy recognizes semi-natural systems and has strengthened elements for sustainable management, and generation of equitable benefits from those systems	Periodic reports from Biodiversity Office of National Protected Areas Council of Guatemala on implementation of CBD	
Purpose: Improved public and private policies that recognize the role of agroforests in meeting the objectives of the CBD	Recognition of Agroforests as biodiverse system in national biodiversity plan of Guatemala Adjustment to private policies on sustainability to reinforce biodiversity aspects	Annual Biodiversity report from Biodiversity Office of National Protected Areas Council of Guatemala Content and access to public policies that support biodiversity on farms Criteria of sustainability certifications for products	Change in government could affect importance of biodiversity in national policy Willingness of private certification agencies to engage in discussions on criteria
Outputs 1. Demonstrate the importance of agroforests in the conservation of biodiversity in lower montane areas of Guatemala	i. Quantitative assessment of extent of agroforests ii. Landscape biodynamics between agroforests and forests determined	Report to stakeholders Draft scientific publication or thesis	Access to existing mapping data allowed Logistics not affected by natural disasters
2. Identify effective support mechanisms for communities and land-owners to conserve biodiverse agroforest systems	i. Incentives for farmers to conserve biodiversity identified ii. Two producer's associations with strategies to conserve biodiversity iii. Number of producers accessing policies that support on-farm biodiversity	Report of study on farmer decision making Minutes of producer association directors meetings End of project survey of producer adoption	Producer's associations maintain interest in collaboration High coffee prices (or price crash) could create disincentives for maintaining environmental management

3. Private policies and markets provide greater recognition of biodiversity value of agroforest coffee	<ul style="list-style-type: none"> i. Private policies/Sustainable certifications reinforce criteria that recognize biodiversity ii. Number of farms with sustainable certification iii. Increased sales of sustainably certified products (Rainforest Alliance, Bird Friendly etc) 	<p>Certification criteria of sustainable standards</p> <p>Sales figures from farms in associations</p>	<p>Willingness of certification bodies to consider adjustment of standards</p> <p>Economic and market conditions provide incentives for biodiversity friendly products</p>
4. Recommendations for public policies that support agroforests as a biodiverse land-use	<ul style="list-style-type: none"> iv. Policy brief on supporting biodiversity in agroforests v. Public policy makers informed of lessons from research 	<p>Publication of policy brief</p> <p>Minutes of CONAP discussions consider support for agroforests as a biodiverse land-use</p>	
<p>Activities (details in workplan)</p> <ul style="list-style-type: none"> 1.1 Integrated map of coffee, agroforests, and forests for two study sites (Univ Valle, Defensores, ANACAFE) 1.2 Comparative study of biodiversity in agroforests (coffee, cocoa and cardamom) and forests for key groups (birds & macroinverts) (Univ Valle, Defensores) 1.3 Tree populations dynamics between agroforests and forests (NRI, Univ Valle) 2.1 Determination of the drivers affecting farmer decision making in managing agroforests (NRI, Univ Valle) 2.2 Training of producer organizations in management to promote biodiversity (Univ Valle, Defensores) 2.3 Participatory development of conservation strategies with producer associations to enhance biodiversity in their agroforestry systems (ANACAFE, Defensores with support from Univ Valle & NRI) 2.4 Evaluation of changes in farmer management of biodiversity and access to support policies (ANACAFE, Defensores) 3.1 Development of marketing materials to promote agroforest coffee (and other products) as biodiversity friendly (ANACAFE, NRI, Univ Valle) 3.2 Discussion with sustainability standards on recognition of biodiversity (ANACAFE, Univ Valle, NRI) 3.3. Support producers associations in complying with sustainability standards (ANACAFE) 3.3 Promotion of biodiversity friendly agroforest coffee with UK roasters and traders such as Forest Trade and Twin Trading (NRI) 4.1 Engage CONAP/Biodiversity Office on discussion of value of agroforests for biodiversity (Univ Valle, Defensores, ANACAFE) 4.2 Field visits to coffee agroforests with CONAP decision makers (ANACAFE, Univ Valle, Defensores) 4.3 Publication of policy brief on value of agroforests for biodiversity (All) 4.4 Support CONAP/Biodiversity office in recognition of biodiversity in Agroforests in national biodiversity plan (Univ Valle, Defensores) 			

18. 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
1.1 Integrated maps of coffee, agroforests, and forests to evaluate ecosystem connectivity for two study sites (Univ Valle, Defensores, ANACAFE)	6		X	X	X	X	X	X					
1.2 Synthesize and complement comparative studies of biodiversity in agroforests (coffee, cocoa and cardamom) and forests for key groups (birds & macroinverts) Univ Valle, Defensores?	4	X	X	X	X								
1.3 Tree populations dynamics between agroforests and forests (NRI, Univ Valle)	3			X	X	X	X	X	X				
2.1 Determination of the drivers affecting farmer decision making in managing agroforests (NRI, Univ Valle)	4			X	X	X	X						
2.2 Training of producer organizations in management to promote biodiversity (Univ Valle, Defensores)	6					X	X	X	X	X	X		
2.3 Participatory development of conservation strategies with producer associations to enhance biodiversity in their agroforestry systems (ANACAFE, Defensores with support from Univ Valle & NRI)	4						X	X	X	X			
2.4 Evaluation of changes in farmer management of biodiversity and access to support policies (ANACAFE, Defensores)	2											X	X
3.1 Development of marketing materials to promote agroforest coffee as biodiversity friendly (ANACAFE, NRI, Univ Valle)	1				X	X							
3.2 Discussion with sustainability standards on recognition of biodiversity (ANACAFE, Univ Valle, NRI)	2						X	X					
3.3 Support producers associations in complying with sustainability standards (ANACAFE)	4						X	X	X	X			
3.4 Promotion of biodiversity friendly agroforest coffee with UK roasters and traders such as Forest Trade and Twin Trading (NRI)	2								X	X	X	X	
4.1 Engage CONAP/Biodiversity Office in discussion on the value of agroforests for biodiversity (Univ Valle, Defensores, ANACAFE)	2		X	X			X	X					
4.2 Field visits to coffee agroforests with CONAP decision makers (ANACAFE, Univ Valle, Defensores)	2				X	X				X	X		
4.3 Publication of policy brief on value of agroforests for biodiversity (Todos)	1							X	X				
4.4 Support CONAP/Biodiversity office in recognition of biodiversity in Agroforests in national biodiversity plan (Univ Valle, Defensores)	1											X	X

19. Please indicate which of the following Standard Measures you expect to report against by providing indicative figures. These will help gauge project achievements if you receive funding. You will not necessarily plan to cover all these Standard Measures in your project. Separate guidance on Standard Measures can be found at http://darwin.defra.gov.uk/resources/reporting/standard_measures/

Standard Measure	Description	Estimate
1A	Number of people to submit thesis for PhD qualification (in host country)	0
1B	Number of people to attain PhD qualification (in host country)	0
2	Number of people to attain Masters qualification (MSc, MPhil etc)	0
3	Number of people to attain other qualifications (ie. Not outputs 1 or 2 above)	0
4A	Number of undergraduate students to receive training	0
4B	Number of training weeks to be provided	0
4C	Number of postgraduate students to receive training	2
4D	Number of training weeks to be provided	4
5	Number of people to receive at least one year of training (which does not fall into categories 1-4 above)	2
6A	Number of people to receive other forms of education/training (which does not fall into categories 1-5 above)	200 farmers 20 technical staff
6B	Number of training weeks to be provided	2
7	Number of (ie different types - not volume - of material produced) training materials to be produced for use by host country	3
8	Number of weeks to be spent by UK project staff on project work in the host country	24
9	Number of species/habitat management plans (or action plans) to be produced for Governments, public authorities, or other implementing agencies in the host country	2
10	Number of individual field guides/manuals to be produced to assist work related to species identification, classification and recording	0
11A	Number of papers to be published in peer reviewed journals	0
11B	Number of papers to be submitted to peer reviewed journals	3
12A	Number of computer based databases to be established and handed over to host country	1
12B	Number of computer based databases to be enhanced and handed over to host country	0
13A	Number of species reference collections to be established and handed over to host country(ies)	0
13B	Number of species reference collections to be enhanced and handed over to host country(ies)	0
14A	Number of conferences/seminars/ workshops to be organised to present/disseminate findings	8
14B	Number of conferences/seminars/ workshops attended at which findings from Darwin project work will be presented/ disseminated.	4
15A	Number of national press releases in host country(ies)	1
15B	Number of local press releases in host country(ies)	0
15C	Number of national press releases in UK	1
15D	Number of local press releases in UK	0
16A	Number of newsletters to be produced (incl policy briefs and marketing material)	5
16B	Estimated circulation of each newsletter in the host country(ies)	500
16C	Estimated circulation of each newsletter in the UK	200
17A	Number of dissemination networks to be established	0
17B	Number of dissemination networks to be enhanced/ extended	2
18A	Number of national TV programmes/features in host country(ies)	0
18B	Number of national TV programmes/features in UK	0
18C	Number of local TV programmes/features in host country(ies)	0
18D	Number of local TV programmes/features in UK	0
19A	Number of national radio interviews/features in host county(ies)	1
19B	Number of national radio interviews/features in UK	0
19C	Number of local radio interviews/features in host country(ies)	3
19D	Number of local radio interviews/features in UK	0
20	Estimated value (£'s) of physical assets to be handed over to host country(ies)	0
21	Number of permanent educational/training/research facilities or organisations to be established and then continued after Darwin funding has ceased	0
22	Number of permanent field plots to be established during the project and continued after	20

	Darwin funding has ceased	
23	Value of resources raised from other sources (ie in addition to Darwin funding) for project work	

PROJECT BASED MONITORING AND EVALUATION

20. Describe, referring to the Indicators in the Logical Framework, how the progress of the project will be monitored and evaluated, including towards delivery of its outputs and in terms of achieving its overall purpose. This should be during the lifetime of the project and at its conclusion. Please include information on how host country partners will be included in the monitoring and evaluation.

The content of the logic framework will be verified with stakeholders at the initial participatory planning meeting. This process will confirm the indicators and commitments of who is responsible for monitoring and evaluating them amongst the partners and stakeholders. Yearly meetings will be held with project partners and principal stakeholders to review progress towards the outcomes and achievement of the overall purpose. At these meeting project implementers will present advances and where relevant quantitative information on the indicators for discussion, and where appropriate propose adjustments to the strategy or activities to achieve them the outputs and purpose. Changes in the overall purpose of the project will be monitored by reviewing the content of public and private policies at the beginning of the project and changes in those policies over the course of the project. Research from outputs 1 and 2 will be judged against the specific products required. Changes in land-owner and community capacity in outputs 2 and 3 will be judged by using the initial surveys of land-user practice and decision-making as a base-line for evaluating changes in practice and access to support for on-farm biodiversity management from a survey at the end of the project. This same process will also enable evaluation of the degree to which these stakeholders have benefited from the training and facilitation of the project in terms of improved livelihoods. Changes in public policies in output 4 would be evaluated in terms of developing a policy brief and achieving that these recommendations are considered by the Biodiversity Office of the protected areas, which if accepted would achieve the overall purpose of changes in the application of CBD policy.

FUNDING AND BUDGET

Please complete the separate Excel spreadsheet which will provide the Budget information for this application. Some of the questions below refer to the information in this spreadsheet.

NB: Please state all costs by financial year (April to March). 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.

21. How is your organisation currently funded? (max 100 words)

The Natural Resources Institute is a research institute which is part of the University of Greenwich that generates funding from competitive research grants, consultancies, foundations, graduate teaching and government research assessment funds. NRI has an annual turnover of about 10 million pounds and the University of Greenwich around 112 million pounds.

22. Provide details of all confirmed funding sources identified in the Budget that will be put towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity. Please include any additional unconfirmed funding the project will attract to carry out addition work during or beyond the project lifetime. Indicate those funding sources which are confirmed.

Confirmed:

Confirmed funds to cover the costs to be contributed by the University of Greenwich will come from TRACK identified FEC costs of Institute overheads in the form of Estates Costs and indirect Costs of the FEC model for the University of Greenwich.

Unconfirmed:

23. Please give details of any further resources (confirmed or unconfirmed) for this project that are not already detailed in the Budget or Question 22. This will include donations in kind or un-costed support eg accommodation. (max 50 words per box)

Possible additional financial resources (not yet applied for):

The proposal under preparation to the National Science Foundation would provide approximately \$500,000 of additional support to related activities.

Funding in kind:

Universidad de Valle will provide researcher time and use of University vehicles

ANACAFE will provide administrative support, office space, time of the Environmental Coordinator, time of staff in their regional offices and use of vehicles

Defensores de la Naturaleza will provide time of the Sierra Las Minas Reserve coordinator, park guards, administrative support, office space and use of vehicles.

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

The FCO website places no restrictions on travel to Guatemala.

CERTIFICATION 2011/12

On behalf of the Trustees of

The Natural Resources Institute, University of Greenwich

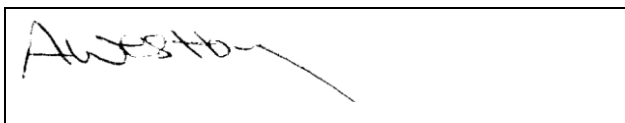
I apply for a grant of £250,256 in respect of all expenditure to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

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 UK institution to submit applications and sign contracts on their behalf.*)

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

Name (block capitals)	Professor Andrew Westby
Position in the organisation	Director, NRI

Signed



Date:

24 October 2011

Stage 2 Application - Checklist for submission

	Check
Have you provided actual start and end dates for your project?	X
Have you provided your budget based on UK government financial years ie 1 April – 31 March?	X
Have you checked that your budget is complete, correctly adds up and that you have included the correct final total on the top page of the application?	X
Is the concept note within 1,000 words?	X
Is the logframe no longer than 3 pages and have you highlighted any changes since Stage 1?	X
Has your application been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable in the email, but a wet signature should be provided in the hard copy version)	X
Have you included a 1 page CV for all the Principals identified at Question 5?	X
Have you included a letter of support from the <u>main</u> overseas partner(s) organisations identified at Question 5?	X
Have you checked with the FCO in the project country/ies and have you included any evidence of this?	X
Have you included a copy of your most recent annual report and accounts? An electronic link to a website is acceptable.	X
Have you read the Guidance Notes ?	X
Have you checked the Darwin website immediately prior to submission to ensure there are no late updates?	X

Once you have answered Yes to the questions above, please submit the application, not later than midnight GMT on Monday **24 October 2011** to Darwin-Applications@ltsi.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**. However, 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). **In addition**, a hard copy of the signature page should be submitted to Darwin Applications, c/o LTS International, Pentlands Science Park, Bush Loan, Penicuik EH26 0PL **postmarked** not later than Tuesday 25 October 2011.

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.