



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: University of Leicester	Address: Department of Geography, University Road, Leicester LE1 7RH
--	--

2. Project title (not exceeding 10 words)

Values and valuation: new approaches to conservation in Mongolia
--

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

Proposed start date: 1.4.2012		Duration of project: 3 years			End date: 1.4.2015	
Darwin funding requested	2011/12 £-	2012/13 £87046	2013/2014 £72853	2014/15 £74929	2015/16 £-	Total £234,828
Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost: 27%						

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

To generate policy and practice relevant knowledge of values of ecosystem services (ES) in Mongolia and pastoral contributions therein and to test efficacy of Payment for Ecosystem Services (PES schemes), in order to enhance biodiversity and livelihoods.
--

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	Upton		Dorligsuren
Forename (s)	Caroline		Dulamsuren
Post held	University Lecturer; Research PI and CO-I (see CV attached)		Executive Director
Institution (if different to above)			Mongolian Society for Range Management (MSRM)
Department	Geography Department		(n/a)
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
EIDPO012	Dr David Harper	Replicating Biodiversity Conservation Management at Key Soda Lakes in the Rift Valley
16006	Dr David Harper	Local Action for Global Impact–Community-Based Biodiversity Conservation Films (2007-2010)
12003	Dr David Harper	Flamingo Conservation and Ramsar Site Management at Lake Bogoria, Kenya
EIDPR069	Dr David Harper	Sustainable Livelihoods in Rift Valley Woodlands to Conserve Biodiversity
EIDPR064	Dr David Harper	Local Action for Global Impact–Community-Based Biodiversity Conservation Films (2006)

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:</p> <p>University of Leicester http://www2.le.ac.uk/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>As the applicant institution, the University of Leicester (UOL) will be responsible for overall project (including budgetary) management, reporting to funders and ensuring delivery against stated goals. The project leader, Dr Caroline Upton, Department of Geography (http://www2.le.ac.uk/departments/geography), will work with the in-country main project partner and host country co-ordinator, The Mongolian Society for Range Management (MSRM) (see below), in conjunction with other partners, to</p> <p>i) Arrange project inception meeting with all partners and steering committee, to finalise MOUs, protocols, case study sites; ii) Manage and liaise with project teams throughout the duration of the work; iii) provide intellectual leadership and direction to ensure delivery of project goals through mutually agreed procedures and methodologies, including during consultation and fieldwork with herders' groups and with particular reference to participatory techniques, including (non-economic) valuation of ES (including cultural services), and development of indicators for assessment of project impacts; iv) ensure dissemination of project results, v) facilitate training, capacity building and long term sustainability of project inceptions. UOL will also provide essential environmental economics expertise, in conjunction with partners from the Mongolian Academy of Agricultural Sciences and Centre for Ecosystem Services, ecological and GIS expertise for mapping and modelling of key ecosystem services. Dr David Harper, an internationally renowned UOL biologist who has worked extensively with Darwin projects in Africa, will provide expert input on aspects of biodiversity surveys, indicators and community engagement with biodiversity conservation, from a conservation biologist's perspectives and experience. He will bring his insights from the Darwin funded 'Local Action for Global Impact–Community-Based Biodiversity Conservation Films' project in Africa to bear on these critical issues of community engagement, education and dissemination.</p>
---	---

<p>Lead Partner and website where available:</p> <p>Mongolian Society for Range Management (MSRM) http://www.msrm.mn/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>MRSM is one of the key organisations in Mongolia working on issues of sustainable resource use and livelihoods, conservation and pasture management. They specialise in work and capacity building with herders' groups and collaborate with in-country and international academic institutions, donors and in policy makers to facilitate co-realisation of conservation and livelihood goals. Their Director, Professor Dorligsuren, has specifically identified the potential contributions of PES schemes to long-term sustainability of group based devolved pasture governance models and to the biodiversity on which pastoral livelihoods depend. He has been closely involved in the development of this project proposal. MSRM are extremely well placed, in conjunction with project partners, to institute and manage pilot PES schemes through their well established Pasture User Groups (PUGs) at sites in different ecological zones of Mongolia, with differing biodiversity conservation issues, thus enabling testing of PES models in different contexts. Specifically, they will act as the key in-country partner and co-ordinator and provide essential expertise in respect of the above issues. They will also provide vital project support through information sharing (PUG reports, grey literature, maps and statistics etc), established contacts and networks and field assistance. As with all in-country partners, they will also be closely involved in dissemination of project results. Their well-established relationships of trust with PUG members and leaders across the country will be especially valuable in ensuring information sharing between PUG groups and facilitating future scaling up of PES schemes. As clearly shown in their website and recent track record of work, they have the capacity, profile and status to engage effectively with the project and facilitate delivery of project goals.</p>
--	---

<p>Partner Name and website where available:</p> <p>Mongolian Academy of Agricultural Sciences (MAAS), incorporating Mongolian State University of Agriculture (MSUA) and the Centre for Ecosystem Studies (CES)</p> <p>http://www.msua.edu.mn</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>As one of the most prestigious academic organisations in Mongolia MAAS (incorporating MSUA and the Centre for Ecosystem Studies) will act as a key in-country partner for delivery of expertise in i) agricultural and environmental economics, ii) mapping and analysis of key ecosystem services and iii) biodiversity surveys/ assessments. Professor Nyamaa Nyamsuren will work with the UOL environmental economist and Dr Upton to undertake valuation of key ES, focusing especially on economic valuation. Professor Undarmaa Jamsran, Head of the Centre for Ecosystem Studies (CES), will take a key role in mapping and development of methodologies for non-economic valuation of ES; and, in conjunction with Plan Vivo (see below), validation of carbon sequestration at pilot study sites. Through her team she will also provide field expertise in biodiversity surveys and indicators, to enable evaluation of biodiversity impacts of PES schemes, in conjunction with participatory herders' indicators. Through MAAS, the project will have access to laboratory facilities, for soil carbon analysis as necessary, computing facilities and the full network of established MAAS contacts in rural areas, academic and donor institutions and government. Critical elements of training and dissemination of project results will also be realised through MAAS. In particular CES will work with junior departmental members to provide training in data analysis and sampling techniques. Dr Upton will work closely with Professors Nyamsuren and Jamsran to develop and deliver project-based lecture and seminar material to students at this University, who may well become the next generation of conservation and rural development practitioners. Dr Upton has already worked closely with Professor Nyamsuren in a recent project, so links are well established. MAAS, (incorporating MSUA and the Centre for Ecosystem Studies) clearly has the resources and expertise to engage effectively with the project.</p>
---	--

<p>Partner Name and website where available:</p> <p>Plan Vivo Foundation, UK</p> <p>http://www.planvivo.org/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>Plan Vivo Foundation has specific expertise in the development, implementation and validation of community-based payment for ecosystem services (PES) schemes. They focus on establishment of community schemes which enhance livelihoods, facilitate poverty alleviation and realisation of conservation goals primarily through certified carbon sequestration, sale of carbon certificates on voluntary carbon markets and generation of income for communities. For this project they will work with the UOL team and in-country partners to establish pilot PES through carbon sequestration projects with selected herders' communities (e.g. MSRM Pasture User Groups). Recognition according to the Plan Vivo standard will enable issuance and marketing of certificates to global purchasers, providing a source of income and conservation incentive for rural resource users over the longer term. Plan Vivo Foundation technical experts will also work with in-country partners, most notably Professor Undarmaa Jamsran, Head of the Centre for Ecosystem Studies at MAAS, to develop and validate methods for assessing carbon sequestration in rangelands. Plan Vivo's involvement will also enable training and capacity building of local herders and officials and central government officials with respect to future development and implementation of this type of PES scheme.</p>
---	--

<p>Partner Name and website where available:</p> <p>Mongolian Nature Protection Civil Movement Coalition (MNPCM)</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>One of the key environmental NGOs in Mongolia, MNPCM originated in herder-led struggles against mining encroachment, pollution and environmental degradation. Originally an isolated series of 'River Movements', these have now united under this increasingly influential umbrella organisation, with an expanded focus on environmental protection, governance, community rights and environmental education across rural Mongolia (e.g. see link at http://asiafoundation.org/publications/pdf/113). They will use their community education, training and mobilisation skills and established local networks, to i) facilitate community organisation and genuinely participatory, equitable engagement with PES schemes ii) and to ensure their longer term sustainability through local capacity building and education, in conjunction with other project partners. They have particular expertise in environmental and community aspects of mining impacts, critical contemporary issues in rural Mongolia.</p>
<p>Partner Name and website where available:</p> <p>International Wildlife Consultants (IWC). UK</p> <p>http://www.falcons.co.uk</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>IWC is currently implementing a highly innovative artificial nest project for Saker falcon in Mongolia. They are working closely with key CITES contacts in country through the Mongolian Ministry of Nature Environment and Tourism (MNET; see below), to examine prospects for conservation and sustainable trade. They have established links with Dr Upton at UOL. In this project they will provide specific expertise re CITES and biodiversity conservation issues in respect of Saker falcon, and facilitate inclusion of at least one of their artificial nest case study sites in the pilot study, to enable analysis of community perceptions, values of and especially benefits from wildlife, thus enabling exploration of a range of manifestations of PES, not solely confined to carbon sequestration. The project will also benefit from their established links with CITES/ CMS focal points in Mongolia (see Q. 12 below), and their initial environmental education work with schools in study areas.</p>

<p>Partner Name and website where available:</p> <p>Ministry of Nature, Environment and Tourism (MNET), Mongolia</p> <p>http://www.mne.mn</p>	<p>Details (including roles and responsibilities and capacity to engage with the project):</p> <p>The Ministry of Nature, Environment and Tourism (MNET) is the key national administrative/ government body in Mongolia, with legal responsibility for conservation and environmental protection. This responsibility includes developing and implementing strategies for and reporting on progress towards CBD, CITES and CMS obligations. Key actors within the Ministry have recently highlighted valuation of ecosystem services and potential of PES schemes for realisation of conservation and livelihood goals as an issue of significant concern and interest (<i>pers. comm.</i>, Dr Upton, 2011). MNET have stated their commitment to supporting and facilitating this project, for example through provision of key reports and information, access to key actors within the Ministry and in-house expertise, and through dissemination and utilisation of project outputs in their own development and implementation of new policy strategies (see appended letter of support).</p>
---	--

9a. Have you consulted stakeholders not already mentioned above? x **Yes** **No**

If yes, please give details:

Through MSRM extensive consultations have been carried out with herders across the country as part of the development and support of PUGs. Such consultations have considered issues of resource governance, conservation and usage and institutional mechanisms for equitable and effective resource management. As a result, MSRM are recommending work with herder stakeholders through established PUGs in three *soums* (provinces) of Mongolia, across three key ecological zones (forest steppe, desert steppe and steppe zones). The final identification of these PUGs and study sites will take place during project inception meetings with partners and rural stakeholders, especially herders, to ensure sites meet not only project criteria for testing PES models, but herders' priorities and needs. Dr Upton's recent work has also entailed extensive consultations with herders' groups and group leaders especially in desert steppe and desert zones on aspects of resource governance and conservation, insights from which have informed this proposal and planned project work. Similarly, through MNPCM and IWC, project partners have been in close consultation with herders, local officials and other rural dwellers on issues of conservation, livelihoods and community development. Thus, clear connections have already been established with a wide group of key stakeholders above and beyond the project partners listed above.

In addition, partners have well established links with local governors, national level policy makers and international donors involved in rural conservation and development issues. In particular, at Dr Upton's request and on the basis of previous links and cooperation, Dr Andrew Laurie has agreed to provide informal advice and guidance throughout the project. Dr Upton will also seek informal input from Dr Sabine Schmidt, with whom she has well established links through previous research projects, during this work (thus linking the project to key experts, akin to an informal steering committee).

(Sabine Schmidt: Programme Director GTZ in Mongolia; Programme Director New Zealand Nature Institute- Initiative for People Centred Conservation (NZNI-IPECON) in Mongolia. Project leader for projects such as "Conservation and Sustainable Management of Natural Resources – Gobi Component"; leading role in development of herders' groups and community-based conservation in Mongolia).

(Andrew Laurie: lead consultant/ Chief Technical Advisor for UNDP 'Biodiversity Conservation and Sustainable Livelihood Options in the Grasslands of Eastern Mongolia' project, which focused on implementation of Mongolia's Biodiversity Conservation Action Plan; lead consultant on UNDP/GEF/MNET "Community Based Conservation of Biological Diversity in the Mountain Landscapes of Mongolia's Altai-Sayan Eco-Region", focusing on landscape level conservation planning and management. See Letter of Support, appended).

9b. Do you intend to consult other stakeholders? **Yes** **No**

If yes, please give details:

In the early stages of project inception further detailed consultations will be carried out with local stakeholders, especially herders and herders' group (PUG) leaders and local officials at

prospective case study locations identified through MSRM and also through MNPCM networks to ensure final identification of optimum locations and full stakeholder participation in development of all aspects of PES schemes – in any case a requirement for Plan Vivo registration and certification.

Consultation will also be undertaken with other key conservation projects and actors in country e.g. Wildlife Conservation Society (WCS), WWF, World Bank (e.g. re Sustainable Livelihoods Phase 2 project; NEMO), to ensure knowledge and information exchange as appropriate. Links are already in place between project partners and these bodies.

9c. Have you had any (other) contact with the government not already stated? Yes No
If yes, please give details:

Key project partners have well established links with MNET, who have already expressed their support for the project (see above and attached Letter of Support). In addition, through MAAS and Dr Upton, the project team have well established contacts with the Ministry of Food, Agriculture and Light Industry of Mongolia, key actors in rural development practice and policy.

9d. Will your project support any work in the UK Overseas Territories? Yes No
If yes, please give brief details stating which Territory/ies will be involved.

PROJECT DETAILS

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

Context & Problem

This project focuses on Mongolian rangelands, their pastoral populations and biodiversity, with particular reference to CBD commitments, community governance and knowledge, valuation of ecosystem services (ES) and realisation of values, for example through Payment for Ecosystem Services (PES) schemes.

As specifically acknowledged in a recent CBD publication (2010:3), '*pastoralism has a significant role to play in the conservation and sustainable use of biodiversity*'. Nonetheless, it continues to be undermined by hostile policy contexts, **mining**, environmental change and by widespread failure to recognise its contributions to maintenance of ES. To date, research has barely begun to explore the potential of rangeland PES schemes for realisation of livelihood and conservation goals.

In Mongolia some 40% of the population remain (semi)-nomadic pastoralists. In these same rural spaces taiga, steppe and desert ecosystems, rare and endangered species, including migratory birds and antelopes listed under CMS, also CITES (e.g. saiga antelope; Saker falcon) and endemic plant assemblages epitomise an important biodiversity heritage. However, Mongolia is struggling to meet its biodiversity commitments, while pastoral poverty is increasing sharply. Desertification affects over 90% of rangelands, with accelerating trends in degradation of ES and biodiversity (National Report on Implementation of Convention on Biological Diversity [NRCBD], 2009). NRCBD explicitly acknowledges grassland degradation as a significant barrier to realisation of CBD obligations (articles 8, 10). Key drivers include climate, mining activities **and associated habitat destruction, pollution and loss of water sources**, and poor herding practices, e.g. overgrazing, often driven by poverty; these factors also impacting on populations of CMS-listed species and thus capacity to meet CMS obligations. For a nation and people for whom '*modern ... identity is conveniently framed with reference to nature*' (Bruun, 2006: 232), Mongolia has reached a critical impasse.

In responding to these challenges two interlinked factors are critical. The first is governance; the second the proper valuation of pastoralists' contributions to maintenance of ES and biodiversity. Since 2000 a proliferation of donor projects (e.g. World Bank 'Sustainable Livelihoods'; SDC

'Green Gold') have promoted the formation of herders' groups as a focus for realisation of livelihood and conservation goals, often predicated on group tenure and co-management arrangements. Nonetheless, effective participation and inclusion of communities, their local knowledges and practices remains an area where CBD commitments (article 8 j, implications for d, e, f, i) are yet to be realised (NRCBD, 2009). Addressing this gap also offers prospects for improved performance re commitments under CBD (10 c, d) and CMS. However, a major barrier remains the lack of recognition or payment for ES supported by pastoralism in rural Mongolia, this being implicated in limitations of herders' groups in the face of poverty and more overtly lucrative land uses.

Appropriate valuation of biodiversity and ES is a priority for the Mongolian government, with respect to CBD (e.g. articles 10, 11), evolving CMS and CITES commitments. It is also critical in enabling informed decision-making over trade-offs between conservation, herding and other land uses, notably mining. Little work has been done on ES valuation in Mongolia, a 2009 World Bank pilot study being the only widely available report. Furthermore, this focuses solely on economic valuation for a limited range of ES. Non-economic valuation has never, to the best of the applicant's knowledge, been attempted, despite widespread emphasis on local knowledge and tradition as potential resources for conservation (e.g. NRCBD, 2009).

Project: Strategy, Activities, Outcomes

This study will address aspects of these critical issues as follows:

- At case study sites in diverse ecological regions (e.g. forest-steppe; steppe; desert-steppe) and with local herders to undertake valuation and mapping of key ES, including participatory non-economic valuations and evaluation of contributions to biodiversity conservation and well-being. This will include development and trialling of methodology for non-economic valuation, especially of cultural services, facilitating recognition of customary knowledge, values and practice.
- At selected case study sites and with selected herders' groups (e.g. MSRM PUGs) to implement pilot Payment for Ecosystem Services (PES) schemes, based on i) carbon sequestration through conservation and sustainable rangeland management, including participatory development and independent validation of scheme, issuance and marketing of certified carbon credits (for voluntary carbon market) and ii) alternative mechanisms as appropriate e.g. through IWC artificial nest project.
- Within the duration of the project, to assess impacts of the above on local biodiversity and livelihoods (including evaluation of contributions to specific CDM obligations and, where relevant, CMS/ CITES) through use of established and participatory social and ecological indicators and surveys.

The study will thus pilot test the socio-economic and ecological viability of PES in Mongolian rangelands, and so contribute to development of a good knowledge base for future policy and practice. Valuation of key ES at study sites will further provide government policy-makers with important decision-making tools, including trade-offs with mining activities and possibilities for state-funded PES schemes, based on data which incorporates traditional knowledge and values. The study will provide training and capacity building in valuation of ES, and PES schemes for policy-makers, academics and local herders. Finally, and of primary importance, the proposed research will seek to provide local communities with opportunities to secure additional income (e.g. through PES) and tangible incentives for conservation and sustainable resource use.

Project Partners and Contributions

- University of Leicester (UOL), UK: Project management, mapping and valuation of ES, PES scheme. PI has extensive experience of work on conservation, livelihoods in Mongolia, participatory methods and valuation; UOL will also provide GIS, environmental economics, ecological expertise.
- Plan Vivo Foundation, UK: development of PES scheme, validation, issuance of

certificates, training.

- Mongolian Society for Rangeland Management (MSRM): main in-country project partner, key role in project design, management and implementation.
- Mongolian Academy of Agricultural Sciences (MAAS): ecological surveys and indicators; assessment of biodiversity contributions of **PES schemes, economic valuation of ES.**
- Ministry of Nature, Environment and Tourism (MNET), Mongolia: project facilitation, dissemination and utilisation of project outputs.
- Mongolian Nature Protection Civil Movement Coalition: Mongolia: community engagement and education.
- International Wildlife Consultants (IWC), UK: conservation of key migratory species, CITES/CMS commitments, e.g. Saker falcon.

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

Please give details:

This is a new initiative, although obviously one that draws on the established expertise and track record of partners.

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:

(Multiple projects have worked with new and revived institutional forms e.g. through herders' groups and 'communities', to try and achieve more effective resource governance and conservation. The PI for this project has conducted extensive research and published widely on these issues [CV attached]. However, the explicit linking of such initiatives to ES framings and values and to PES schemes across ecological zones is novel for Mongolia. Through project partners' extensive network of contacts they will monitor and develop links with any comparable initiatives which arise).

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.

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** (Main convention)

*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:

Liaison with MNET has already occurred and links established (see above). In addition to liaison in respect of CBD obligations, ongoing work by IWC, in conjunction with UOL, places project partners at the forefront of ongoing developments in CITES implementation, with particular reference to Saker falcon. These links will be maintained and developed throughout the duration of the project. At present Dr Upton's PhD student, a former MNET employee, funded through IWC, is working closely with MNET in development of new management plans for sustainable offtake of Saker falcon and realisation of CITES obligations.

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

This project will address CBD issues relating to conservation and sustainable use of biodiversity, including integration into policies and programmes (article 6) and effective participation and inclusion of communities (article 8). It will have particular relevance for article 8j, through mapping and integration of indigenous knowledge, values and practices into new mechanisms for conservation (e.g. through PES). It will have direct relevance to CBD 2011-2020 Strategic Plan for Biodiversity (SPB) and Aichi Biodiversity Targets (e.g. 1, 2, 14, 15, 18), wherein the contributions of biodiversity to maintenance of ES and livelihoods are explicitly recognised. It will contribute to CITES through synergies with SPB, as highlighted at the Nairobi IPBES meeting. These issues have been identified as critical in Mongolian NRCBD reports and in meetings between project partners and stakeholders e.g. MSRM's consultations with PUGs, Dr Upton's work in the Gobi region and meetings with MNET officials in April 2011.

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

The project will make critical contributions to understanding local priorities and values in respect of key ES, including the ways in which particular ES contribute to livelihoods and well being. Such data will contribute to understanding of previous barriers to realisation of biodiversity conservation goals and how these may be overcome. Through using an ES framework and participatory valuation techniques, including the first systematic non-economic valuation of ES, specific strategies for the effective inclusion of local knowledges and values in mainstream conservation planning will be identified. Furthermore, through trialling of PES schemes and mechanisms in diverse ecological zones, the project will provide government decision-makers and donors with much needed tools and information to develop effective schemes on a wider scale and to evaluate trade-offs with lucrative but environmentally destructive practices such as mining. Local communities will also be provided with tangible incentives for conservation and sustainable resource use.

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

Effective conservation of Mongolia's extensive grasslands is central to the country's meeting CBD and CMS commitments. The ongoing and extensive degradation of these same grasslands thus compromises prospects for the realisation of biodiversity conservation goals. The project is important for the conservation of biodiversity in a number of ways: i) it will provide critical insights into local knowledges and values regarding ES and underlying biodiversity and how these may be integrated more effectively into policy; ii) it will test the prospects for market-based mechanisms (e.g. carbon sequestration, sale of carbon credits on the voluntary carbon market) to contribute to realisation of conservation and livelihood goals; iii) overall it will test the efficacy of diverse PES mechanisms (including community benefits from IWC artificial nest scheme) in diverse ecological contexts in providing tangible contributions to conservation and sustainable resource use goals. It will provide stronger evidence-based arguments for control of mining activities.

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)

Project results will be disseminated through a range of established and innovative mechanisms. These will include articles in peer reviewed journals, reports to in-country policy makers and conference presentations. Reports will also be disseminated to herders' groups. In addition, mutual learning and knowledge exchange will be facilitated through local meetings of participant and non-participant herders, arranged through MSRM's and MNPCM's networks. Use of innovative mechanisms to map and elicit values of ES e.g. participatory video, will facilitate such exchanges, through presenting results in an accessible, engaging manner. Project partners will also identify and train PES ambassadors from amongst PUG herders involved in pilot PES schemes to educate

neighbouring herders. Local newspapers and radio will be used to disseminate results in-country, while a project website will be developed and maintained through UOL. Through partners' links with Mongolia's leading academic institutions, results will be disseminated in lectures and seminars, as part of the training of the next generation of conservation managers. Finally a policy briefing to key government bodies and end of project workshop with key stakeholders will maximise the impact of the research. The Darwin name and logo will be prominently displayed in all multi-media outputs throughout the project.

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)

The project will be an important contribution to development of a new range of approaches to conservation in Mongolia. By addressing some of the critical lacunae identified by policy-makers themselves, and by donors/NGOs with extensive experience of community development and biodiversity conservation (e.g. MSRM, GTZ, NZNI, UNDP), it will facilitate integration of the ES paradigm into conservation planning and practice and in doing so, help to map and highlight pertinent aspects of local values and knowledges, with prospects for more equitable, participatory and hence more sustainable conservation interventions in the future. Given the governments' stated interest and priorities around PES, it will be a timely contribution to the development of appropriate policy strategies, taking account of pressures such as mining. The pilot PES schemes are designed to trial and to identify effective ways in which communities can realise real (financial and other) value from biodiversity conservation and the maintenance and protection of ES. These should be self-sustaining in the future. However, for some PES models, financial benefits will rely on carbon markets and rates of carbon sequestration. Risks can be reduced by trialling of diverse methods (as proposed here) and by government support and funding in the future.

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)

This is a discrete project, albeit within the framework of ongoing initiatives in community-based resource governance in Mongolia and with clear applications to future developments in conservation management and planning. In particular, it is expected that the results of the project will be used by government policy-makers and donors in formulating new strategies for conservation. This will be ensured through established contacts and support from key actors e.g. MNET and through project dissemination and training activities. For selected study sites, the project aims to identify and put in place mechanisms for sustainable realisation of community benefits and conservation goals through PES schemes by the end of the project. For example, for the Plan Vivo schemes, these are designed to be validated and accredited during the lifetime of the project, enabling issuing of carbon certificates and initiating inflow of financial resources to the community by the end of the project. Community training and management of schemes are specifically designed to facilitate their continuation as community-led strategies beyond the end of project support and have been highly successful in this respect in Plan Vivo schemes elsewhere. Ongoing MSRM initiatives will ensure the maintenance of PUG groups as key institutional units.

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.

Training and capacity building will be carried out with a range of target groups throughout the duration of the project. Training needs assessments will be carried out with selected communities/ PUGs as part of the project inception activities. These participatory activities will be led by trained, experienced MSRM/ MNPCM facilitators, with support from Plan Vivo, and draw on detailed information already collated for host communities and on established relationships of trust with key actors in these communities. The assessment will focus particularly on issues pertinent to Plan Vivo accreditation for community-based carbon schemes, for example equitable, democratic management arrangements for the scheme, agreed monitoring protocols and land use activities, record keeping and disbursement of funds. Subsequent training throughout the lifetime of the project will be designed and delivered based on this initial needs analysis and through regular meetings and valuation activities with herders' groups. Training effectiveness will be measured through participatory indicators, informal feedback, and Plan Vivo validation reports. Training will also be provided to selected PUG leaders/ members to enable them to act as project ambassadors during and following the lifetime of the project, with the support of MSRM/ MNPCM, to facilitate replication of project approaches at a wider scale. Training will also be provided to students at key academic institutions (e.g. MAAS), especially by Professors Nyamsuren and Jamsran and with support from Dr Upton, through seminars and lectures, based on results of the project. These will introduce the next generation of rural resource and conservation managers to principles and techniques of ES valuation and PES schemes. Training effectiveness will be measured through assessed academic work and student feedback. Finally, training and capacity building will be key government actors and policy makers through ongoing liaison with MNET, through project reports and the end of project workshop.

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
<p>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.</p>			
<p>Sub-Goal: Mongolia's ability to meet CBD commitments (especially under articles 8, 10, 11) and as highlighted in CBD 2011-2020 Strategic Plan for Biodiversity enhanced; also CITES/ CMS where study sites include habitats of key migratory species.</p>	<p>Development of incentive measures for sustainable use & biodiversity conservation (through ES valuation and PES schemes in study areas). Livelihood and conservation benefits realised in study areas, (assessed through appropriate established and participatory biodiversity indicators and human well-being).</p>	<p>Project reports and academic papers. Government policy documents, reports e.g. end of project NRCBD. Plan Vivo reports and certification. (as above)</p>	
<p>Purpose To generate policy and practice relevant knowledge of values of ES in Mongolia and pastoral contributions therein and to test efficacy of PES schemes, in order to enhance biodiversity and livelihoods.</p>	<p>ES mapping and valuations in diverse ecological contexts, incorporating traditional knowledge and values, and linked to associated resource management/ conservation planning. PES schemes developed and implemented, including validation, issuance of certified carbon credits for voluntary market, distribution of benefits.</p>	<p>Project reports, academic papers, local resource management plans (e.g. for herders' Pasture User Groups), Government policy documents (re conservation, livelihoods), reports e.g. end of project NRCBD. Project reports on and management plans for PES schemes. Certified carbon credits and evidence of marketing, income accrued e.g. through Plan Vivo. Government policy documents, reports e.g. end of project NRCBD.</p>	<p>Government of Mongolia (e.g. through Ministry of Nature, Environment and Tourism [MNET]) continue to prioritise ES valuation and PES schemes in seeking to fulfil biodiversity (e.g. through CBD) obligations and livelihood goals. Buyers willing to purchase carbon credits in voluntary market. Herding communities (e.g. through Pasture User Groups) are willing to participate in ES valuation and PES schemes, and these are supported by local government administration at study sites.</p>

	Project methods, reports and datasets used/ cited in policy documents, resource management plans at diverse scales.	Project reports and academic papers. Government policy documents e.g. end of project NRCBD, PUG plans.	
Outputs (add or delete rows as necessary) 1. Key ES at selected sites in contrasting ecological zones valued, with participation of local herding communities.	Economic/ non economic values for key ES at study sites produced; ranking and mapping of key ES completed; analysis of contributions re biodiversity, well being reported.	Project reports and articles (including participatory/ GIS maps)	Participation of local herding communities. Access to available resource maps, surveys, socio-economic and ecological datasets provided by government officials.
2. Pilot PES schemes developed and implemented at selected study sites, with participation of local herding communities.	Appropriate technical specifications for evaluation of scheme benefits agreed; schemes validated and agreed with herders' communities; appropriate PES management and monitoring practices implemented; certificates issued on voluntary carbon market, mechanisms for profit sharing implemented.	Project reports. Plan Vivo reports, lists of validated schemes and marketing of carbon certificates on website. Community management reports from PUG groups.	Local herding communities willing to participate and cooperate with each other and thus able to secure Plan Vivo validation. Continued support from local government officials for implementation of scheme, including continued support for tenure agreements with herders' groups.
3. Assessment of contributions of PES to livelihoods & conservation in different ecological contexts.	Monitoring programmes completed using agreed technical specifications for evaluation of carbon benefits, and established and participatory biodiversity and well-being indicators.	Project reports. Plan Vivo reports, Community management reports.	Appropriate and sufficient data available from external sources, in conjunction with project surveys and technical specification, to enable baseline, interim and end of project evaluations.
4. Education and capacity building of key stakeholders (government officials, local herders) in ES values, development, management and efficacy of PES schemes in Mongolian context.	Workshops/ training events at study sites and in Ulaanbaatar, including information exchange/ training by PES ambassadors from selected PUGs. Implementation of PES schemes	Government policy documents, reports e.g. end of project NRCBD; government websites and media outlets; lectures at academic institutions; project reports; training event reports.	Continued engagement and support of government, herders and other stakeholders.

	Valuation of ES at study sites, including development of methodology for non-economic valuation.		
<p>Activities (details in workplan)</p> <p>0.1 Project inception and start up meeting, Ulaanbaatar</p> <p>0.2 Preliminary field visits for liaison and consultation with rural stakeholders and finalisation of case study sites</p> <p>1.1 Development and trialling of methodologies for non-economic valuation of ES</p> <p>1.2 Agree timetable, strategy and methodologies for valuation and mapping of ES with local communities</p> <p>1.3 Conduct spatial and social mapping of key ES with local communities and through collation and analysis of existing satellite/land use data (e.g. through GIS)</p> <p>1.4 Conduct ranking and valuation of key ES with local communities and through collation and analysis of existing economic data, including through GIS mapping</p> <p>1.5 Analysis and reporting on dimensions and spatial distribution of values of key ES (articles, reports)</p> <p>2.1 Undertake training needs analysis with prospective PES groups and institute necessary training</p> <p>2.2 Agree management, monitoring and land use/management rights and protocols for PES schemes, including record keeping, roles and responsibilities, distribution of benefits etc with herder groups (e.g. PUGs), government stakeholders and amongst project team</p> <p>2.3 Develop technical specifications for validation of carbon sequestration and other community benefits</p> <p>2.4 Monitor activities and compliance</p> <p>2.5 Obtain Plan Vivo approval of validation report and project registration for carbon-based PES schemes</p> <p>2.6 Issuance of first carbon certificates on voluntary carbon market</p> <p>2.7 Analysis and reporting for all PES schemes (project reports, community PES group reports and analysis)</p> <p>2.8 Further training and capacity building for PES groups as necessary</p> <p>3.1 Develop participatory indicators for livelihoods/ well being and key aspects of local biodiversity/ ES with local communities</p> <p>3.2 Agree suite of appropriate, established livelihood and biodiversity indicators for study sites with project team</p> <p>3.3 Conduct analysis of livelihoods/ well being and contributions of key ES therein pre PES interventions, using established and participatory indicators</p> <p>3.4 Conduct analysis of biodiversity/ ES status using established and participatory indicators pre PES interventions</p> <p>3.5 Conduct analysis of livelihoods/ well being and contributions of PES scheme and key ES (post PES implementation) therein, using established and participatory indicators and against pre PES baseline</p> <p>3.6 Conduct analysis of contributions of PES scheme to biodiversity/ ES status using established and participatory indicators post PES interventions and against pre PES baseline.</p> <p>3.7 Analysis and reporting (articles, project and community reports; government briefings)</p> <p>4.1 PES training with herder groups (see 2.1, 2.8 above)</p> <p>4.2 Liaison with and training of government officials (ongoing throughout project, policy briefing and end of project workshop)</p> <p>4.3 Training of PES ambassador herders</p> <p>4.4 Training of students/ future conservation managers through key academic institutions</p> <p>4.5 Wider dissemination and communication of project results (articles, newspaper reports, conference presentations etc) including through PES ambassador herders</p>			

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
0.1 Project inception and start up meeting, Ulaanbaatar	1												
0.2 Preliminary field visits for liaison and consultation with rural stakeholders and finalisation of case study sites	2												
1.1 Development and trialling of methodologies for non-economic valuation of ES	3												
1.2 Agree timetable, strategy and methodologies for valuation and mapping of ES with local communities	1												
1.3 Conduct spatial and social mapping of key ES with local communities and through collation and analysis of existing satellite/land use data (e.g. through GIS) (timings indicated reflect fieldwork seasons)	7												
1.4 Conduct ranking and valuation of key ES with local communities and through collation and analysis of existing economic data, including through GIS mapping	7												
1.5 Analysis and reporting on dimensions and spatial distribution of values of key ES	3												
2.1 Undertake training needs analysis with prospective PES groups and institute necessary training	2												
2.2 Agree management, monitoring and land use/management rights and protocols for PES schemes, including record keeping, roles and responsibilities, distribution of benefits etc with herder groups (e.g. PUGs), government stakeholders and amongst project team	4												
2.3 Develop technical specifications for validation of carbon sequestration and other community benefits	7												
2.4 Monitor activities and compliance, and report on basis of agreed technical specification (ongoing following scheme establishment)	24												
2.5 Obtain Plan Vivo approval of validation report and project registration for carbon-based PES schemes	1												
2.6 Issuance of first carbon certificates on voluntary carbon market	3												
2.7 Analysis and reporting for all PES schemes (project reports, community PES group reports and analysis)	12												
2.8 Further training and capacity building for PES groups as necessary	12												
3.1 Develop participatory indicators for livelihoods/ well being and key aspects of local biodiversity/ ES with local communities	2												
3.2 Agree suite of appropriate, established livelihood and biodiversity indicators for study sites with project team	1												
3.3 Conduct analysis of livelihoods/ well being and contributions of key ES	2												

	therein pre PES interventions, using established and participatory indicators												
3.4	Conduct analysis of biodiversity/ ES status using established and participatory indicators pre PES interventions	2											
3.5	Conduct analyses of livelihoods/ well being and contributions of PES scheme and key ES (post PES implementation) therein, using established and participatory indicators and against pre PES baseline	2											
3.6	Conduct analyses of contributions of PES scheme to biodiversity/ ES status using established and participatory indicators post PES interventions and against pre PES baseline.	2											
3.7	Analysis and reporting (articles, project and community reports; government briefings)	12											
4.1	(PES training with herder groups (see 2.1, 2.8 above)	(2 + 12)											
4.2	Liaison with and training of government officials (ongoing throughout project, policy briefing and end of project workshop)	(36)											
4.3	Training of PES ambassador herders (ongoing during final 12 months of project)	12											
4.4	Training of students/ future conservation managers through key academic institutions (development of lectures/training material & initial delivery during final year of project)	12											
4.5	Wider dissemination and communication of project results (articles, newspaper reports, conference presentations, local workshops/ seminars etc) including through PES ambassador herders. (Ongoing, 6 monthly, annual and final project reports – 6M, AR and FR respectively)	36		(6M)		(AR)		(6M)		(AR)		(6M)	(FR)

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)	
1B	Number of people to attain PhD qualification (in host country)	
2	Number of people to attain Masters qualification (MSc, MPhil etc)	
3	Number of people to attain other qualifications (ie. Not outputs 1 or 2 above)	
4A	Number of undergraduate students to receive training (through MAAS and partner institutions, see above)	100
4B	Number of training weeks to be provided	1
4C	Number of postgraduate students to receive training (through MAAS and partner institutions, see above)	50
4D	Number of training weeks to be provided	1
5	Number of people to receive at least one year of training (which does not fall into categories 1-4 above)	
6A	Number of people to receive other forms of education/training (which does not fall into categories 1-5 above) (PUGs, other herders, government officials etc, see above)	200
6B	Number of training weeks to be provided (across various types and over duration of project, see above)	5
7	Number of (ie different types - not volume - of material produced) training materials to be produced for use by host country (video resources, maps, summary reports, posters/leaflets)	4
8	Number of weeks to be spent by UK project staff on project work in the host country	22
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	
10	Number of individual field guides/manuals to be produced to assist work related to species identification, classification and recording	
11A	Number of papers to be published in peer reviewed journals	6
11B	Number of papers to be submitted to peer reviewed journals	10
12A	Number of computer based databases to be established and handed over to host country (spatially referenced valuation of ES; biodiversity and livelihood surveys including PES analyses)	2
12B	Number of computer based databases to be enhanced and handed over to host country	
13A	Number of species reference collections to be established and handed over to host country(ies)	
13B	Number of species reference collections to be enhanced and handed over to host country(ies)	
14A	Number of conferences/seminars/ workshops to be organised to present/disseminate findings (3 in case study areas, 1 in capital, Ulaanbaatar at end of project)	4
14B	Number of conferences/seminars/ workshops attended at which findings from Darwin project work will be presented/ disseminated (including all key project partners, estimated number)	10
15A	Number of national press releases in host country(ies)	2
15B	Number of local press releases in host country(ies)	3
15C	Number of national press releases in UK	1
15D	Number of local press releases in UK	
16A	Number of newsletters to be produced (biannual on line news updates via project website)	6
16B	Estimated circulation of each newsletter in the host country(ies)	
16C	Estimated circulation of each newsletter in the UK	
17A	Number of dissemination networks to be established (project partners, PES herder groups, with facilitation/ support from MSRM)	2
17B	Number of dissemination networks to be enhanced/ extended	
18A	Number of national TV programmes/features in host country(ies)	
18B	Number of national TV programmes/features in UK	
18C	Number of local TV programmes/features in host country(ies)	1
18D	Number of local TV programmes/features in UK	
19A	Number of national radio interviews/features in host county(ies)	2
19B	Number of national radio interviews/features in UK	

19C	Number of local radio interviews/features in host country(ies)	2
19D	Number of local radio interviews/features in UK	
20	Estimated value (£'s) of physical assets to be handed over to host country(ies)	
21	Number of permanent educational/training/research facilities or organisations to be established and then continued after Darwin funding has ceased	
22	Number of permanent field plots to be established during the project and continued after Darwin funding has ceased	
23	Value of resources raised from other sources (ie in addition to Darwin funding) for project work	£84,893

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.

Monitoring targets and protocols for activities assigned to particular project partners will be agreed at the project inception meeting and reported on to the PI for inclusion in 6 monthly and annual reports, based on the timetable of activities and outputs outlined in Q. 18, above. In addition, a variety of specific, technical monitoring activities are proposed for different aspects and at different stages of the project. These include i) monitoring against technical specifications for carbon sequestration, to be agreed and developed during the project; ii) monitoring against agreed suites of biodiversity and livelihood/ well being indicators and participatory indicators (the latter developed with herders' groups) pre and post implementation of PES schemes. These enable clear tracking of progress towards project goals in terms of livelihoods, biodiversity conservation and PES efficacy/ implementation. In the case of i) they are also integral to validation of carbon sequestration and issuance of carbon certificates.

Host country partners will be closely involved in all aspects of this monitoring e.g. through collaboration of the Mongolian Centre for Ecosystem Studies (CES) with Plan Vivo and UOL staff in developing and agreeing technical specifications for i) and suite of biodiversity indicators for ii). Local stakeholders (e.g. herders in participating PUGs) will also be closely involved in monitoring through participatory development of indicators. MSRM and MNPCM staff, in conjunction with UOL and MAAS will undertake monitoring and evaluation of training through liaison with herders' groups, policy makers and academic assessments for student trainees.

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)

As an established academic institution, the University of Leicester is funded through a combination of government funds and grants, research income and student fees.

(The most recent annual report and accounts can be found at http://www.le.ac.uk/finance/infocforms/financial_statements.html)

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 funding is from in-kind contributions of staff time, overheads, provision of existing datasets, equipment and resources to the Darwin project, institutional overheads and facilities including laboratories, on the part of both UK and host country partners. In addition Dr Upton has funding from an existing contract with IWC and from a Leverhulme Grant which will cover aspects of costs for travel to Mongolia, subsistence, initial workshops, research and project inception meetings in year 1.

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): –
Funding in kind: –

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**

CERTIFICATION 2011/12

On behalf of the trustees/company* of University of Leicester

(*delete as appropriate)

I apply for a grant of £234, 828.00 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)	STEVEN LODDINGTON
Position in the organisation	RESEARCH DEVELOPMENT OFFICER

Signed

S. Loddington
(Scanned signature attached)

Date:

21 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? (no written advice)	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.