



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: Professor Adrian Wood	Address: School of Applied Sciences, University of Huddersfield, Queensgate, Huddersfield, HD1 3DH, West Yorkshire, UK.
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2. Project title (not exceeding 10 words)

Conservation of Ethiopia's Wild Coffee using Participatory Forest Management
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3. Project dates, duration and total Darwin Initiative Grant requested, matched funding

Proposed start date: 1.04.2012		Duration of project: 3 years				End date: 31.03.2015	
Darwin funding requested	2011/12 £	2012/13 £ 82037	2013/2014 £ 82037	2014/15 £ 82433	2015/16 £	Total £246,507	
Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost: 80%							

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

Key areas of Amora Gedel and Kontir Berhan 'wild coffee' forests are conserved and providing sustainable livelihood benefits through Participatory Forest Management (PFM) by the local communities with full government support.

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 (not working more than 50% of their time on project)	Main project partner and co-ordinator in host country/ies
Surname	Wood	Wild	Hailu
Forename (s)	Adrian Paul	Robert	Afework
Post held	Emeritus Professor	Visiting Research Fellow	Executive Director
Institution (if different to above)			Ethio-Wetlands & Natural Resources Association
Department	Centre for Wetlands, Environment and Livelihoods (CWEL)	Centre for Wetlands, Environment and Livelihoods	
Telephone			
Email			

Details	Other UK personnel (not working more than 50% of their time on project)	Other UK personnel (not working more than 50% of their time on project)	Main project partner and co-ordinator in host country/ies
Surname	O'Hara	Freeman	Awais
Forename (s)	Peter	Dena	Tesfaye
Post held	Visiting Research Fellow	Lecturer	Director, Gene Bank
Institution (if different to above)		University College, London	Institute for Biodiversity Conservation
Department	Centre for Wetlands, Environment and Livelihoods		
Telephone			
Email			

All principals included with one page CVs as critical to the support for the local project team

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

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)

The Centre for Wetlands, Environment and Livelihoods has been in existence for more than ten years. It seeks to link biophysical and socio-economic research and support productive management of natural resources to ensure sustainable use in a socially sensitive manner so as to improve people's livelihoods and reduce poverty.

Activities (50 words)

CWEL undertakes research in Africa, focusing on Ethiopia, Zambia and Malawi. It has received grants from ESRC and others for work on local institutions for natural resource management, the Leverhulme Trust for study of dambo use for food security, and three major grants (over E7m) for PFM in Ethiopia 2003-2015.

Achievements (50 words)

Recent work has introduced participatory forest management (PFM) into the Southern Region of Ethiopia, supporting a new regional forest policy and developing PFM with an economic incentives approach, including carbon funding. CWEL staff have contributed to Ramsar/FAO work on Agriculture & Wetland Interactions and multiple use views of wetlands.

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: University of Huddersfield www.hud.ac.uk/wetlandsandforests/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): UoH is the overall coordinator of the project, with responsibility for day to day and strategic direction, as well as financial and technical reporting. UoH has over 20 years of experience of working with Ethiopian institutions on conservation, environmental and development issues, especially in south-west Ethiopia and has managed four EU funded projects, several British Council links and work for IUCN. During the last 8 years a consortium involving these partners (but not IBC until this project) have introduced PFM into the Southern Region and have implemented this in 160 communities in five districts, involving some 50,000 people and 95,000 ha of forest.</p>
<p>Lead Partner and website where available: Ethio Wetlands and Natural Resources Association www.ewnra.org.et</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): The lead local partner for UoH projects in Ethiopia with responsibility for registration with the local government, and employment and management of project staff in Ethiopia. EWNRA has more than ten years of experience working in south-west Ethiopia, often with UoH, and is involved in all aspects of project design and development, including consultation with the local communities and government offices. EWNRA has a core staff of eight professionals and additional technical staff. One of the technical staff is assigned to monitoring this project and providing technical support.</p>
<p>Partner Name and website where available: Institute for Biodiversity Conservation http://www.ibc-et.org/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): IBC is a partner with whom this project was developed. It has been involved with coffee conservation in this project field area in the past and is the national coordinator for <i>in situ</i> and <i>ex situ</i> biodiversity conservation. IBC provides local technical input through Dr Tesfaye Awas, Head of the Gene Bank and coordinator of the national Agro-Biodiversity programme. Through IBC lessons will be disseminated and links made to other community based conservation activities.</p>
<p>Partner Name and website where available: Southern Nations, Nationalities and Peoples Regional Government</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): The regional government has worked with three of the partners in a previous project to develop a new forest policy which is pro PFM. The Sheko District administration asked the project partners to assist them in addressing the conservation of the "wild" coffee forest. The District administration has signed an MoU with the project to support the field work which is undertaken through government staff and communities with project facilitation. The government field staff (Development Agents) and district level technical experts in the Agricultural Office work with the project's field staff to implement the project.</p>
<p>Partner Name and website where available: Sustainable Livelihood Action (EEIG) www.sustainablelivelihood.net</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): A Netherlands-based, not-for-profit, European Economic Interest Grouping (EEIG), which provides technical advice on project management and engages consultants for UOH led projects, as needed.</p>

9a. Have you consulted stakeholders not already mentioned above?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please give details:	
Additional to the above, the communities in the project area have been consulted over three years through the previous PFM project. While initially uncertain about further project activities, as they have developed their understanding of PFM and become more aware of the threat of forest land being allocated to investors, they have developed an urgent demand for PFM to protect their forests and for this to be used for the conservation of the "wild" coffee forest with their involvement.	
9b. Do you intend to consult other stakeholders?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
yes, please give details:	
The project has established a Project Advisory Committee (PAC) which includes all relevant government, community and private sector stakeholders. It meets twice a year to provide feedback for the project. A regular Participatory Planning Monitoring and Evaluation process has been established with communities and government staff. This provides feedback to monthly staff meetings and quarterly project reviews. Other potentially interested stakeholders are a number of newly established Biosphere reserve projects in other districts with whom links are established.	
9c. Have you had any (other) contact with the government not already stated?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please give details:	
Recent government restructuring has led to the development within the Bureau of Agriculture of a Regional Land Use & Administration and Environmental Protection Department. Communications have started with this unit concerning the PFM work of the project partners, including this project. As the department is developed so engagement with this project will increase.	
9d. Will your project support any work in the UK Overseas Territories?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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, changes highlighted - yellow)

Coffea arabica evolved as an understory shrub in the Afromontane forests of south-west Ethiopia. Despite being a global commodity, conservation of the genetic birthplace of coffee has been poor. Over the last 25 years 40% of these Afromontane forests have been lost. This is due to a lack of secure forest rights for communities, allocation of land to investors and resettlement of drought victims. Further, while the importance of conserving the coffee forests is now recognised, conservation policies, which exclude local people from forests where they have co-existed with coffee, have alienated these communities. Agricultural policies that favour improved coffee varieties in intensively managed areas of coffee forest also threaten to displace the wild coffee agro-biodiversity.

With resettlement ended and changes in forestry laws improving access and use rights for local communities, there are opportunities for participatory forest management (PFM) to be applied across Southern Region and specifically adapted for community-based conservation of forest biodiversity, especially wild coffee.

While the overall aim of the project is supporting the application of PFM in the forests of Sheko District, the specific DI funded component focuses on its adaptation to biodiversity conservation especially in the *lightly managed ("natural") forest*. This will reduce the loss of the lightly-managed coffee forests which are a natural genetic reservoir, by promoting their sustainable use and that of the adjoining *intensively managed forests* where wild coffee has been bulked up, but itself retains biodiversity values. The project will develop equitable governance for *in situ* conservation and, building on local knowledge, develop forest conservation planning and monitoring by the six different ethnic groups in the area. This separately badged DI component also includes specific biodiversity monitoring and collaborative partnership with the Institute of Biodiversity Conservation.

The project focuses on two nationally identified, global priority forests - Kontir Birhan (c10,000 ha) and Amora Gedel (c3,500ha), in Sheko District of Southern Region where 6,000 households live. The project will work in 14 kebeles (wards equivalents) with a total of 60 communities.

Specific problems which the project seeks to address are:

- Deforestation and loss of biodiversity, especially endemic forest *Coffea arabica*;

- Alienation of local communities from forest conservation;
- Rural poverty and its impact on conservation;
- Lack of secure forest access rights which undermine customary forest ties;
- Lack of government and community capacity for participatory forest and biodiversity management;
- Ineffective and inequitable biodiversity conservation policies; and
- Agricultural policies which discriminate against wild coffee genetic use

Conservation of this wild coffee genetic diversity is a priority in Ethiopia's biodiversity strategy. This is partly because coffee is the dominant export (c60%). Genetic diversity within the wild population is vital for breeding and adaptation, as seen with varieties resistant to coffee berry disease. Ethiopia also has an international responsibility for maintaining coffee's genetic pool in an evolutionary context.

The project goal is to maintain the high biodiversity value of two selected forests, and especially the genetic pool of wild coffee **in the lightly managed forest** therein. The strategy to address this is multi-faceted and integrated, linking forest and biodiversity conservation to livelihood development through improved governance. This requires the engagement of local communities in partnership with government agencies. It recognises the principles of the ecosystem approach, with adaptive management and the **adaptation of PFM specifically for community developed biodiversity conservation** through a learning-by-doing approach.

The strategy builds on 8 years of PFM work in neighbouring areas by four of the partners, and on the new regional forest legislation which provides a secure legal basis for PFM and community forest rights. **Hence PFM provides a legal basis for sustainable use and active forest management to develop value in these forests and so motivate biodiversity conservation.** Communities will form Forest Management Associations and develop management plans, subject to government approval, which will include specific biodiversity conservation management in **the lightly managed forest areas**. The project will facilitate adding value to the forest through forest coffee niche marketing, the strengthening of value chains for other forest products - spices and honey, carbon funding, and ecotourism. The project will be implemented through the Regional Government. This will ensure that government organisations are actively engaged in implementing their new pro-PFM forest legislation as well as learning how this can conserve the forest biodiversity, especially wild coffee. The project will act as a facilitator, not implementer, and ensure that it can withdraw leaving sustainable arrangements. Dissemination to other relevant Ethiopian agencies of lessons from this project will be a key way to influence policy and practice.

The local communities will benefit from this project as the PFM arrangements will give them secure access to the forest. They will also be able to access **technical support to develop sustainable management regimes for the utilisation of the forest and, with the development of niche marketing opportunities**, they will be able to enhance and diversify their livelihoods.

The major outcome of the project will be to conserve the coffee and associated biodiversity in two of the remaining wild coffee forests in Ethiopia through the active partnership of local communities and government agencies. Forest access will be controlled **by local communities and 60** PFM Associations will undertake sustainable forest management and **community-based** biodiversity conservation. Community Cooperatives/PLCs (c12) will facilitate trade in forest products and support livelihood development. Other outcomes include raising awareness in government, conservation and development organisations of the potential of PFM for *in situ* conservation. The government will also be a key beneficiary because the PFM Associations will help it **safeguard coffee genetic assets and** fulfil its responsibility for forest biodiversity conservation under the CBD. The global community will be a beneficiary as the project will help secure the gene pool of coffee.

The project partners are listed above. They have joint and individual experience of collaborating in successful international partnerships, working with communities and government agencies, and supporting policy development. In particular, the Institute for Biodiversity Conservation, as the CBD focal point, links the project into Ethiopian conservation policy and provides a main dissemination route.

11a. Is this a new initiative or a development of existing work (funded through any source)?**Please give details:**

This project was developed from PFM work by four of the partners over the last eight years. This has seen new forest legislation recognise the role of PFM, the importance of community rights and responsibilities, and end open access. This PFM work is bringing much of the second major remaining forest block in Ethiopia under community management. Discussions by these partners with local communities and the Institute for Biodiversity Conservation led to PFM being identified as a potentially suitable approach to be adapted for in-situ conservation of wild *Coffea Arabica*.

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.

This project obtained E1.994m from the European Commission for PFM and coffee biodiversity conservation in Sheko district over 5 years. (£1.238m is available in the DI project period). The first two years – to early 2012 focused on starting PFM. The remaining three years will focus on the community based biodiversity management planning as in the DI project. The EU requires matched funds (20%) must be obtained to release their (80%) funds. Recent policy changes in the Netherlands caused the 20% fund to be halted after one year. So far only one year of EU funds have been released. EU funds for years 2 to 5 are available as specified in the DI budget. Without the DI matching funds the project will close and major conservation (EU) funds will be lost.

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 Director of the IBC is the focal point for the CBD. The focal point for the project in this application in Institute of Biodiversity Conservation (IBC), Dr Tesfaye Awas, is the Director of the national Gene Bank in IBC and is involved with all CDB matters in support of the IBC Director.

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

Ethiopia's prevalent approach to biodiversity conservation focuses on protected areas (PAs) that tend to marginalise and exclude local communities. In contrast, this project addresses the CBD's equity and sustainable use goals. The project specifically addresses Element 2 of the PoW on PAs, especially equitable sharing of both costs and benefits arising from the establishment and management of PAs, and involves community governance. Through this mechanism the project addresses the new strategic plan Target 11 on equitable and effective PAs. The project supports Article 8j by working with several indigenous communities.

The project addresses elements of the PoW on Forest Biodiversity especially 'enable indigenous and local communities to develop and implement adaptive community-management systems to conserve and sustainably use forest biological diversity' (Goal 1.4 3.) and 'enhance the institutional enabling environment' (Goal 2.1). Problem analysis by the project identified secure forest tenure as critical for conservation, thereby supporting Article 11.

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

Project communities will gain secure tenure over their coffee forests and take responsibility for

management. The conversion to intensively managed (semi- natural) forests will halt and the traditionally lightly managed “natural” forest where coffee evolved will be maintained. A long-term forest land-use pattern will be established and communities will develop stable forest-based livelihoods, improving household incomes. The confidence of local communities to manage forests biodiversity will increase. The project will exemplify an equitable approach to conservation in a situation where policies tend to exclude local communities.

Government staff will develop skills in community facilitation and supporting community-based conservation. This will occur at field, regional and national level. The Institute of Biodiversity Conservation will develop a track record of equitable approaches to biodiversity conservation.

Government extension policies toward coffee production will change to recognise and value wild coffee biodiversity as a support to the agricultural sector and the important coffee industry.

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

The project will empower communities to protect critical genetic biodiversity of wild populations of *Coffea arabica* in an evolutionary context. While this species is one of the most widely grown tree crops most commercial stocks around the world are based on very few founding plants. The Ethiopian coffee forests retain the remaining wild genetic variety and are therefore a critical resource to the coffee industry. The forests in which coffee evolved are themselves biologically rich but very threatened. The project will, therefore, enable the equitable community-based conservation some of Ethiopia’s remaining areas of Afromontane forest, one the continent’s rarest habitat types.

The forests have long cultural associations with several of the indigenous populations that live within them. The project will increase recognition of cultural relationships with forests and promote the retention of traditional ecological knowledge. This is considered to be an important approach within the Ethiopian context.

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)

DI funding will support the elements of the project that adapt PFM to the conservation of coffee forest biodiversity and these will be specially DI “badged”. Key elements include biodiversity monitoring, the engagement with the Institute Biological Conservation, technical inputs and support to communities to conserve biodiversity in the landscape and over time. The project will support the improved implementation of biosphere reserves.

Results will be disseminated on the CWEL website www.hud.ac.uk/wetlandsandforests/ which has a specific section for the forest projects.

The project produces annual reports for funding agencies and for local circulation, reports of major workshops, consultants’ reports, technical reports, policy briefing notes and fliers, each with different target audiences, some translated into Amharic. In addition, a DVD for awareness raising is envisaged and presentations at local workshops and conferences. Academic publications are planned covering community biodiversity management, PFM and rural livelihoods.

All publications and noticeboards will display the DI logo and those of other partners and funders. Publications also include a front page note about funding sources and a disclaimer about the contents being the views of the project and not necessarily those of the funders.

The logos of the project and funding organisations are on the project vehicles.

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 long term benefits for this project will be that forest biodiversity, and specifically the biodiversity of the “wild” coffee found in the lightly managed forest, will be maintained by the communities. This output will be part of formal and legal PFM agreements signed between the local communities and the local government which help clarify the communities’ rights and the responsibilities of the two partners and give the community security of access to the forest. The critical point is that the previous open access forest, which the government does not have the resources to manage, will now be managed by the communities once secure tenure is achieved.

Activities to promote and enhance forest based enterprise and community NTFP marketing institutions will increase revenue streams for communities.

Potential problems relate to the interpretation by the district administration of the new Regional Forest Policy and the over-ruling of the region and district by the central government over the allocation of forest for investors. Further, understanding of the rights and responsibilities in the PFM agreements must be thoroughly understood by the communities and the government, and this requires continued awareness raising activities.

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 will establish viable participatory forest management groups at the community level which will provide the strongest possible link between communities and their forests. These 60 plus PFM groups will be members of a district level PFM Association which will be the registered legal entity and through this the groups will have legal status. This is similar to the arrangements being made at present in three neighbouring districts. This legal status provides the basis for the communities to sue and be sued over the forests they manage and so to defend the forests against open access and against investors, and be held to account over their forest management. The PFM Association is also the legal body through which carbon payments can be channelled if found to be viable. PFM groups in different parts of the district can become members of cooperatives for developing forest based enterprises, mostly related to the processing and niche marketing of coffee and honey.

Sustainability will be achieved by the development of understanding in the district government office of the new emphasis upon community rights and responsibilities with respect to the forest and on the need to play a supportive, rather than controlling, role.

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.

The project will support a variety of training programmes for the communities and the government staff. A common understanding on PFM and of the new regional forest policy is necessary for both groups so that there is a sound basis for communication and for the application of PFM. This will include the new regional legislation, the principles of PFM as well as the six steps for practical implementation. Training will be provided to community leaders and government staff on equitable and community-based approaches to forest conservation and include elements such as the ecosystem approach, traditional knowledge and ethnobiology. Training and capacity building will also be needed for livelihood development and the development of cooperatives focus on NTFP development and marketing, especially with respect to the niche marketing of forest coffee.

Training will be developed also from the research and development approach of the project, especially the monitoring procedures and feedback from the communities and government.

Training is delivered by the project team and in some cases by government and community members once training of trainers is completed. This ensures that that capacity to maintain training is there in the communities once the project is completed.

In all cases, each training will have its own participants' evaluation at the end of the training. However, this will be followed up by the regular participatory monitoring and evaluation is the main way in which feedback on the effectiveness of training and project implementation is monitored. This feeds into the quarterly and annual reviews of the project.

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: Afromontane forests of south-west Ethiopia and associated <i>Coffea arabica</i> biodiversity are effectively conserved and providing ongoing community wellbeing and livelihood benefits	Decrease in forest degradation. Maintenance of <i>Coffea arabica</i> biodiversity. Forest based livelihood benefits generated sustainably.	Time series remote sensing. Biodiversity assessment in project areas. Livelihood surveys.	
Purpose Key areas of Amora Gedel and Kontir Berhan 'wild coffee' forests are conserved and providing sustainable livelihood benefits through Participatory Forest Management (PFM) by the local communities with full government support	Area of forest under PFM management with specific conservation aims / agreements with government. Sustainable livelihood benefits being generated from PFM forests. Number of communities / population engaged in PFM for conservation and benefitting from sustainable forest based livelihood benefits.	Mapping of project PFM areas and communities with PFM agreements. Listing of agreements registered. Survey of livelihoods in communities in project area.	Government policy remains supportive of PFM, community involvement in biodiversity conservation and of biodiversity conservation in south-west Ethiopia.
Outputs 1. The forest and coffee biodiversity maintained by the application of fine-tuned Participatory Forest Management (PFM) approach applied by the local communities and officially recognised by regional and local governments.	Forest and coffee biodiversity maintained in Amora Gedel and Kontir Berhan forests against baseline assessment. Coverage of intervention forests under PFM. Communities applying PFM for forest conservation. Recognition of PFM for biodiversity conservation in legislation /policy and by agreements with local government offices.	Biodiversity assessments. PFM agreements and records of their operations for biodiversity conservation and areas of forest covered. Government legislation, policies and policy practice, including PFM agreements signed with local government offices.	Political will continues to involve communities in biodiversity conservation in forest areas.

2. Participatory forest management (PFM) methods developed in the region, are adapted, fine-tuned and applied specifically for in situ conservation of forests and coffee biodiversity	PFM Methods fine tuned and applied for in situ conservation of forest and coffee biodiversity, with feedback from field experience incorporated in revision of methods.	PFM for Biodiversity Manual and revisions. Reports of application of PFM for biodiversity conservation from community institutions (PFM Associations) and government.	PFM remains an approved and legally supported method in the region.
3. The capacity of community organisations (PFM Associations) and government agencies for the effective conservation of coffee biodiversity using PFM is significantly strengthened.	60 communities (gots) in 14 kebeles (lowest administrative units) implementing PFM for forest and coffee biodiversity conservation through their local PFM Associations over their recognised forest areas and reporting effective support from government extension staff and districts experts.	Training of communities, PFM Associations and government staff. Reports of the activities of PFM Associations. Survey of performance and capacity of PFM Associations. Record of government support to PFM Associations and assessment of performance.	Stability of staff in government agencies and stability in leadership and representation in community organisations.
4. Community based PFM institutions for biodiversity conservation, sustainable forest management, and marketing of forest products and services established and operating sustainably.	Twelve community institutions (PLCs and Cooperatives) have legal establishment documents signed by government officials. Community institutions are operating and effective in terms of forest management, biodiversity conservation and marketing of forest products and carbon.	Legal documents of PFMA's Record of PFMA's operations from their meeting minutes. Records of marketing of forest products.	Supportive government and policy environment for community-based institutions.
5. Viable forest product based enterprises operating with improved market linkages and services established and providing livelihood benefits without conflict with conservation goals. Carbon payments generating income for government and communities.	At least two forest product based enterprises operating. Carbon payment agreements made and implemented. No negative impacts on conservation goals for forests and coffee biodiversity.	Survey of forest product based enterprises. Assessment of their sustainability and impacts, both socio-economically and environmentally. Carbon payment agreements in place and assessed.	Favourable market opportunities for coffee, forest products and carbon. Support from regional and national governments for carbon payment with benefits reaching the communities.
6. Dissemination to other government and civil society agencies in Ethiopia and elsewhere of fine-tuned PFM methods for development of policy and practice of in situ biodiversity conservation.	Practice and policy development. Dissemination documents prepared and despatched. Conferences and meetings attended to undertake dissemination.	Records of developments in policy and practice of in situ conservation practice, dissemination meetings and communication process.	Political will for civil society and community participation in biodiversity conservation and related policy development.

Activities (details in workplan)1. Forest & Biodiversity Maintained as PFM Applied

PFM training applied

Forest demarcation for PFM groups

PFM Agreements signed

2. PFM Fine Tuned for *in situ* conservation

PFM fine tuned with respect to community-based biodiversity conservation

Appropriate extension materials developed, distributed and applied

Baseline mapping for the application of PFM

3. Capacity of Govt Staff & Communities strengthened, etc.

Training in participatory processes, PFM, CBO management, leadership etc

Training in joint planning, monitoring and evaluation

Training & development of extension materials

4. Community-based PFM institutions, etc

Training & support for PFM CBOs, PLCs and Coops

Development of byelaws and regulations for CBOs

Legalisation of CBOs

Support for operation of CBOs

5. Viable forest product based enterprises operating etc

Support production of NTFPs, focusing on quality & supply

Assess market opportunities & develop strategies and links for CBOs

Explore incentive payments for environmental services, e.g. carbon

Facilitate links with funding mechanisms for PES & implement pilot

6. Dissemination to other government etc

Dissemination of project findings

Contribution to policy debates

Advocacy on specific issues, especially forest policy, PFM for biodiversity conservation and PES

Liaison with biosphere projects

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 PFM training applied	2	x	x			x			x			x	
1.2 Forest demarcation for PFM groups	8		x	x	x								
1.3 PFM Agreements signed	3			x	x	x							
2.1 PFM fine tuned with respect to community-based biodiversity conservation	2	x	x				x						
2.2 Appropriate extension materials developed, distributed and applied	2		x					x					
2.3 Baseline mapping for the application of PFM	2	x											
3.1 Training in participatory processes, PFM, CBO management, leadership etc	2	x		x		x			x				
3.2 Training in joint planning, monitoring and evaluation	2			x			x	x				x	
3.3 Training & development of extension materials	2		x			x				x			
4.1 Training & support for PFM CBOs, PLCs and Coops	3			x	x		x	x		x			
4.2 Development of byelaws and regulations for CBOs	1			x	x			x					
4.3 Legalisation of CBOs	1				x	x							
4.4 Support for operation of CBOs.	2					x		x		x			
5.1 Support production of NTFPs, focusing on quality & supply	3					x	x	x	x	x			
5.2 Assess market opportunities & develop strategies and links for CBOs	2			x			x		x				
5.3 Explore incentive payments for environmental services, e.g. carbon	2				x		x		x				
5.4 Facilitate links with funding mechanisms for PES & implement pilot	3								x	x	x	x	x
6.1 Dissemination of project findings.	2				x				x			x	x
6.2 Contribution to policy debates	2				x		x		x			x	
6.3 Advocacy on specific issues, esp. forest policy, PFM for biodiversity conservation and PES	2				x		x		x			x	
6.4 Liaison with biosphere projects	3				x		x		x		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)	
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	
4B	Number of training weeks to be provided	
4C	Number of postgraduate students to receive training	
4D	Number of training weeks to be provided	
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)	c680
6B	Number of training weeks to be provided	45 weeks
7	Number of (ie different types - not volume - of material produced) training materials to be produced for use by host country	3 sets
8	Number of weeks to be spent by UK project staff on project work in the host country (In addition to budgeted time, Project Manager uses project overhead to fund field managt)	64
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	60 Mangt Plans
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	3
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	
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)	1
14A	Number of conferences/seminars/ workshops to be organised to present/disseminate findings	2
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)	10
15B	Number of local press releases in host country(ies)	10
15C	Number of national press releases in UK	3
15D	Number of local press releases in UK	4
16A	Number of newsletters to be produced	
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	
17B	Number of dissemination networks to be enhanced/ extended	2
18A	Number of national TV programmes/features in host country(ies)	1 DVD
18B	Number of national TV programmes/features in UK	
18C	Number of local TV programmes/features in host country(ies)	1 DVD
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 (Matched Funds)	Check budget
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	£1.238m
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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 progress of the project will be monitored in several ways, including regular feedback from the community and government staff, using quarterly participatory monitoring and evaluation activities, a programme for which has been developed and training received by the project staff. In addition, there will be biannual meetings of the Project Advisory Committee and an annual review and planning meeting of the project team and partners. There will also be a mid project and end of project external evaluation with international experts. In all cases the communities and the government staff are involved, while the host country partners, as well as the external partners (UoH and SLA), will be involved.

Monitoring will include the fine tuning of PFM for *in situ* conservation, the understanding and application of PFM by the communities and government officers, the development and operations of PFM institutions and signing of agreements for PFM forest with conservation areas, and the establishment and viable operation of PLCs or Cooperative for niche marketing of forest products, notably coffee and honey. Monitoring of the forest status, building on the existing baseline, will be undertaken by the government along with IBC and EWNRA staff with project support. This is essential for any carbon funding. Ground truthing is essential despite using high resolution SPOT imagery. Livelihood assessments to monitor the impact of PFM and the new forest conservation arrangements will also be undertaken independently of the project and linked to a baseline study.

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 University of Huddersfield is funded through Government Higher Education Grants and Student Tuition Fees, research grants. CWEL is funded by project grants as well as voluntary time inputs of staff.

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:
£1.238m from European Commission

Unconfirmed:
None

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:

Voluntary time input of Project Manager in excess of contract.

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

(Embassy is aware of the work of UoH in this part of Ethiopia for the last 8 years. No security issues outside election periods when no expatriate staff visit.)

CERTIFICATION 2011/12

On behalf of the trustees/company* of
University of Huddersfield HEC

(*delete as appropriate)

I apply for a grant of £246,507 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 can be found at:

http://www2.hud.ac.uk/shared/shared_fwg/docs/2010-11accounts.pdf

Name (block capitals)	Professor Robert Cywinski
Position in the organisation	Dean, Applied Sciences

Signed

Date:

24.10.2011

Stage 2 Application - Checklist for submission

	Check
Have you provided actual start and end dates for your project?	YES
Have you provided your budget based on UK government financial years ie 1 April – 31 March?	YES
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?	YES
Is the concept note within 1,000 words?	YES
Is the logframe no longer than 3 pages and have you highlighted any changes since Stage 1?	YES Not LONGER
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)	YES
Have you included a 1 page CV for all the Principals identified at Question 5?	YES
Have you included a letter of support from the <u>main</u> overseas partner(s) organisations identified at Question 5?	YES
Have you checked with the FCO in the project country/ies and have you included any evidence of this?	YES
Have you included a copy of your most recent annual report and accounts? An electronic link to a website is acceptable.	YES
Have you read the Guidance Notes ?	YES
Have you checked the Darwin website immediately prior to submission to ensure there are no late updates?	YES

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.