



Submit by Monday 3 December 2012

DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 19: STAGE 2

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

Information to be extracted to the database is highlighted blue.

ELIGIBILITY

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

Name: Durrell Institute of Conservation and Ecology	Address: School of Anthropology and Conservation, Marlowe Building, University of Kent, CT2 7NS
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2. Stage 1 reference and Project title

(max 10 words) Reviving socio-ecological landscapes for biodiversity conservation and climate change adaptation

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

Proposed start date:		Duration of project:			End date:	
Darwin request	2013/14	2014/15	2015/16	2016/17	Total	
	£	£	£	£	£171,317	
Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost: confirmed (£130,654) + unconfirmed (£0) = 43% of t.p.c						

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

(max 100 words)

To increase the capacity of targeted local communities in the North-Western Ghats to adapt to climate change and participate in biodiversity conservation through the improved management of socio-ecological landscapes. This will involve the use of incentive measures for the development and adoption of pro-biodiversity, ecologically-sound, improved livelihoods based on sustainable agroforestry and the sustainable collection of medicinal non-timber forest produce that employs an effective access and benefit sharing mechanism (ABS).

5. Country(ies)

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

Country 1: India	Country 2:
Country 3:	Country 4:

6. Biodiversity Conventions

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

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

6b. Biodiversity Conventions

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

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

(Max 200 words)

The project will demonstrate synergy among activities addressing the sustainable use of biodiversity and climate change, as championed by CBD Programme of Work (PoW) on Climate Change and Biodiversity. CBD Parties, including India, have adopted Aichi Target 15 to restore biodiversity in ecosystems to contribute to climate change adaptation. In addition, the project involves building the capacity of local communities and NGO staff (Articles 7,12&13, and Aichi Target 1) through technical education and training, supporting in-situ conservation, and valuing traditional knowledge and systems (Article 8 & Aichi Targets 5,7,11&18). Similarly, in adopting measures for the recovery and rehabilitation of threatened species and their reintroduction using agroforestry as the vehicle, it addresses Article 9 & Aichi Target 12. It also provides positive incentives for biodiversity conservation (Article 11). The sustainable harvesting, processing and marketing of botanical resources references Articles 10&12, whilst Articles 6,8,10 and 13, together with the Nagoya Protocol on ABS, will also inform the project implementation process. Furthermore, the project will not only improve India's ability to meet CBD obligations, but because the conservation and the restoration of forests are identified in the National Biodiversity Strategic Action Plan (NBSAP), it will also help address national targets as well.

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

Yes No if yes, please give details: AERF are already in contact with the CBD National Focal Point in India, Mr.Hem Pandey, Ministry of Environment and Forests, Government of India, New Delhi. AERF has a good working relationship with Mr. Pandey.

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

Details	Project Leader	Project Partner 1 Main
Surname	MacMillan	Godbole
Forename (s)	Douglas	Archana
Post held	Professor of Natural Resource Economics	Director
Institution	Durrell Institute of Conservation and Ecology	Applied Environmental Research Foundation
Department	School of Anthropology and Conservation	
Telephone		

Details	Project Officer	Project Officer
Surname	Bride	Punde
Forename(s)	Ian	Sameer
Post held	P/T Lecturer/researcher Biodiversity Management	Project Officer
Institution	DICE	AERF
Department	School of Anthropology and Conservation	
Telephone		
Email		

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

Reference No	Project Leader	Title
19-002	J. Groombridge & R.A. Griffiths	A cutting-EDGE approach to saving Seychelles' evolutionary distinct biodiversity
19-014	R.A. Griffiths	Implementing CITES in Madagascar
EIDPR112	I. Bride	Adapting to climate change in biodiversity hotspots: the Western Ghats
15009	J. Groombridge	Investing in island biodiversity...
15029	R. Bodmer	Certifying peccary pelts in Peru...
EIDPO006	R.A. Griffiths	Flying the flagship: delivering the axolotl action plan

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

9a. N/A

9b. N/A

9c. N/A

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

Please copy/delete boxes for more or fewer partnerships.

<p>Lead institution and website: Durrell Institute of Conservation and Ecology (DICE)</p> <p>http://www.kent.ac.uk/dice/about/index.html</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Contact Douglas MacMillan</p> <p>Background DICE's mission is to:</p> <ul style="list-style-type: none"> • build capacity with a focus in the biodiversity rich developing countries • foster interdisciplinary cooperation between the natural and social sciences in conservation, • focus on scientific research which informs practical implementation • strive for sustainable livelihoods and incentive-driven biodiversity conservation that benefits local people. <p>Our wealth of experience and expertise, which includes numerous Darwin Initiative funded projects, places us in an ideal position in regards to the successful undertaking of this project.</p> <p>Roles/responsibilities: As the main UK partner DICE will oversee the project, its organisation, design, documentation, progress, the budget, and the production of publications and other materials. It will also maintain regular dialogue with the principal host-country partner (AERF), the other key partner (Pukka Herbs), help seek additional project funding, and undertake an annual project evaluation/development visit.</p>
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<p>Partner Name and website where available: Applied Environmental Research Foundation (AERF)</p> <p>http://www.aerfindia.org/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Contact Archana Godbole</p> <p>Background AERF works through 5 programmes in 2 biodiversity hotspots in India. Applied research welded with active local participation forms the core strategy in all of the Foundation's programmes. In developing and implementing its programmes, AERF follows a systematic, phase-wise process "Conservation on the ground."</p> <p>The Foundation aims to address biological diversity loss by building sustainable development models that benefit the local populace. AERF has considerable experience of community-based conservation and participatory conservation, which involves people in the process of conservation. AERF operates through a strong network of organizations and is extremely well placed to successfully engage with the project.</p> <p>Roles/responsibilities: As the main host-country partner AERF will: conduct the day-to-day running of the project; manage the host country project personnel; design (with DICE + Pukka Herbs), organise and deliver the training workshops and supply chain; establish and maintain dialogue with the local stakeholders and key agencies; set up the plant nurseries and experimental plots; conduct the information and data gathering exercises (organise these in a useable form); and, undertake the promotional and educational activities.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>Pukka herbs www.pukkaherbs.com</p> <p>(Fairwild Foundation) http://www.fairwild.org/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Contact Sebastian Pole</p> <p>Pukka Herbs Ltd is one of the UK's leading manufacturers of organic herbal teas, naturopathic remedies and food supplements. Pukka's products are sold through the Pukka website and indirectly through independent health food stores, multiple retailers and wholesalers in the UK, and wider markets in Europe, Japan and North America. Pukka's work is strongly rooted in the principles of sustainability, ethics and quality. The proposed partnership with AERF to produce FairWild certified products presents an exciting opportunity to create a model of how good business practices can contribute towards conservation and livelihoods.</p> <p>Roles and Responsibilities - Pukka Herbs will be responsible for:</p> <ul style="list-style-type: none"> (i) consultancy project advice, mainly for the FairWild produce related component; (ii) the delivery of the Good Agricultural and Collection Practices (GACP) training workshops (6) to the local collectors at cost; (iii) contributing to the research and preparation of monographs of candidate plants to be purchased by Pukka; (iv) sharing data with the project on the details of the different stages of the production chain; (v) establishing the post-collection supply chain for the pilot species (Bibitaki and Haritaki) at the chosen project sites; (vi) putting in place and monitoring the FairWild certification; (vii) developing the market for the ensuing Ayurveda medicinal end products through local purchase agreements and marketing in India and internationally.
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>
<p>11. Have you provided CVs for the senior team including the Project Leader</p>	<p>Yes</p>

TECHNICAL EXCELLENCE

12. Problem the project is trying to address

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

(Max 200 words)

Important international initiatives such as GIAHS and the Satoyama Initiative recognise the value of socio-ecological landscapes in biodiversity conservation, sustainable land use and climate change adaptation. In the Western Ghats global biodiversity hotspot, the livelihoods and culture of numerous human communities are directly dependent on natural diversity and ecosystem services provided by the socio-ecological landscapes. Yet the pressure to sustain livelihoods is leading to the replacement of traditional crop varieties with hybrid variety cash cropping, clear felling of forests, the loss of traditional knowledge and beliefs, and the degradation of ecosystem services, with a concomitant and loss of key species. The value of

these traditional systems remains underdeveloped. The potential to exploit high value medicinal plants, many in demand commercially by Indian medicinal systems (Ayurveda) and/or having considerable potential in growing international markets for natural products, remains largely untapped and provides an opportunity for a community-regulated livelihood enterprise incorporating an Access and Benefit Sharing (ABS) mechanism. At the same time there are considerable opportunities to further encourage sustainable livelihood options using approaches that integrate agroforestry and ecological restoration techniques to revive ecological and economic capacity in these socio-ecological landscapes and thereby enhance their resilience to threats caused by climate change.

13. Methodology

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

(Max 500 words – repeat from Stage 1 with changes highlighted)

The project draws upon traditional knowledge of natural resource management whilst building local capacity to undertake alternative, ecologically-sound, yet financially-profitable land-use practices employing agro-forestry, ecological restoration, NTFP certification and marketing pilot schemes. DICE and AERF, in partnership with Pukka herbs will research, qualify and quantify existing social and potential commercial market values of ecologically-sustainable resources of the socio-ecological landscape. They will document and assess indigenous knowledge-based NRM practices, and conduct a detailed feasibility study for the sustainable harvesting and marketing of fruit of two tree species native to the forest patches within these landscapes (already provisionally assessed by Pukka Herbs - *Terminalia bellirica*, or Bibhitaki, and *T. chebula*, or Haritaki). Approximately 500 collectors currently earning as little as <USD\$1/dy from ~50 villages at two project sites forms the collector study population. The project will create and pilot a supply chain for these two species, also providing value-adding, locally-centralised processing facilities (drying). They will also determine other possible candidate species (e.g. *Antiaris toxicaria*, *Strychnos nux-vomica*, *Tinospora cordifolia*), design and set up agro-forestry pilot commercial market schemes, work with Pukka Herbs to implement the FairWild certification protocol for the collection of medicinal plants, and establish a pilot community-regulated ABS mechanism. They will also develop a production strategy for the long-term development of this project component. Local farmer groups will be trained and supported in understanding and adopting these practices, and, through the application of a range of analytical and commercially-implementable methods (including actor networks, DPSIR, business and market planning), develop appropriate action plans for promulgating and scaling up this approach at the regional level. Throughout these processes and actions the project will record baseline data across all relevant parameters and carefully monitor interventions and outcomes, placing special emphasis on the effects on the livelihoods of the local people involved.

Specific project outcomes will include the sustainable management of community forests covering ~200ha thereby safeguarding habitats for rare and endangered species including the Great Pied and the Malabar Pied Hornbills (*Buceros bicornis* and *Anthracoceros coronatus*), which required old growth trees of *Antiaris toxicaria*, *Strychnos nux-vomica*, and *Terminalia bellirica* and *Terminalia chebula* for nesting and feeding.

The pilot agroforestry plots will not only serve as the basis for an alternative livelihood and a sustainable land use strategy, but will also contribute to the restoration of biodiversity on fallow lands within the socio-ecological landscapes. Approximately 10 tree species native to the forests of the region with a potential of providing commercial and sustainable non-timber forest produce (NTFP) will be selected for the agro-forestry plots and raised in the community managed nurseries.

The project will be overseen by the two Directors (Prof. MacMillan, UK and Dr. Godbole, India) and managed on a daily basis by the Project Officers (Dr. Bride, UK and Mr. Punde, India), with Pukka Herbs providing general consultancy advice, the GACP training, advice on the design

and operation of the local first stage collection/processing (drying) facilities (LC/PF), set up the pilot supply chain, implement the FairWild certification scheme, and market the products.

14. Outcome

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

(Max 250 words)

What will change?

A socio-ecologically and commercially sustainable development approach that uses socio-ecological landscapes as a model, will facilitate integrated management of land, water and living resources and the promotion of conservation and sustainable use in an equitable way. This will help achieve a balance between the three CBD objectives: the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of the benefits arising out of its utilization.

Who will benefit?

AERF has established a partnership with Pukka Herbs (based in the UK), initially focusing on the fruit of two species (Haritaki and Bibhitaki) to maximise benefits to those poorest in the supply chain, the collector villagers. Pukka will buy low volumes the fruit as FairWild-certified products and provide an attractive compensation package to the local communities, including a percentage of the total transaction costs specifically for community development. The project aims to increase both quantity and commercial value of the crop, and by significantly increasing income to those at the front end of the supply chain, directly incentivise villagers to protect the biodiversity. Also, in addition to developing the pilot agroforestry plots as the basis for an alternative livelihood strategy, AERF is also working toward developing a field training centre at one of its long-term project sites adjacent to a large sacred grove. Here, regular training of stakeholders and project partners will be undertaken, which will further help to ensure the sustainability and legacy of this project.

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

This is a new initiative, but it is one which significantly draws upon DICE's expertise and experience, together with AERF's previous projects under the key themes of:

Community, Climate Change and Conservation. AERF has developed mechanisms of adaptations among the communities who are at the frontline. It has been generating awareness about climate change by designing and testing new livelihood options in response to changing climatic conditions. AERF seeks to build resilience within the ecosystems as well as among local communities to prepare the landscapes for adaptation

Sacred Groves - relic forest patches traditionally community-protected, where certain NTFPs can be harvested under restrictions e.g. fallen fruit gathered, but picking not allowed, in reverence of a deity. AERF works with local people to: revive community interest in Sacred Groves; induce action towards their protection, management and restoration; design and develop community based programmes to ensure their long term survival.

Business and Biodiversity. In recognising a strong business case for integrating biodiversity considerations into core management systems, AERF has led on several 'Greening Business' projects from the local to the corporate level. These include scheme for corporate sponsorship, green certification, forest and project sponsorship, and the provision of EIAs and management advice.

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

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

15c. Are you applying for funding relating to the proposed project from other sources?

Yes No

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

16. Value for money

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

(Max 250 words)

The project is founded on the considerable knowledge and experience of AERF, which has won the respect of many communities in the Western Ghats. It involves personnel with a deep understanding of the natural resources in question (from the biological, socio-economic, and business perspectives), plus an excellent track record of successful management of community-based research and capacity-building, usually financed on small budgets: DICE also has an impressive track record of executing good-value Darwin Initiative projects. So the projects' path will likely be comparatively smooth and economically efficient, particularly since the amount of existing knowledge, expertise, administrative support and established infrastructure to be contributed constitutes a sizeable and effective in-kind contribution.

In operating the project as a series of carefully monitored feasibility and pilot studies, with poor outcomes driving its design, the project in itself is pursuing a value for money agenda, with a view to developing efficient business models that maximise value. Economies and efficiency will therefore necessarily form part of the project's operational narrative, with constant monitoring and discussion as to how the greatest benefits can be extracted from the resources provided by the Darwin Initiative. For instance, the inclusion of the two Local Collection/Processing Facilities (LCPFs) and equipment, plus GACP training workshops as additional budget items has been identified as an extremely valuable front-end investment that will enable significant enhanced product value (in terms both of quantitative and qualitative parameters) to be gained by the poorest people in the supply chain, the collectors.

17. Ethics

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

(Max 300 words)

The goals of poverty reduction, biodiversity conservation and its sustainable use are the project's fundamental and essential drivers. It is also built around strong host-country leadership by the AERF, which has a proven track record of working in local communities in an ethically sensitive manner. It also includes a core level of participation by members of the communities that will be directly involved. Moreover, the traditional knowledge owned by local communities and cultures lies at the heart of the project knowledge base and this will be respected and utilised where appropriate, alongside the international scientific approaches and methods that form the other main project current.

The rights, privacy, and safety of people involved in the project at all stages is a key foundation of the project - notably in relation to the practical pilot activities and the feasibility study. Free and prior informed consent of partner communities will also be obtained.

AERF and DICE both have considerable experience of running projects of this type and of ensuring that rigorous standards for assessing health and safety risks are applied to all project staff at all times. They are also well versed in maintaining the independence and integrity of the research process. Similarly, Pukka Herbs will ensure that the project activities will comply to FairWild standards, which, amongst other things, include: fair contractual relationship with

collectors; no discrimination; no child labour; fair trade benefits for collector communities; fair labour conditions in collecting and processing companies; maintaining fundamental principles and rights at work; good healthy working conditions; fair pricing and fair trade premiums paid to source; avoiding monopoly supply chains; and, respect for customary rights.

The project has been reviewed by and obtained the full approval of the School of Anthropology and Conservation Research Ethics Committee.

PATHWAY TO IMPACT

18. Legacy

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

(Max 300 words)

Medium to long-term benefits are: the enhancement and spread of sustainable bio-diverse habitats largely comprised of native/endemic flora and fauna, and new/improved agricultural livelihood options enabling communities to maintain food security and cultural links with place whilst building resilience to longer-term climate change impacts. Most key community links are already established by AERF, and they will create new collaborative networks to spread the project at grass roots level. Lack of co-operation by significant numbers of key stakeholders is therefore unlikely. One potential problem is the slow adoption of proven successful practice due to bureaucratic, knowledge-based, and attitudinal barriers amongst regional and national policy makers. The institutional capacity for promulgating the model to other communities in the region will also need addressing. However, these questions are most relevant to project development following initial DI funding support.

The objective of viable agro-forestry model using native/endemic species looks eminently achievable. AERF/Pukka Herbs have developed a sustainable harvesting protocol based on FairWild standard certification, and Sacred Groves, where trade pilot selected species (*T. bellerica* and *T. chebula*) are predominantly found, are central to this initiative. Pukka Herbs have proven demand for these and have agreed an attractive price. By training locals in the proper collection, processing and horticulture of medicinal plants, the permanent legacy prospects look good. As a community-based project with a long term production strategy, the risk of many individuals leaving affecting the project outcomes is nominal. Similarly, the nurseries and experimental plots require significant commitment, including a form of contract, so likelihood of withdrawal is slim (a list of reserve candidates will be maintained). Moreover, legacy is a significant incentive for preserving local biodiversity among local people deriving improved financial returns from sustainable harvesting of the natural resource, ensuing from the improved supply chain and marketing management described in (19) below.

19. Pathway to poverty alleviation

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

(Max 300 words)

The essential focus of the project is achieving a degree of poverty alleviation through the sustainable production and use of Non Timber Forest Products (NTFPs) in such a way as to increase biological diversity. The two species trade pilot should have an immediate positive effect on villagers' incomes through:

- improving harvest quantity by tree netting/ladders
- improving 2nd stage harvest quality by provision of secure, clean drying facilities on-site

(eliminating animal/moisture damage)

- Value added through the Fairwild certification
- Establishment of village co-op buying centres
- Improved cash flow for individual collectors - paid by village co-op upon delivery
- Village co-ops sell harvest centrally to AERF
- AERF wholesales fruit to various processors (for de-stoning & powdering*)
- Processors sell to Pukka Herbs
- Pukka develops overseas markets (beginning with UK) for sale of end products

The above model represents a much more cost-effective and reliable supply chain, with a larger and less volatile market than currently, with higher overall value and more of the value-added processes and income shifted upstream to the individual collectors. In other words, a larger overall 'pie' shared more equitably (*the pilot will also assess feasibility for potentially shifting these value-adding processes forward to the villages in future).

The creation of the nurseries in line with the model already operated by AERF will also create additional employment for some people. In the longer term (after 3+ years) it is anticipated that if the pilot plots prove to be economically viable, then adoption of the model into other regions will significantly boost the economies of many more poor rural communities in the Western Ghats.

The Access and Benefit Sharing mechanism which will be developed through dialogue and collaboration with the stakeholder and communities will be a key element in poverty alleviation. A central pillar of this mechanism will determine the creation of organisations to oversee the ABSM and determine the ownership of and distribution of goods and services, including the cropping and processing facilities.

20. Exit strategy

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

(Max 200 words)

After the DI funding at least two sustainable product lines self-sustaining and fully certified by FairWild will be established, including two self-financing collection/drying facilities, one at each of the two target sites. The possibilities for extending this product range through the sustainable exploitation of other species will also have been researched and documented, providing a basis for further growth in trade, with additional product lines possibly initiated. Through the ABS mechanism agreement the ownership of these facilities etc. will, at the end of the project be transferred to a community based organisation at each site to be set up for this purpose

Similarly, the project nurseries run along lines already proven by AERF elsewhere, will continue to secure benefits well after the project end, having built-in flexible species production mix depending on which plot designs prevail.

With the training, since the skill-sets involved are all essentially of a transferable nature they are more likely to be passed on and endure within the communities. The enterprise culture and confidence and sense of empowerment the project will give local communities to face up to the challenges of globalisation in the 21st century, will also likely endure and encourage future initiatives to prosper.

HIGHLY DESIRABLE

21. Raising awareness of the potential worth of biodiversity

If your project contains an element of communications, knowledge sharing and/or dissemination please provide a description of your intended audience, how you intend to engage them, what the expected products/materials there will be and what you expect to

achieve as a result. For example, are you expecting to directly influence policy in your host country or is your project a community advocacy project to support better management of biodiversity?

(Max 300 words)

The project contains a strong core thread of knowledge sharing and dissemination, and the effects of the educational activities associated with the project should not be underestimated. It is the firm belief of the project team that by integrating core biodiversity conservation messages and understandings throughout the project narrative in all levels of interaction and communication, significant influence can be brought to bear upon the attitudes of many of those people the project engages with. These attitudes will be assessed as part of the research and monitoring methodology.

While the primary audience is local people directly affected by the project, demonstration of the viability of sustainable livelihoods alongside biodiversity conservation and improvement, could, through carefully targeted dissemination (e.g. including peer-reviewed journal articles, conference presentations, websites, newspapers and specialist magazines, as well as local outreach educational activities), provide a multiplatform mechanism by which to raise the awareness of the potential worth of biodiversity across a variety of audiences, from other villages, through state and NGO organisations, to national and international tourists and other consumers. In particular, by acting as a 'showcase' example of good practice, it could convince key national and international policymakers to fund and promote similar schemes in other threatened biodiversity hotspots.

22. Importance of subject focus for this project

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

(Max 250 words)

The commodification and sustainable exploitation of biological resources has been well studied around the world, as has the ecological and biodiversity conservation role provided by sacred groves and their like. Similarly, agroforestry practices have been the subject of a considerable amount of research, though rather less so in the context of landscape restoration objectives. What is relatively novel about this project is that it seeks to bring all these three strands together in an interconnected whole and to thereby generate an approach that can be scaled-up to create an alternative livelihood strategy that generates meaningful biodiversity benefits at a landscape scale. In addition the focus of our work is directly on livelihoods through sustainable management of the ecosystem, rather than seeking to generate income from conservation activities *per se*.

23. Leverage

a) Secured

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

Confirmed:

All stipulated in-kind contributions from DICE staff, the School of Anthropology and Conservation, AERF and Pukka Herbs are secured subject to the project going ahead.

b) Unsecured

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

Date applied for	Donor organisation	Amount	Comments

PROJECT MONITORING AND EVALUATION

MEASURING IMPACT

24. LOGICAL FRAMEWORK

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

Impact

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

(Max 100 words)

To reverse the degradation, restore and improve the value of socio-ecological landscapes in the North-Western Ghats, India, by training and educating local people to understand that preserving and sustainably harvesting natural biodiversity can directly improve their standard of living.

Outcome

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

(Max 100 words)

To increase the capacity of targeted local communities in the North-Western Ghats to adapt to climate change and participate in biodiversity conservation through the improved management of socio-ecological landscapes and the adoption of alternative, ecologically-sound livelihoods based on agroforestry principles and practice coupled with an effective access and benefit sharing mechanism that improves the situation of poor people. To these ends the project will conduct a NTFP feasibility study focussed on Sacred Groves, set up and run a supply chain for two products at two study sites, and seek to establish economically viable nurseries and experimental plots.

Measuring outcomes - indicators

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

Indicator 1	<ul style="list-style-type: none"> Ecological surveys and biodiversity assessment at target sites show increased biodiversity health of sacred groves and community forests within socio-ecological landscapes
Indicator 2	<ul style="list-style-type: none"> New participatory agro-forestry pilot schemes, with collection and marketing of non-timber forest produce by the local community following the FairWild scheme and standards, and a functioning complete product chain for the two pilot species
Indicator 3	<ul style="list-style-type: none"> Significant increase in income for the NTFP collectors and other primary stakeholder participants
Indicator 4	<ul style="list-style-type: none"> Increased knowledge and understanding of traditional adaptive agricultural practices amongst project partners and stakeholders, and increased local stakeholder knowledge and practice of ABS, GACP and basic commercial principles

Verifying outcomes

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

Indicator 1	<ul style="list-style-type: none"> Ecological survey data and reports
Indicator 2	<ul style="list-style-type: none"> Records of the agro-forestry model; business plans and detailed records of collection and sales along complete pilot supply chain; Fairwild certification granted; attendance at and successful completion of agroforestry, GACP and basic commercial principles training workshops
Indicator 3	<ul style="list-style-type: none"> Data on participants' incomes
Indicator 4	<ul style="list-style-type: none"> Attitudinal survey data and communication/educational materials

Outcome risks and important assumptions

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

Assumption 1	AERF will maintain good relations with the local communities and a minimum number of farmers sign up to the pilot schemes
Assumption 2	No major legislative or policy changes in the region and no change in resource tenure
Assumption 3	AERF maintains its good relationships with community leaders who will act as workshop facilitators
Assumption 4	The good working relationship established between AERF, DICE and Pukka Herbs will be maintained
Assumption 5	There are no unforeseen natural disasters or major economic or political changes

Outputs

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

Output 1	The conservation status of the targeted forest sites within the socio-
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	ecological landscape is improved
Output 2	A platform for Access and Benefit sharing (ABS) of traditional knowledge based NRM practices and local biodiversity is created
Output 3	The viability and acceptability of alternative, ecologically-sound, yet commercially-viable, livelihood options are demonstrated
Output 4	A complete and viable supply chain for at least one NTFP is established
Output 5	An enabling environment for scaling-up the project activities is catalysed

Measuring outputs

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

Output 1	
Indicator 1	Existence of co-management plans for community forests
Indicator 2	Increase in number/areas of forests conserved by the community
Indicator 3	Restoration activities in target forests/groves
Indicator 4	Improved community & stakeholder attitudes to sacred groves

Output 2	
Indicator 1	Locally facilitated knowledge-sharing workshops for indigenous communities
Indicator 2	Information archive of Traditional Knowledge-based NRM practices
Indicator 3	Means of disseminating the Traditional Knowledge-based NRM practices
Indicator 4	Community acceptability in developing an ABS mechanism

Output 3	
Indicator 1	Existence and performance of pilot plots
Indicator 2	No. of endemic species planted & no. of saplings established
Indicator 3	Number of farmers signed up to pilot agroforestry scheme
Indicator 4	Raised awareness and interest amongst stakeholders
Indicator 5	Collection of non-timber produce based on protocols and standards

Output 4	
Indicator 1	The existence of the supply chain for one NTFP
Indicator 2	Existence of collection/drying facilities
Indicator 3	Evidence of the successful performance of this supply chain
Indicator 4	FairWild certification awarded

Output 5	
Indicator 1	Training facilities and personnel
Indicator 2	Demand for training from people outside of the project area
Indicator 3	Attendance at project dissemination workshops

Verifying outputs

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

Indicator 1	Social surveys, community reports
Indicator 2	Detailed records of restoration activities
Indicator 3	Baseline pre and post-project surveys
Indicator 4	Stakeholder participation data, meetings held, workshops, w/s reports etc.
Indicator 5	Business feasibility study, potential trade species assessment reports
Indicator 6	FairWild certification documentation
Indicator 7	Nursery logbooks and monitoring records
Indicator 8	Records of visits to demonstrating projects
Indicator 9	Record of demand for documentation and materials and consumption thereof
Indicator 10	Academic and other publications via printed and electronic media

Output risks and important assumptions

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

Assumption 1	No major legislative or policy changes in the region
Assumption 2	No change in resource tenure
Assumption 3	AERF maintains good relationships with community leaders
Assumption 4	There is sufficient consumer demand on supply chain for pilot species
Assumption 5	No major natural disasters
Assumption 6	No major economic or political change

Activities

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

Output 1	
Activity 1.1	Baseline monitoring of target site biodiversity – and subsequent measurement
Activity 1.2	Baseline surveys of community-conserved forests
Activity 1.3	Education and training in forest/grove restoration
Activity 1.4	Design and implementation of pre and post project community and stakeholder attitudinal surveys

Output 2	
Activity 2.1	Organise and deliver knowledge-sharing workshops
Activity 2.2	Research, record and create TK base NRM practice archive
Activity 2.3	Make this archive available through various media - subject to IP considerations and agreement with indigenous people
Activity 2.4	Work with target communities to develop acceptable ABS mechanism
Activity 2.5	Establish community organisation to manage ABS and process infrastructure

Output 3	
Activity 3.1	Work with members of target communities to establish pilot plots
Activity 3.2	Train members of target communities to care for pilot plot species
Activity 3.3	Work closely with farmers to design pilot agroforestry scheme
Activity 3.4	Conduct educational programmes amongst stakeholder groups
Activity 3.5	Collaborate with stakeholder groups to produce NTFP protocols

Output 4	
Activity 4.1	Work closely with Pukka Herbs and target communities to design, create and monitor the pilot supply chains
Activity 4.2	Work closely with Pukka Herbs and target communities to design, build and organise the management of the collection/drying facilities
Activity 4.3	Researching and maintaining a detailed record of the complete length of the pilot supply chain

Output 5	
Activity 5.1	Identifying, bringing together and organising training teams and events
Activity 5.2	Surveying potential training markets and gathering demand data
Activity 5.3	Designing, organising and delivering project dissemination workshops

25. Provide a project implementation timetable that shows the key milestones in project activities. The intended workplan for your project.

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1													
1.1 Baseline and subsequent monitoring of target site biodiversity		X				X				X		X	
1.2 Baseline surveys of community-conserved forests			X				X						
1.3 Education and training in forest/grove restoration				X		X		X					
1.4 Design and implementation of pre and post project community and stakeholder attitudinal surveys		X										X	
Output 2													
2.1 Organise and deliver knowledge-sharing workshops			X	X	X			X	X		X		
2.2 Research, record and create TK base NRM practice archive		X	X	X	X	X	X	X	X	X			
2.3 Make this archive available through various media										X	X	X	X
2.4 Work with target communities to develop ABS mechanism			X	X	X			X		X			
2.5 Establish community organisation to manage ABS and process infrastructure											X	X	X
Output 3													
3.1 Work with members of target communities to establish pilot plots			X	X	X	X	X						
3.2 Train members of target communities to care for pilot plot species			X	X	X	X	X	X	X	X	X		
3.3 Work closely with farmers to design pilot agroforestry scheme							X	X	X	X	X	X	X
3.4 Conduct educational programmes amongst stakeholder groups			X	X	X	X	X	X	X	X			
3.5 Collaborate with stakeholder groups to produce NTFP protocols					X	X	X	X					
Output 4													
4.1 Work closely with Pukka Herbs and target communities to design, create and monitor the pilot supply chains		X	X	X	X	X	X	X	X	X	X	X	X
4.2 Work with Pukka Herbs and target communities to design, build and organise the management of the collection/drying facilities				X	X	X	X	X					
4.3 Research and maintain detailed record of pilot supply chain					X	X	X	X	X	X	X	X	X
Output 5													
5.1 Identify, bring together and organising training teams and events										X	X	X	
5.2 Surveying potential training markets and gathering demand data							X	X	X				
5.3 Designing, organising and delivering project dissemination workshops												X	X

26. Project based monitoring and evaluation

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

(Max 500 words)

Each of the logical indicators will be allocated specific evaluation criteria and measurements which will be recorded during the lifetime of the project, with these records being made available through regular monthly reports to the UK PI via the UK Project Officer from their host country counterparts. All host country measurements and data will be gathered by host country-based project employees using a survey instruments designed in collaboration with the full core project team (UK and India). Some of these measurable indicators, such as the existence, number and size of pilot plots or conserved sacred groves, site visits, workshop trained personnel, nursery establishment, are relatively straightforward to monitor. Similarly the details of the product supply chain in terms of volumes, flows and monetary aspects, such as changes to participants' incomes, will be able to be derived with relative ease from the recorded data, data gathered by project staff on the ground and supplied by Pukka Herbs from further along the supply chain and retail outlets. Others, such as stakeholder attitudes, workshop effectiveness, and qualitative data are more difficult to assess and will require the more careful application of UK expertise. Initial targets for each project element, along with required variable measures, will be mutually agreed by the partners and revised accordingly as the project unfolds, with the host country PI, field workers and admin support receiving training in the application of the evaluation framework, the survey instruments and the use of recording sheets and electronic archiving, and with the project teams conducting a joint review every six months in order to ensure project progress and that the appropriate dispersal of the project resources is taking place.

The annual project visit by two of the UK partner team members will, where possible, coincide with project workshops. It will be directed at an evaluation of these workshops, as well as the overall and detailed project progress and the evidence for this, both that to be found in the field and in document form at the AERF offices.

FUNDING AND BUDGET

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

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

27. Value for Money

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

(max 300 words)

The UK costs have been estimated with a view to minimising the DI contribution consumed in the UK and thereby maximising the amount transferred to the host country. In-kind contributions of time and expertise are to be made by all UK team members except the UK Project Officer. International transport costs have been calculated on the basis of just one project visit for two project team members per year.

The host country costs have been all calculated on the basis of assessments made by the AERF and based upon their considerable knowledge and experience of operating in the region and working with local communities, as well as advice from the Pukka Herbs representative in India.

FCO NOTIFICATIONS

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

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

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

The FCO website notes that there is a threat from terrorism throughout India and that attacks have targeted public places including those visited by foreigners. However, it also points out that over 800,000 foreign nationals visit India each year without problem. The fact that the UK project personnel will spend virtually all their time in the field with their Indian counterparts and in rural areas where there are no records of terrorist activity, will considerably reduce the level of risk.

CERTIFICATION 2013/14

On behalf of the trustees/company* of The University of Kent
(*delete as appropriate)

I apply for a grant of £171,317 in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

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

I enclose CVs for project principals and letters of support. Our most recent audited/independently verified accounts and annual report are also enclosed/can be found at <http://www.kent.ac.uk/finance/about/accounts.html> and <http://www.kent.ac.uk/about/report/review11/index.html>

Name (block capitals)	Ruth Woodger
Position in the organisation	Research Contracts Manager

Signed

See .pdf file

Date:

3rd December 2012

Stage 2 Application - Checklist for submission

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

Once you have answered the questions above, please submit the application, not later than midnight GMT on Monday 3 December 2012 to Darwin-Applications@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**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (eg whether the e-mail is 1 of 2, 2 of 3 etc). You are not required to send a hard copy.

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