



Submit by Tuesday 1 December 2015

**DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 22: 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. Blank cells may render your application ineligible

**ELIGIBILITY****1. Name and address of organisation**

(NB: Notification of results will be by email to the Project Leader in Question 6)

<b>Applicant Organisation Name:</b>	University of Oxford
<b>Address:</b>	Department of Zoology, South Parks Road
<b>City and Postcode:</b>	Oxford, OX1 3PS
<b>Country:</b>	UK
<b>Email:</b>	
<b>Phone:</b>	

**2. Stage 1 reference and Project title**

<b>Stage 1 Ref:</b>	<b>Title (max 10 words):</b> Achieving No Net Loss for communities and biodiversity in Uganda
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**3. Project description (not exceeding 50 words)**

(max 50 words)

This project will support government, NGOs and business to integrate local poverty alleviation, equity and cultural heritage into biodiversity offsets for national economic development. From research on the biggest hydropower/offset in Uganda, it will produce, and support implementation of, local and national policy guidance for Uganda, and generate lessons internationally.

**4. 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.

<b>Country 1:</b> Uganda	<b>Country 2:</b>
<b>Country 3:</b>	<b>Country 4:</b>

**5. Project dates, and budget summary**

<b>Start date:</b> 1/4/16	<b>End date:</b> 31/3/19		<b>Duration:</b> 3 years	
<b>Darwin request</b>	<b>2016/17</b> £97,125	<b>2017/18</b> £100,899	<b>2018/19</b> £101,339	<b>Total request</b> £299,363
<b>Proposed (confirmed &amp; unconfirmed) matched funding as % of total Project cost</b>				24%
<b>Are you applying for DFID or Defra funding?</b> (Note you cannot apply for both)		DFID		

**6. Partners in project. Please provide details of the partners in this project and provide a CV for the individuals listed. You may copy and paste this table if necessary.**

Details	Project Leader	Project Partner 1	Project Partner 2
Surname	Milner-Gulland	Ogwal	Byaruhanga
Forename (s)	E.J.	Sabino Francis	Achilles
Post held	Tasso Leventis Chair in Biodiversity	Natural Resources Management Specialist	Executive Director
Organisation (if different to above)	University of Oxford (OU), UK	Natural Resources Manager (Biodiversity and Rangelands)	Nature Uganda (NU), Uganda
Department	Department of Zoology	n/a	n/a
Telephone			
Email			

Details	Project Partner 3	Project Partner 4	Project Partner 5
Surname	Roe	Bull	Nampindo
Forename (s)	Dilys	Joseph William	Simon
Post held	Principal Researcher and Team Leader (Biodiversity)	Director	Uganda Country Director
Organisation (if different to above)	International Institute of Environment and Development (IIED), UK	Wild Business Ltd., (WB) UK	Wildlife Conservation Society (WCS), Uganda
Department	Natural Resources Group	n/a	n/a
Telephone			
Email			

**7. Has your organisation been awarded a Darwin Initiative award before (for the purposes of this question, being a partner does not count)? If so, please provide details of the most recent awards (up to 6 examples).**

Reference No	Project Leader	Title
20012	David Macdonald	Improving anti-poaching patrol evaluation and design in African rainforests
21009	Yadvinder Malhi	Biodiversity conservation through poverty alleviation: enabling sustainable forestry in Belize
18013	Philip Riordan	Building capacity for wild felid conservation in China
EIDPO038	Claudio Sillero-Zubiri	High Andes conservation without borders
17031	Andrew Loveridge	Ecological sustainability of leopard trophy hunting in Zimbabwe
EIDPO021	David Macdonald	Implementing an otter action plan for marine environments of Tierra del Fuego, Patagonia

**8a. If you answered 'NO' to Question 7 please complete Question 8a, b and c.**

**If you answered 'YES', please go to Question 9 (and delete the boxes for Q8a, 8b and 8c)**

**9. 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><b>Lead institution and website:</b></p> <p>University of Oxford (OU)</p> <p>Department of Zoology</p> <p><a href="http://www.ox.ac.uk">http://www.ox.ac.uk</a> <a href="http://www.iccs.org.uk">www.iccs.org.uk</a></p>	<p><b>Details (including roles and responsibilities and capacity to lead the project): (max 200 words)</b></p> <p><b>E.J. Milner-Gulland's</b> interdisciplinary research focuses on the interface between ecology and human behaviour. Her primary themes are understanding the incentives and attitudes of natural resource users, social-ecological system dynamics and management of natural resource use.</p> <p>E.J. is Research Lead on IIEDs IWT-funded project <a href="#">building capacity for pro-poor responses to wildlife crime in Uganda</a>, which aims to improve understanding of the interactions between wildlife crime and poverty. She was Scientific Advisor to IIED's Darwin-funded project based at Bwindi National Park, Uganda, researching the <a href="#">impacts of conservation on poor people's livelihoods</a>. Her research also includes understanding wellbeing impacts of conservation interventions on local people (ESRC/DFID) and working with industry to improve corporate biodiversity performance.</p> <p>As <b>Project Leader</b>, E.J. will coordinate and oversee delivery of the project outputs to time and budget. E.J. will bring her expertise in natural and social sciences and statistical modelling to the project. She will provide technical support and guidance to the research elements in particular, ensuring robustness and credibility. Researcher <b>Victoria Griffiths</b> will lead the analysis of the social impacts of the hydro-power/offsets project. E.J. has led the development of this proposal, in collaboration with the other partners.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>N/A</p>

<p><b>Partner Name and website where available:</b></p> <p>National Environment Management Authority (NEMA)</p> <p><a href="http://www.nemaug.org">www.nemaug.org</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>NEMA is the principal agency in Uganda responsible for environmental management. NEMA aims to promote and ensure sound environmental practices for sustainable development and is responsible for approving all Environmental and Social Impact Assessments (ESIAs) for potential development projects. NEMA identified the Bujagali and Isimba Hydropower Projects as developments of significant economic importance in Uganda and would welcome support with the implementation of the associated Kalagala Offset.</p> <p><b>Francis Ogwal</b> has been working at NEMA for 12 years and is currently its Natural Resources Manager (Biodiversity and Rangelands). As NEMA's lead for this project, Francis will support the development and implementation of the research, review project documents and coordinate the capacity building component. NEMA will organise in-country workshops, and be responsible for production, implementation and dissemination of the new national guidelines. Francis will be responsible for sharing the research findings with key decision-makers within NEMA and nationally, through already established mechanisms including the Clearing House Mechanism. Francis will also assist with obtaining existing data (both biological and social) on the Kalagala Offset and Bujagali and Isimba Hydropower Projects. As <b>Host Country Lead</b>, NEMA will provide institutional support and backing for the project. Francis has provided technical input on the project proposal.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p><b>Partner Name and website where available:</b></p> <p>Nature Uganda (NU)</p> <p><a href="http://natureuganda.org">http://natureuganda.org</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>NU's goal is to contribute to biodiversity conservation and sustainable natural resource management at national and international levels. NU lead Uganda's NGO sector in biodiversity research and conservation, and developing capacity for biodiversity offsetting. <b>Achilles Byaruhanga</b> has been working for NU for 17 years and, as Executive Director of NU, will provide on-going support for the project. <b>Dianah Nalwanga</b>, NU's Research and Monitoring Coordinator, will lead the biodiversity monitoring component of the project, based on her wide experience in research on agro-biodiversity.</p> <p>NU will lead the ecological component of the research, undertaking follow-up surveys of the Kalagala offset using the same methodologies used in the <a href="#">ESIA for the Bujagali Hydropower Project</a>, in order to understand changes in biodiversity over the project period, as well as the potential impacts on ecological features from the planned Isimba Hydropower Project. NU will collaborate with Makerere University researchers and assist with obtaining all outstanding information (both ecological and social) on the Kalagala Offset and Bujagali and Isimba projects, including post-construction monitoring data from Bujagali. Furthermore, NU will support development and implementation of the capacity building component, and lead the dissemination of project results to local people. Achilles provided technical support for the proposal development.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p><b>Partner Name and website where available:</b></p> <p>International Institute of Environment and Development (IIED)</p> <p><a href="http://www.iied.org">www.iied.org</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>IIED is an international policy-research institute working with partners at the grass-roots, national and international level, for a more sustainable and equitable world. Its collaborative approach enables IIED to link local development priorities to national and international policy making.</p> <p><b>Dilys Roe</b> leads IIED's Biodiversity Team, is currently project leader for an <a href="#">IWT-funded project</a> in Uganda and coordinates <a href="#">IIED's Poverty and Conservation Learning Group</a>. Dilys will provide technical support and guidance, assist with capacity building, review project outputs and lead on disseminating the project findings internationally.</p> <p>IIED will contract <b>Julia Baker</b> as <b>Technical Lead</b> based on a successful similar arrangement for a previous <a href="#">Darwin project</a> and the <a href="#">IWT-funded project</a> on which EJMG also collaborates. Julia will work with Oxford University on the research design and practicalities of fieldwork, ensuring that this project benefits from the knowledge and lessons learnt from IIED's other Ugandan projects. Julia will also support NEMA to implement the research recommendations and coordinate the business engagement aspects.</p> <p>Dilys and Julia provided technical and editorial input into the proposal. Dilys discussed ideas for this project with NEMA and NU during several visits to Uganda. NEMA and NU have partnered with IIED previously.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p><b>Partner Name and website where available:</b></p> <p>Wild Business Ltd</p> <p><a href="http://www.wildbusiness.org">www.wildbusiness.org</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>Wild Business is a specialist, science-led consultancy that helps businesses understand and act upon the risks and opportunities associated with nature. The company offers a range of <a href="#">services</a>, including the development and implementation of No Net Loss or Net Positive Impact strategies and policies for business and government.</p> <p>Wild Business currently collaborates with E.J Milner-Gulland on a NERC-funded knowledge exchange programme, focusing on <a href="#">business and biodiversity challenges</a>, in partnership with several large private sector organisations. This includes translating research on No Net Loss and biodiversity offsets into practice. In addition, Wild Business has previously advised other Governments (including Uzbekistan and the UK) on the development of national biodiversity offset policy.</p> <p><b>Joseph Bull</b> is the Director and co-founder of Wild Business, and their technical lead on No Net Loss. He has <a href="#">published extensively</a> on No Net Loss, and particularly biodiversity offsetting. Joe will work closely with project researcher Victoria Griffiths, providing technical guidance based upon extensive international experience working with No Net Loss policies and projects (including Uganda). He will also provide advice to NU on biodiversity data collection and analysis, especially on ensuring research outcomes are relevant to biodiversity offset implementation. Joe provided technical input into this proposal.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p><b>Partner Name and website where available:</b></p> <p>Wildlife Conservation Society (WCS) Uganda</p> <p><a href="http://uganda.wcs.org">http://uganda.wcs.org</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>WCS saves wildlife and wild places worldwide through science, conservation action, education and inspiring people to value nature. WCS was established in 1895 and has been supporting conservation in Uganda since 1957. Since 2000, WCS has had a permanent presence in Uganda, undertaking research, supporting protected area management, and working to reduce people-park conflicts by improving livelihoods, including as in-country lead for IIED's Darwin/IWT projects.</p> <p><b>Simon Nampindo</b> has been managing WCS Uganda's country programme for 11 years and has been WCS Country Director since 2014. Simon will lead WCS's involvement and provide technical guidance and support based on his extensive knowledge of ecosystem services valuation and ecological modelling.</p> <p>WCS's technical lead will be <b>Sarah Prinsloo</b>. Sarah has been working for WCS for six years managing WCS's extractive industries programme in Uganda, including training Ugandans in best practice management of oil and gas exploration and production. Sarah will assist with the technical and capacity building components, and engage particularly with the dissemination of the project findings and resulting guidelines, and bringing results into national-level policy. She will ensure synergies between this project and WCS's work on offsetting in Uganda. Sarah and Simon have provided technical input for the proposal.</p>
Have you included a Letter of Support from this institution?	Yes

### 10. Key Project personnel

Please identify the key project personnel on this project, their role and what % of their time they will be working on the project. Please provide 1 page CVs for these staff, or a 1 page job description or Terms of Reference for roles yet to be filled. Please include more rows where necessary.

Name (First name, surname)	Role	Organisation	% time on project	1 page CV or job description attached?
Victoria Griffiths	Project Researcher	Oxford	100%	Yes
Sarah Prinsloo	Policy advisor	WCS	13%	Yes
Dr Julia Baker	Technical Lead	IIED	20%	Yes
Dr Dianah Nalwanga	Biodiversity monitoring lead	NU	20%	Yes

### 11. Problem the project is trying to address

Please describe the problem your project is trying to address in terms of biodiversity and (essential for DFID projects) its relationship with poverty. For example, what are the drivers of loss of biodiversity that the project will attempt to address? Why are they relevant, for whom? How did you identify these problems?

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 300 words)

Governments, financial institutions and businesses worldwide are adopting No Net Loss (NNL) targets for biodiversity, and using offsetting to achieve this as part of the mitigation hierarchy. The CBD [highlighted](#) how offsets can help Parties to achieve conservation goals. The technical challenges of NNL are widely explored from an ecological perspective within [academic literature](#). However, while international guidance calls for offsets [not to make local people worse off](#), there is a fundamental lack of understanding of how to achieve NNL with regard to people's use of, and cultural values for, biodiversity, and the social, economic and ecological trade-offs involved. This is a major challenge for countries where poor people depend on natural resources, where poorly planned offsets can exacerbate local poverty, and where impacts vary by gender and livelihood.

Uganda is adopting biodiversity offsetting to balance development with the resultant biodiversity loss. But the national importance of developments can over-shadow their significant costs to poor people, and Uganda and other nations must address issues of human rights, livelihoods and wellbeing of the individuals, households and communities affected by both developments and offsetting.

The World Bank-funded [Bujagali Hydropower Project](#) (BHP) was completed in 2012, with a [sustainable management plan](#) for its offset (Kalagala) to address biodiversity and human impacts. The Isimba Hydropower Project (IHP) is being constructed downstream of BHP (planned completion in 2018). An Environmental and Social Impact Assessment of IHP and its effects on the Kalagala Offset is [now being undertaken](#). The area has high cultural, livelihood and biodiversity value. NEMA, the responsible Government agency, and NU, a leading conservation NGO, have identified an urgent need to understand [how the Isimba project may affect the Kalagala offset](#) while they can influence its implementation, and for general guidance on monitoring and mitigating social and ecological impacts of offsetting in Uganda.

## 12. Biodiversity Conventions, Treaties and Agreements

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

<b>Convention On Biological Diversity (CBD)</b>	Yes
<b>Nagoya Protocol on Access and Benefit Sharing (ABS)</b>	No
<b>International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)</b>	No
<b>Convention on International Trade in Endangered Species (CITES)</b>	No

### 12b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the convention(s), treaties and agreements 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)

Objective 4.4 of the CBD's Strategic Plan acknowledges the important role of the private sector in implementing the Convention's objectives. At the 8<sup>th</sup> CoP, Parties discussed ["engagement with the private sector"](#) and identified the need for new tools including "mechanisms for biodiversity offsets"; also that "contributions from business and industry towards the implementation of the Convention could be facilitated by... guidance for potential biodiversity offsets".

At the 10<sup>th</sup> CoP, [Decision X/3](#) "Strategy for resource mobilization" was adopted. It reaffirmed the commitment of Parties to meet obligations in [Article 20 'Financial Resources'](#); highlighted the need for Parties to develop national funding plans to implement the CBD Strategic Plan and

its Aichi targets and, when doing so, “explore new and innovative financial mechanisms” including “biodiversity offset mechanisms where relevant and appropriate” ([Objective 4.2](#)). This project contributes towards this objective and complements [CBD’s existing guidance on offsetting](#). It contributes to Aichi Strategic Goal A [Target 4](#), and its objective on “strengthening partnerships among companies and industry associations, civil society and government agencies, in an accountable and transparent manner, to promote sustainable practices that address biodiversity”. The project also contributes towards the [Sustainable Development Goals](#), particularly Goal 15 to halt loss of biodiversity.

**12c. Is any liaison proposed with the CBD/ABS/ITPGRFA/CITES focal point in the host country?**

**Yes**  **No**      **if yes, please give details:**

NEMA is the focal point in Uganda for the CBD and is the lead in-country partner on this project. **Francis Ogwal**, who leads the NEMA team for this project, is the [focal point](#) for the CBD in Uganda. Therefore the Uganda CBD focal point will be working closely with all other project partners throughout the project.

NEMA has responded to Decision X/3 of the CBD by producing ‘[Guidelines and Action Plan for Financing Biodiversity Conservation in Uganda](#)’ (NEMA, 2014). These guidelines define Uganda’s 2014-2020 strategy for resource mobilization towards biodiversity conservation, which includes biodiversity offsets for large-scale development, with both the Uganda Wildlife Authority and NEMA identifying offsets as an EIA option for developers. The guidelines contain an Action Plan for impact assessments to allow use of biodiversity offsets to implement biodiversity conservation in Uganda. This project will support this current work by NEMA, as well as helping to overcome the challenges they face to implementation of offsets.

**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 – this may be a repeat from Stage 1, but you may update or refine as necessary. Tracked changes are **not** required.)

We will act at site, national and international levels to improve the socio-economic and conservation outcomes of biodiversity offsetting:

**Site:** Assessing whether the social and ecological mitigation planned in the Bujagali Hydropower Project (BHP) 2006 [Environmental and Social Impact Assessment](#) (ESIA) has been implemented effectively; Assessing the expected social and ecological impacts of the Isimba Hydropower Project (IHP); Making recommendations to the Ugandan government on social and biodiversity NNL for the area.

Locally perceived impacts of the development and offset on wellbeing will be explored using methodologies developed in [previous projects](#), replicating the ESIA where possible to provide before-after comparisons. Household surveys, focus groups and key informant interviews will be conducted to gather local views, disaggregated by gender and livelihood, on: i) perceived costs and benefits from BHP and the Kalagala Offset (KO), including loss of livelihood opportunities and tourism benefits; ii) loss of access to natural resources, including whether the preserved spiritual site at KO compensates for the lost Bujagali Falls spiritual site; and iii) views on appropriate offset activities for IHP, elicited using Choice Experiments and Scenario Analyses.

Our ecological research will focus on the key impacts of BHP identified in its ESIA: loss of farmland and forest and associated species; increased soil erosion; fish stock depletion. We will assess whether the mitigation prescribed in the ESIA has been implemented and its likely effectiveness. For example, riparian tree planting should have occurred using native species,

with the aim of restoring biodiversity. We will visit sites designated in the ESIA for development and offsetting, and survey tree species composition, forest cover, local resource use and presence of indicator species (birds, culturally important plants). Where appropriate we will use comparable methods to the ESIA.

**National:** Supporting Uganda in developing policy and legislative frameworks and best practice guidelines for offsetting:

NEMA and NU's active involvement in site-level research will build their capacity for designing and implementing effective, socially fair biodiversity offsets. By engaging business (including Tullow and Total) in national forums, NEMA and NU will develop long-term collaborative partnerships with developers. Based on our site-level results and international experience, we will draw up and consult on new national guidelines.

**International:** Drawing general lessons for wider dissemination:

In collaboration with [BBOP](#) (a partnership of business and biodiversity organisations) we will produce case study-based policy briefs, workshops and guidelines for best practice in NNL, including social impacts.

An Advisory Committee will oversee the project: [Kerry Ten Kate](#) (BBOP); [Mark Infield](#) (cultural values expert, Uganda); [Panta Kasoma](#) (Convenor, [U-PCLG](#)), Paul Mafabi (Director of Environmental Affairs, [Ministry of Water and Environment](#)), Derek Pomeroy ([Makerere University](#)). They will monitor progress, provide technical input and help disseminate lessons learnt.

OU will lead the research and coordinate the project. NEMA will lead in-country workshops, capacity building and the production, dissemination and implementation of national guidelines, supported by WCS. NU will be the in-country ecological research lead and facilitate links to NGOs. IIED and WB will draw out international lessons and support collaboration with business nationally and internationally.

#### 14. Change Expected

Detail the expected changes this work will deliver. You should identify what will change and who will benefit a) in the short-term and b) in the long-term.

- If you are applying for Defra funding this should specifically focus on the changes expected for biodiversity conservation and its sustainable use.
- If you are applying for DFID funding you should in addition refer to how the project will contribute to reducing poverty. Q15 provides more space for elaboration on this.

(Max 300 words)

Uganda's EIA process involves consultations with local communities to identify community concerns, potential impacts of the proposed project and mitigation measures. If necessary, the investor then develops a Resettlement and Compensation Action Plan. Worldwide, this process is often dominated by local elites, with marginalised voices left unheard. At site level, therefore, vulnerable groups (women, the poor, youth, ethnically marginalized, natural resource-dependent households) will benefit from our research and recommendations to government for improving the Kalagala and Isimba SMPs. Our research on the effectiveness of ecological mitigation of BHP will increase the potential for positive conservation outcomes here, and in future developments.

Nationally, NEMA will have substantially improved capacity to evaluate ESIA's from biodiversity and social perspectives, ensure that the priorities and concerns of all community members are incorporated, understand what NNL of biodiversity means for local people and apply this to achieve Uganda's CBD and SDG commitments. Based on our guidelines, ESIA practitioners will be better able to design offsets based on social equity, balancing trade-offs between biodiversity and social outcomes. Local people will benefit from offsets that support poverty alleviation and conserve biodiversity.

With the current surge of major development in Uganda, this project will initiate a step-change towards a collaborative approach between government, business and NGOs, with NGOs empowered and capable of articulating social and ecological trade-offs of offsetting at local and national scales.

Internationally, [investors have committed to Net Positive](#) despite a lack of understanding of how major development can benefit local people in the long-term. This project will enable a more nuanced understanding of the true costs and benefits for local people from nationally-important development, with Governments, NGOs, academia and business able to identify and implement approaches that integrate social gains with NNL of biodiversity. This will have on-going benefits for poor people and biodiversity worldwide.

### 15. Pathway to poverty alleviation – ESSENTIAL FOR DFID PROJECTS, OPTIONAL FOR DEFRA PROJECTS

Please describe how your project will benefit poor people living in low-income countries. Give details of who will benefit and the number of beneficiaries expected to be impacted by your project. The number of communities is insufficient detail – number of households should be the largest unit used. If possible, indicate the number of women who will be impacted.

(Max 300 words)

Despite significant population growth, Uganda has [reduced the number of people living in poverty](#). But >63% of the population is poor or vulnerable to poverty, and the gap between the richest and poorest has increased. In order for nationally-important development projects not to exacerbate local poverty, there is a need to focus on social equity and protecting the natural resources that vulnerable groups depend on.

This project has the potential to benefit 8,700 people affected by the BHP, 37,000 people affected by the KO, and 2,700 people potentially affected by the IHP. Our focus on vulnerable and marginalised groups means a particular emphasis on benefits for women and natural-resource dependent households.

The KO [Sustainable Management Plan](#) (SMP) considers the sharing of costs and benefits of BHP between districts and communities. Our project will take this further, supporting the Ugandan government to ensure that local people are no worse off because of the KO. Specifically we will highlight imbalances between costs and benefits of the development and offset between groups (e.g. women versus men; different livelihood strategies and resource-user groups; poorer versus better off), and between geographical areas. This will enable policy-makers and practitioners to work towards a more socially just balance of development/offset impacts.

Several community development initiatives were proposed in the KO SMP, including: employment, education facilities, road infrastructure, health facilities, income-generating activities, participation in tourism development and management of Central Forest Reserves. We will evaluate the impact of these initiatives on vulnerable groups, providing advice to government institutions involved in offset implementation, which will enable them to rebalance their activities where needed (see letter of support). We will involve women and other vulnerable groups actively in our research, with targeted focus groups and discussion forums, to ensure that their views are heard and acted upon.

### 16. 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)

At project end, NEMA and NU will have an improved understanding of how to achieve NNL through biodiversity offsetting, and be better equipped to design, implement, monitor and

evaluate offsets. The capacity-building, training and one-to-one support for Ugandan nationals will develop their capabilities to advance both their careers and Ugandan conservation. We will use train-the-trainer methods to buffer against single individuals leaving post-training.

During this project, NEMA and NU will establish a new 'Business and Biodiversity Forum' with major industrial sectors in Uganda (e.g. oil, electricity generation, agriculture). This will continue the collaborative partnerships established by this project, enabling government, NGOs and businesses to work together on No Net Loss biodiversity goals for development, which better account for local people's needs and priorities. It will also support NEMA's 2014-2020 strategy for [financing biodiversity conservation in Uganda](#). Related to this, WCS-Uganda (with USAID funding) is exploring sustainable financing through a Biodiversity Trust Fund, which could channel funding for future offsets.

Internationally our guidelines and case-study framework will provide the basis for future improvement of best practice in social and ecological NNL, helping businesses and governments to mitigate ecological and social impacts from development on an equitable basis, in Uganda and elsewhere.

### 17a. Harmonisation

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

The project is a new initiative founded on strong existing collaborations. IIED (Dilys Roe, Julia Baker) and EJMG have worked in Uganda, with NEMA, WCS-Uganda and other partners for several years. This project was conceived by EJMG following a meeting with the Uganda Poverty and Conservation Learning Group, linked to a [Darwin project](#), where Nature Uganda identified a need for guidelines on incorporating conservation and social impacts into biodiversity offset decision-making. NEMA is establishing a biodiversity offset process for Uganda, and NU and Makerere have worked extensively together on conservation research. Therefore the project is a natural extension of existing collaborations into new areas of national concern within Uganda.

Internationally, Joe Bull worked with EJMG for his PhD on biodiversity offsetting. The academic thinking behind this project came from this collaboration, which Joe is continuing in his [work](#). Julia's UK-based work involves [supporting businesses](#) to deliver NNL and Net Gain for which [BBOP](#) is a 'Critical Friend'. The three collaborated to engage multinational businesses in improving delivery and monitoring of corporate biodiversity targets, linking to international policy. Victoria has been working with EJMG, Joe and Julia for the past year, reviewing [current understanding](#) of the social impacts of biodiversity offsetting.

### 17b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work? **Yes**

If yes, please give details explaining similarities and differences 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.

Social impacts of biodiversity offsetting have been discussed in the international policy arena and good practice guidelines, such as [those produced by BBOP](#), do take social impacts into account to some extent. At present, however, most of this work is theoretical and there is very limited real-world knowledge on how to quantify and mitigate the social impacts of biodiversity offsetting, particularly for vulnerable groups. This is a gap that this project will fill.

WCS, a project partner, together with Biotope (the leading biodiversity consultancy in France) and BBOP-Forest Trends (led by Advisory Committee member Kerry Ten Kate) have recently received funding from the French Government to contribute to the design and implementation of mechanisms to compensate for the impacts to biodiversity and ecosystems in order to achieve NNL of biodiversity. They are planning to work in four African countries, one being Uganda. WCS is the lead partner for the project in Uganda.

Their work is focussed on establishing and implementing effective mechanisms to compensate

for impacts to biodiversity and ecosystems, in order to achieve NNL of biodiversity and generate additional funds for conservation. Project activities include:

- (i) Assisting government to identify, analyse and introduce the most appropriate policy guidelines to encourage investment in development projects that result in no net loss or a net gain of biodiversity;
- (ii) Preparation for the implementation of no net loss principles by identifying and supporting national spatial planning processes, collection and analysis of data, and the design of metrics and exchange rules adapted to specific contexts;
- (iii) Awareness creation of offset principles and approaches in companies implementing projects with strong environmental impacts, and working with those already involved in applying the mitigation hierarchy to build lessons from their experiences and assess their success in achieving no net loss;
- (iv) Development of financial mechanisms for compensation, particularly those linked with conservation trust funds, to secure sustainable financing for conservation (including protected areas) and to strengthen institutional capacity for management of offsets over the long term;
- (v) Capacity building among institutions and organizations involved in EIA, and sharing of lessons learned from African and global compensation/offset experiences to ensure the adoption and effective implementation of best practices.

With WCS as a partner, and BBOP-Forest Trends represented on the Advisory Committee, this project will be well integrated with the broader aims of the WCS/Biotope/Forest Trends project. Our collaboration will ensure that the detailed lessons learnt from the Bujagali/Kalagala/Isimba study site will inform national and global policy advice emanating from the WCS-led project. Our work on improving national guidelines will feed into, and be co-financed by, the WCS project.

## 18. Ethics

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

(Max 300 words)

All research protocols will be approved through Oxford University's Central University Research Ethics Committee, giving independent and challenging scrutiny of our questionnaires, consent procedures, data access and information use. Permissions will be sought through formal national and local channels, including local governments and village leaders. A research permit will be applied for from the Ugandan National Research Council of Science and Technology.

Before each survey, the aims and potential implications of the research will be explained to participants and their consent sought. Participants' privacy will be respected and surveys stopped if a participant wishes. The research will collect personal data of a sensitive nature (e.g. ethnicity, resource use), therefore data protection will be of the highest priority. There will be no disclosure of any data that could place participants at risk of criminal or civil liability and all data will be anonymised, held on a secure server and treated in the strictest confidence.

All project partners will work to ensure research independence, integrity and quality, and to build local capacity. Gender issues will be considered throughout, both in terms of understanding the gender dimensions of the social impacts of biodiversity offsetting, and within the research team (6 of the 10 principals are female).

IIED's statement of principles on research excellence describes how they work with local communities in developing countries, and will be applied to this project to ensure it involves partnership and empowerment, producing results that contribute to positive social and environmental change. Capacity-building and partnership development between UK and host institutions will be fundamental, ensuring that results are relevant to and owned by host country partners. WCS is a founding member of the Conservation Initiative for Human Rights. NEMA will provide advice to ensure that appropriate in-country processes are followed.

## 19. 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)

We aim to influence policy and practice within Uganda and internationally. Target audiences include local communities, government, business and conservation policy-makers at national and international levels. We aim to improve channels of communication between these audiences, helping all sides better to understand the value of biodiversity, social impacts of development and associated offsets, and the opportunities and barriers to realising gains in biodiversity and wellbeing.

Locally, we will engage with rural communities within the Bujagali/Kalagala/Isimba area, with public meetings to explain the research and disseminate findings. We will produce targeted materials in local languages, including leaflets and posters.

Nationally, we will hold one-to-one meetings with key end-users in relevant government departments (including the Ministries of Water and Environment, and Energy and Mineral Development). We will establish a Business and Biodiversity Forum, where decision-makers can network and discuss issues. Policy Briefs, Reports and guidance documents will communicate findings more formally. In year 2 we will hold an engagement workshop to solicit feedback on research findings, and in year 3 a high-profile Launch Event for the new guidelines.

Uganda's Poverty and Conservation Learning Group (U-PCLG), will be a key dissemination channel to the NGO community (the U-PCLG chairman is on our Advisory Committee). We will report progress to U-PCLG on a biannual basis and solicit feedback and ideas. U-PCLG will disseminate findings to their wide network of Ugandan NGOs.

Internationally, we will publish a Project Report and blogs on the IIED website. We will disseminate through partners' extensive international networks. A UK-based workshop will reach out to an international business and policy audience. Papers, conference presentations and online media will widen the audience further.

## 20. Capacity building

If your project will support capacity building at institutional or individual levels, please provide details of what form this will take and how this capacity will be secured for the future.

(Max 300 words)

In-country capacity at the individual and organisational level will be built through: one-to-one mentoring during the research; training for NEMA employees; student research internships; national-level best practice guidance.

At the individual level, partner organisations will identify junior staff who would benefit from working alongside more experienced colleagues on the project, gaining hands-on experience with individual mentoring and support. Individuals will be identified who would benefit from spending time at Oxford within an academic environment and be supported financially by Oxford to do this.

In year 3, NEMA will implement targeted training in areas of particular need. NEMA has identified ecosystem service valuation; quantifying NNL; and understanding local relationships to biodiversity as particularly important areas. Further areas of need are expected to emerge during the project. Experts from the project team and Advisory Committee will deliver the training. Five employees will be trained, who will then provide training to the wider NEMA staff.

Advisory Committee member Derek Pomeroy runs an MSc in Biodiversity Conservation at Makerere University. Students from this course will be funded to carry out their research dissertations as part of our project, working alongside NU on the ecological monitoring and OU on social impact assessment. They will gain from engagement in an international research project and exposure to topical issue for Uganda. This will assist with building the capacity of

the next generation of conservation scientists in Uganda.

The project will build the institutional capacity of the Ugandan government to follow best practice in the design and implementation of future developments and associated offsets. Involvement in project activities, workshops and consultations will particularly support NEMA and the Ministry of Water and the Environment, who monitor and implement offsets respectively. Dissemination and event/workshop invitations will include EIA practitioners and developers, as the ultimate end users of our guidance documents.

## 21. Access to project information

Please describe the project's open access plan and detail any specific costs you are seeking from Darwin to fund this.

(Max 250 words)

We will ensure that all appropriate outputs from the project are accessible to all target audiences and interested parties in appropriate formats.

Appropriately anonymised datasets will be made available to researchers and implementers on a case-by-case basis, following the principles of FPIC and confidentiality, and on signature of an MOU between Oxford, NU, any other owners of the intellectual property, and the interested party. No potentially identifying information will be attached to individual records.

All project reports, guidance manuals and policy briefing papers will be placed online at partners' websites and at dedicated project webpages hosted by OU and IIED. All documents will be stored in the BBOP online library and made freely available on their website. We request £2,500 for IIED to produce an ISBN-numbered project report in year 3, including hard copy printing and online archiving.

We have included a budget for Open Access journal publications at OU to ensure that all scientific publications arising from this project are published as Gold Open Access (ie with free access to all readers from initial publication).

We will produce a simple leaflet explaining the project's findings in local languages and distribute this to village leaders and project participants in our case study sites. Nature Uganda has a £3000 budget in year 2 for local dissemination which covers this.

We will print copies of our new National Level guidelines, to be made available at the Launch Event.

## 22. Match funding (co-finance)

### 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:

Oxford University will contribute E.J. Milner-Gulland's time and waive indirect costs. WSP-Parsons Brinckerhoff will contribute £XX towards the cost of Julia Baker's time. NEMA will contribute meeting space for the project.

WCS will contribute £XXX towards the project, covering Simon Nampindo and Sarah Prinsloo's time, publication of the National Guidelines, their team's travel costs to attend project meetings and in addition will share information regarding techniques, protocols, lessons learned and other relevant information that will help further the objectives of this project.

Advisory Committee members' travel costs to annual meetings will be covered by the project, but they will donate their time to the project

### 22b) Unsecured - None

### 22c) None .



## PROJECT MONITORING AND EVALUATION

### MEASURING IMPACT

#### 23. 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.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p><b>Impact:</b> Local people's use and cultural values for biodiversity are embodied within 'no net loss' development goals, with biodiversity offsetting supporting both conservation and poverty alleviation at local and national levels. (Max 30 words)</p>			
<p><b>Outcome:</b> (Max 30 words)</p> <p>Government, developers and NGOs work collaboratively on 'no net loss' biodiversity offsets that genuinely reflect local people's needs and values, support poverty alleviation in the long-term and are implemented equitably.</p>	<p>0.1 8,700 people affected by the Bujagali Hydropower Project, 37,000 people affected by the Kalagala Offset, and 2,700 people potentially affected by the Isimba Hydropower project have the actual or potential impacts of these projects on their wellbeing better taken into account in sustainable management plans (by end Y3).</p> <p>0.2 Improved biodiversity conservation outcomes of Kalagala Offset, and reduced biodiversity impacts of Isimba Hydropower Project, with livelihood and cultural values of biodiversity for different groups (particularly of vulnerable groups including women) taken into account, based on an evaluation of impacts to date (by end Y3).</p> <p>0.3 Best practice guidelines for incorporating social impacts into biodiversity offsets are adopted by industry and government in Uganda and internationally, leading to commitment to embed guidelines into operations from at</p>	<p>0.1 Project start-up meeting report (Y1). Report of Research Workshop (end Y2). At least two peer-reviewed papers and IIED report (end Y3).</p> <p>0.2 Policy briefs with recommendations to inform the review of the Kalagala SMP and preparation of IHP's plan. Records of commitments to change management plans by implementing agencies, based on study results, with implementation timetables (end Y3).</p> <p>0.3 Guidelines and accompanying report published through BBOP (end Y3). Meetings in Kampala and Oxford to disseminate findings and engage business leaders - presentations available online (end Y3). NEMA adopts project recommendations (end Y3). Written commitment by at least 2 international developers to incorporate guidelines into their operations in future (end Y3).</p> <p>0.4 Minutes of NEMA training workshops; evidence of attendance at,</p>	<p>Political and economic stability in Uganda enables the project to be completed [there is no reason currently to think this will be an issue]</p> <p>There is still scope to influence the Isimba Hydropower Project's planning [the Environmental and Social Impact Assessment has been referred for revision, they have not yet started their offset].</p> <p>Government implementing agencies are receptive to our recommendations, and are prepared to change their management plans based on our study [we have a Letter of Support from MoWE expressing a strong interest in the project and willingness to engage, and NEMA is an important player in approving and monitoring offsets within the government]</p> <p>There is scope for poverty alleviation in the project site, through improvements in the Sustainable Management Plans [preliminary discussions with project</p>

	<p>least 2 Ugandan and international businesses and developers (by end Y3)</p> <p>0.4. A network of engaged people, with the capacity and will to improve the biodiversity and local social outcomes of national-level economic developments; belonging to at least 10 organisations within Uganda (government, NGOs, business), by end Y3.</p>	<p>and engagement with Research Workshop and Launch Event by relevant organisations; minutes and attendance records for Business and Biodiversity Forums (Y2 &amp; 3); minutes of U-PCLG meetings (annual); evidence of implementation of project findings in organisations' policies and practice (end Y3).</p>	<p>partners and other stakeholders in Uganda suggest that this is likely]</p> <p>Businesses and NGOs are keen to engage, nationally and internationally [initial meetings with relevant stakeholders at both national and international scales have been very positive]</p>
<p><b>Outputs:</b></p> <p>1. Study completed on the costs and benefits to local people and biodiversity of the Bujagali/Isimba Hydropower Projects and Kalagala Offset captures differentiated local impacts of these projects (end Y2)</p>	<p>1.1. All relevant previous biodiversity and social survey data collated into a spatially explicit database and analysed to assess impacts of projects/offsets, by end Y1.</p> <p>1.2. At least 3 Focus Groups held in each of the 3 sites (of different potentially affected groups), to develop locally appropriate wellbeing measures and explore cultural and social values of biodiversity in the area and effects of projects and offsets (current &amp; potential), by end Y1.</p> <p>1.3 At least 200 local people, stratified by livelihood and wealth, in each of 3 sites, are surveyed to gain perspectives on costs and benefits of projects and offsets, by end Y1.</p> <p>1.4 At least 50 people in each of the 3 sites participate in choice experiments and scenario interviews, to gain views on potential mitigation for social impacts of current and new projects/offsets, by end Y1.</p>	<p>1.1-1.5. Annual reports of the project team to Darwin. Minutes of 6-monthly project meetings and powerpoint presentations made. Presentations to Advisory Committee (annual).</p> <p>1.1, 1.5. Biodiversity database developed (end Y1) and enhanced (end Y2).</p> <p>1.1-1.5: Research Workshop is held in Uganda (end Y2) where the research results are presented by the project team and local people from the case study site to stakeholders (government, NGO and business)</p> <p>1.6. Summary of research findings is published in the local language of the case study site (mid Y2). Meetings held with local leaders to present the research findings (end Y1 and Y2).</p> <p>1.6. By project end, two research papers are published in peer reviewed journals and one IIED research report is published and available to download on the IIED website.</p>	<p>Local people at the case study site are willing to participate in the research [involvement of NU, Makerere University and NEMA and their existing positive relationships with local leaders will support this]</p> <p>Existing biodiversity and social datasets are of a high enough quality for a before-after analysis to be feasible [If not, then inferences on biodiversity and social impacts will be weaker; data on perceived social impact, and biodiversity surveys in control and impact sites, will still give an indication of impact. NEMA has the datasets generated for the ESIA, which will be made available to the team.]</p> <p>Research team is able to build trust in order to gain reliable and truthful information on social impacts. [Our long experience of social research, including 2 previous Darwin/IWT projects in Uganda will help us here]</p>

	<p>1.5. Biodiversity surveys carried out in affected areas to assess ecological mitigation carried out and current biodiversity value, by end of Y2.</p> <p>1.6. Datasets analysed, published and disseminated in appropriate formats and to stakeholders including local leaders, government and business, by end Y2.</p>	<p>1.6. By project end, the research is presented at a minimum of one international conservation conference and at least one international biodiversity offset policy meeting.</p>	
<p>2. The Kalagala Offset Sustainability Management Plan is reviewed, and recommendations made for the Isimba management plan, with a focus on how to ensure NNL of biodiversity and net positive social impacts, based on the findings from Output 1, by end of Y3.</p>	<p>2.1. By early Y3, the Kalagala Offset Sustainability Management Plan is reviewed by the Ministry of Water and Environment (MoWE), with a view to revision based on inputs from the project team.</p> <p>2.2. By early Y3, recommendations for the Isimba offset management plan are submitted to MoWE, including local feedback on preferred offsetting options (based on output 1.3).</p> <p>2.3. Project findings are published in local languages and meetings are held with local leaders to present them and NEMA's new guidelines (end Y2).</p> <p>2.4. By project end, MoWE reports and NEMA site visits demonstrate implementation is taking place (end Y3).</p>	<p>2.1 Document containing approved recommendations for revision of the Sustainability Management Plan for Kalagala, that make explicit the social net positive commitment, and how they will achieve it.</p> <p>2.2. Document containing approved recommendations for a Sustainability Management Plan for Isimba, that make explicit the social net positive commitment, and how they will achieve it.</p> <p>2.3. Minutes of local and national-level meetings, publications in local languages.</p> <p>2.4. Analysis of meetings and reports from NEMA and MoWE in Y3, site visit report from NEMA, minutes of final project meeting.</p>	<p>The Ministry of Water and Environment is receptive to implementing changes to the Kalagala offset management plans based on the research findings [See letter of support]</p> <p>The Isimba offset can be influenced and commitments made will be carried through to implementation [Given the short timespan of the project, there will be limited time in which to see actual outcomes at Isimba based on our findings. However, the onward engagement of NEMA and the Ministry for Water and Environment with local perspectives and biodiversity impacts can be gauged by project end. We are also not in control of the timetable for the Isimba offset (which will be agreed between the World Bank and various Ministries, including NEMA and MoWE), although currently it appears that it will be congruent with the project.]</p>
<p>3. New guidelines on incorporating social costs and benefits into biodiversity offsetting within Uganda and internationally are published and being implemented, by end of Y3</p>	<p>3.1. Draft guidelines for Uganda developed collaboratively by project team and approved at research workshop (end Y2).</p>	<p>3.1. Minutes of research workshop, draft guidelines document posted on project website.</p> <p>3.2. A report of the training for NEMA</p>	<p>NEMA retain their autonomy within Government to publish new guidelines [there is no reason to suppose this will change - NEMA are well respected and consulted within the Ugandan</p>

	<p>3.2. A minimum of 5 NEMA staff are trained with the necessary knowledge and skills to implement the new guidelines, and a minimum of 2 NEMA staff are trained as 'trainers' to continue the training to other / new NEMA staff (by end Y3).</p> <p>3.3 By project end, the new guidelines are published by NEMA, and integrated into the planning for at least two biodiversity offsets in Uganda.</p> <p>3.4. International guidelines published in collaboration with BBOP, by end Y3.</p> <p>3.5. By end Y3, at least 2 international businesses commit to implementing these guidelines within their operations.</p>	<p>staff on the new guidelines posted on the project website.</p> <p>3.3. By project end, the new guidelines are listed on NEMA's website and NEMA hosts an event to formally launch the new guidelines in Kampala.</p> <p>3.3. By project end, Social and Environmental Impact Assessment reports (or equivalent) of a minimum of two biodiversity offsets in Uganda are published that make reference to application of the new guidelines.</p> <p>3.4. Guidelines document on BBOP website and launched at project/BBOP co-hosted international meeting in Oxford.</p> <p>3.5. Public documentation of commitments by businesses concerned on website, or reference to guidelines made in specific offset project documents.</p>	<p>government planning system]</p> <p>NEMA continues its commitment for local people's use and values associated with biodiversity to be fully incorporated into offset decision-making in order to integrate social fairness into the offset process [their full involvement as partners in this project will support this]</p> <p>Biodiversity offset projects in Uganda continue to occur at a level to enable application of the new guidelines within the timeframe of this project, and clients/funders/developers are receptive to applying these guidelines [offsetting at the moment is growing fast as an approach in Uganda, hence the need for the project, and engagement with clients/funders/developers by the project team throughout will help to ensure that they are keen to be involved. We have relationships with Lafarge, Tullow and Total, who are all planning or implementing developments and offsets in Uganda. They will attend our Business and Biodiversity forums and other engagement activities in Uganda, and our UK meeting.]</p> <p>Businesses internationally are interested to engage with issues of social fairness in a proactive way [BBOP involvement will help to build trust, Oxford's team have an ongoing relationship with several thought-leading international businesses on supporting improvement in their biodiversity performance (through a NERC Knowledge Exchange</p>
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		project), who will be targeted for project engagement. Project team members Julia Baker (IIED) and Joe Bull (Wild Business) work in the corporate sector, and have strong links to relevant businesses]
<p><b>Activities</b> (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)</p> <p><b>1. Research on the costs and benefits to local people and biodiversity of the Bujagali/Isimba Hydropower Projects and Kalagala Offset</b></p> <p>1.1 Prepare for and run Project Inception Workshop. Complete and disseminate workshop report.</p> <p>1.2 Existing biodiversity and social survey data collated into a spatially explicit database and analysed to assess baseline conditions and planned mitigation.</p> <p>1.3 Social field surveys: a) Focus groups held at the 3 sites, wellbeing measures developed, cultural and social values of biodiversity in the area explored;. b) Individual surveys to gain perspectives of costs and benefits of developments and offset. c) Choice experiments and scenario interviews for Isimba offset.</p> <p>1.4 Biodiversity field surveys: a) Site visits to assess status of planned ecological mitigation activities at Bujagali and Kalagala; b) Transect surveys of tree planting sites, Central Forest Reserve and agricultural land at Kalagala to assess biodiversity (trees, culturally valuable plants and birds) and signs of human use (tree cutting, snares).</p> <p>1.5. Analysis of datasets for impact evaluation of offset.</p> <p>1.6 Data sets published and disseminated, including conference abstracts and summaries of research findings in local languages.</p> <p>1.7 Six monthly project meetings (alternating in-country and by skype), including preparation and dissemination of minutes.</p> <p>1.8 Research Meeting to present results to stakeholders and gain feedback</p> <p>1.9 Annual reports to the project team at Darwin and annual presentations to the Advisory Committee.</p> <p><b>2. Review of the Kalagala Offset Sustainability Management Plan and Isimba management plan</b></p> <p>2.1 Review the existing Kalagala Offset Sustainable Management Plan and provide recommendations to inform the updating of the plan.</p> <p>2.2 Provide recommendations for the Isimba management plan, including local feedback on preferred offsetting options.</p> <p>2.3 Publish study results in local languages, hold meetings with local leaders to present them with new guidelines.</p> <p>2.4 Analyse meetings and MoWE reports, site visit by NEMA, and report on implementation of recommendations.</p> <p><b>3. New guidelines on incorporating social costs and benefits into biodiversity offsetting</b></p> <p>3.1 Draft guidelines prepared and discussed at project workshop.</p> <p>3.2. Research workshop held to solicit feedback on research results and guidelines from a range of stakeholders.</p> <p>3.3. Training of NEMA staff on the new guidelines and associated technical needs.</p> <p>3.4. Business and Biodiversity Forums held in Kampala.</p> <p>3.5. Publication of new guidelines by NEMA and launch event.</p> <p>3.6. Drafting of new international guidelines and publication by BBOP.</p> <p>3.7. Business engagement workshop in Oxford.</p> <p>3.8. Two international businesses to commit to implementing these new guidelines.</p>		

24. 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 (Q1 starting April 2016)

Activity	No of months	Year 1				Year 2				Year 3				
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
<b>Output 1 Research on the costs and benefits to local people and biodiversity of the Bujagali/Isimba Hydropower Projects and Kalagala Offset</b>														
1.1	Project Inception Workshop.	1	x											
1.2	Collate existing datasets	3	x											
1.3	Social field surveys	8		x	x	x								
1.4	Ecological field surveys	8		x	x	x								
1.5	Analyse datasets, write up	10				x	x	x	x					
1.6	Research published and disseminated	12						x	x	x	x	x	x	x
1.7	Project meetings	1	x			x	x	x	x	x	x	x	x	x
1.8	Research workshop	1								x				
1.9	Annual presentations to Advisory Committee & reports to Darwin.	3				x				x				x
<b>Output 2 Review of the Kalagala Offset Sustainability Management Plan and Isimba management plan</b>														
2.1	Review Kalagala Offset Sustainable Management Plan.	6						x	x	x				
2.2	Prepare recommendations on Isimba management plan	6						x	x	x				
2.3	Local consultation and dissemination	3						x	x					
2.4	Analysis and reporting on implementation of recommendations	3											x	x
<b>Output 3 New guidelines on incorporating social costs and benefits into biodiversity offsetting</b>														
3.1	Draft National/International guidelines prepared and discussed.	6						x	x					
3.2	Feedback obtained at Research Workshop	1							x					
3.3	Training of NEMA staff	6								x	x			
3.4	Business and Biodiversity Forums	1							x				x	
3.5	Publication of new guidelines by NEMA & launch event.	1												x
3.6	Drafting of new international guidelines and publication by BBOP.	3									x	x		
3.7	Business engagement workshop in Oxford	1											x	
3.8	Two international businesses commit to implementation	3											x	x

## 25. Project based monitoring and evaluation (M&E)

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 project's M&E. 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. M&E 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)

This project has been designed so that all project partners and key stakeholders have direct input into the research design, the capacity building components and project outputs. Throughout the project, OU will facilitate self-evaluation by the project team to continuously track project progress towards achieving its intended outcome, to incorporate stakeholder input into project outputs, and to ensure that the project outputs are of practical and policy relevance for Uganda and the international community.

The project's Core Team consists of the leaders of each partner organisation and the Key Personnel listed above. They will meet formally six-monthly to review progress (alternating in-person and skype calls). Also, whenever UK partners are in Uganda on other business, they will take the opportunity to engage with project partners and other stakeholders on this project. We will have monthly email catch-ups, or more regularly if necessary.

Our independent Advisory Committee will review progress annually, and provide an independent report detailing suggested improvements. They will provide input and advice depending on individuals' expertise.

During the Inception Workshop, the project team will develop a Theory of Change for the project based on the logical framework presented above. This will involve identifying baselines, a process for monitoring the indicators, and agreement on responsibilities of each project partner for monitoring and evaluating progress of the project, with the aim that each project partner is fully involved with the monitoring and evaluation process. IIED will lead this process, based on Dilys Roe's expertise in developing Theories of Change for conservation interventions.

Post-inception meeting, IIED will formalise the project's Theory of Change, progress against which will be reviewed at each 6-monthly meeting. At the project meeting linked to our Year 2 Research Workshop, we will evaluate the extent to which the project is achieving its intended outputs and identify opportunities for adaptation and improvement. IIED will update the Theory of Change to incorporate the findings of this review as part of a continual process of action-based learning. At the final Project Workshop, the project team will evaluate each log frame indicator and review the achievements of the project at the different scales of project impact including the site, national and international levels.

We will also specifically monitor and evaluate the ethical aspects of our project on an annual basis and at the inception and final workshops. In particular we will consider comments received as part of our internal ethics review processes, revisit our data protection and data handling policies to check that they are being implemented as intended, discuss any concerns and new information around the surveys of local people, and reflect upon the gender aspects of our research. We will use these occasions for reflective evaluation to ensure that our procedures represent absolute best practice.

Several of the project's outputs are themselves M&E products, which can be used to track project progress and to inform adaptive management the future: Our capacity building activities will improve NEMA's ability to monitor and evaluate biodiversity offsetting activities in the future.

Total budget for M&E	£49,500
Percentage of total budget set aside for M&E	12%

## 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. You should also ensure you have read the 'Finance for Darwin' document and considered the implications of payment points for cashflow purposes.**

**NB:** The Darwin Initiative cannot agree any increase in grants once awarded.

### 26. 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 major budget items are salaries and associated overhead costs. The largest cost is the stipend of an Oxford researcher to undertake the social research. Given the complexity and sophistication of the research required, a relatively highly qualified person is required. However, Oxford has waived the costs of EJMG, overheads and indirects, representing substantial co-funding. Salaries for partner staff have been kept to the level required to achieve the high standards expected, while overheads are kept at a minimum. Julia Baker's consultancy represents substantial value for money, with matched funding from her employer, in recognition of the value her engagement brings to their business.

Travel costs are a significant budget item but have been kept to the minimum possible. UK teams will combine travel with other projects in Uganda wherever possible. Meetings and workshops will be held in locations which minimise cost and travel time for the majority of participants (usually Kampala, but Oxford for the international business engagement meeting). Events such as the NEMA launch event, advisory committee meetings and Business and Biodiversity Forums will be scheduled to coincide with team meetings to avoid additional costs. National travel for fieldwork is expensive due to the distances required to travel to the study site from Kampala and the high cost of petrol and vehicle hire in Uganda.

Meetings, training events and workshops will be hosted by the partner organisations without charging room hire; the main costs are catering and accommodation for partners and invited stakeholders. There are no funds needed for new equipment. All staff will use existing equipment, the purchase of which has been funded elsewhere.

The team is experienced in carrying out projects efficiently to budget, and will review spend against budget in their 6-monthly team meetings. Any variance will be quickly identified and dealt with.

### 27. Capital items

If you plan to purchase capital items with Darwin funding, please indicate what you anticipate will happen to the items following project end.

(max 150 words)

N/A



### 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 your Foreign Ministry or the local embassy or High Commission (or equivalent) directly to discuss security issues (see Guidance Notes) and attach details of any advice you have received from them.

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

### CERTIFICATION

On behalf of the trustees/company\* of  
(\*delete as appropriate)

I apply for a grant of £ 299,363 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 applicant institution to submit applications and sign contracts on their behalf.)*

- I enclose CVs for key project personnel and letters of support.
- I enclose our most recent signed audited/independently verified accounts and annual reports (if appropriate)

<b>Name (block capitals)</b>	DR DAN BLAKEY
<b>Position in the organisation</b>	Deputy Head of Research Services

**Signed\*\***

pdf

**Date:**

01/12/15

**If this section is incomplete or not completed correctly the entire application will be rejected. You must provide a real (not typed) signature. You may include a pdf of the signature page for security reasons if you wish. Please write PDF in the signature section above if you do so.**

**Stage 2 Application – Checklist for submission**

	<b>Check</b>
Have you <b>read the Guidance Notes</b> ?	Yes
Have you provided <b>actual start and end dates</b> for your project?	Yes
<b>Have you indicated whether you are applying for DFID or Defra funding?</b> <b>NB: you cannot apply for both</b>	Yes
Have you provided your <b>budget based on UK government financial years</b> i.e. 1 April – 31 March and in GBP?	Yes
Have you checked that your <b>budget is complete</b> , correctly adds up and that you have included the correct final total on the top page of the application?	Yes
Has your application been <b>signed by a suitably authorised individual</b> ? (clear electronic or scanned signatures are acceptable)	Yes
Have you included a <b>1 page CV for all the key project personnel</b> identified at Question 10?	Yes
Have you included a <b>letter of support from the <u>main</u> partner organisations</b> identified at Question 9?	Yes
Have you <b>been in contact with the FCO</b> in the project country/ies and have you included any evidence of this?	No
Have you included a <b>signed copy of the last 2 years annual report and accounts</b> for the lead organisation?	Yes
Have you <b>checked the Darwin website</b> immediately prior to submission to ensure there are no late updates?	Yes

Once you have answered the questions above, please submit the application, not later than 2359 GMT on Tuesday 1 December 2015 to [Darwin-Applications@ltsi.co.uk](mailto: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.