Department for Environment Food & Rural Affairs

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)

Applicant Organisation Name:	University of Kent
Address:	Durrell Institute of Conservation and Ecology (DICE), School of Anthropology & Conservation, Marlowe Building, University of Kent
City and Postcode:	Canterbury, CT2 7NR
Country:	UK
Email:	
Phone:	

2. Stage 1 reference and Project title

Stage 1 Ref: 3129	**Title (max 10 words):** Marrying community land rights with stakeholder aspirations in Indonesian Borneo

3. Project description (not exceeding 50 words)

(max 50 words)
We will help deliver social and ecological justice in Kalimantan, Indonesia, by improving understanding of linkages between ecological systems and human wellbeing, resulting in improved governance. For this, we will develop datasets, increase awareness, and build vital capacity for participatory and evidence-based systems to allocate land for community forest management.

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.

Country 1:	**Indonesia**	Country 2:	
Country 3:		Country 4:	

5. Project dates, and budget summary

Start date:	1 April 2016	End date: 31 March 2019	Duration: 3 years	

Darwin request	2016/17 £ 94,039	2017/18 £ 109,674	2018/19 £ 87,472	Total request £ 291,185
Proposed (confirmed & unconfirmed) matched funding as % of total Project cost				38%
Are you applying for DFID or Defra funding? (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	**Struebig**	**Budiharta**	**Meijaard**
Forename (s)	**Matthew**	**Sugeng**	**Erik**
Post held	Lecturer in Biological Conservation	Researcher in Conservation Biology	Program Manager & Policy Specialist (also Honorary Associate Professor at Univ. Queensland)
Organisation (if different to above)		Indonesian Institute of Sciences	Borneo Futures (and Univ. Queensland)
Department	DICE	Purwodadi Botanic Garden	-
Telephone			
Email			

Details	Project Partner 3
Surname	**Wilson**
Forename (s)	**Kerrie**
Post held	Associate Professor
Organisation (if different to above)	University of Queensland
Department	Centre of Excellence for Environmental Decisions
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
21-014	Dr. Jim Groombridge	Reconnecting poverty-alleviation to biodiversity conservation in Kenya's Eastern Arc Mountains
20-016	Prof Douglas Macmillan	Socio-ecological landscapes for biodiversity conservation and climate change adaptation
19-002	Dr. Jim Groombridge	A cutting-EDGE approach to saving Seychelles' evolutionarily distinct biodiversity
19-014	Prof. Richard A. Griffiths	Implementing CITES in Madagascar
EIDCF009	Dr. Zoe G. Davies	Mapping the Falklands: facilitating systematic conservation planning and implementation (Scoping grant)
17-009	Prof. Stuart R. Harrop	Integrating religion with conservation: Islamic belief and Sumatran forest management

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)*

8b. DO NOT COMPLETE IF YOU ANSWERED 'YES' TO QUESTION 7.

Provide detail of 3 contracts/awards held by your organisation that demonstrate your credibility as an organisation and provide track record relevant to the project proposed. These contracts/awards should have been held in the last 5 years and be of a similar size to the grant requested in your Darwin application.

8c. DO NOT COMPLETE IF YOU ANSWERED 'YES' TO QUESTION 7.

Describe briefly the aims, activities and achievements of your organisation. (Large organisations please note that this should describe your unit or department)

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.

Lead institution and website:	Details (including roles and responsibilities and capacity to lead the project): (max 200 words)
Durrell Institute of Conservation and Ecology (DICE), University of Kent. www.kent.ac.uk/dice/	DICE will coordinate and monitor the project, beginning at project inception, and centring on in-country annual reviews and reporting schedules (activities 1.1, 3.3). Working with data provided by all partners, DICE will also lead mapping of forests qualifying as 'protected' (1.4), lead a publication on this in year2 (1.7), and provide technical guidance on other outputs managed by the rest of team. DICE has a long and successful history managing Darwin projects globally, including in Indonesia. Building on this success, Struebig has 15 years of experience working on Indonesia's environmental issues, including biodiversity management in forestry and agriculture. He currently manages two major research teams, seeking to integrate effective biodiversity management with stakeholder needs (tigers with local communities in Sumatra; oil palm certification with government policy in Sabah). He will help maximise effectiveness of our stakeholder engagement, drawing on experiences gained during consultation with the Sabah government in 2017 (funded by NERC-UK as knowledge exchange activities). He will also co-supervise the student recruited to DICE's MSc in Conservation and Rural Development. Smith will lead monitoring/evaluation and, with a background on spatial planning, will serve as technical advisor for the planning workshops, as well as main supervisor for the student.
Have you included a Letter of Support from this institution?	Yes

Partner Name and website where available:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
Indonesian Institute of Sciences (LIPI) http://krpurwodadi.lipi.go.id/	LIPI, the government body for science and research (including national CBD focal points), first proposed the project, and will be the main host in Indonesia. Budiharta, with expertise in land-use planning and decision science, will lead a team comprising a social scientist (Aji), development economist (Ekaputri) and 3 consultant facilitators (TBA). Responsibilities include dialogue with governmental and non-governmental agencies, as well as local communities at case-study villages. Key activities comprise updating and mapping proposed and allocated community land claims (1.5), developing case-studies from at least 4 sites in year1 (1.8), and producing best practice guidelines (2.3), dialogue with government via dedicated workshops (2.4) in year2. Fieldwork to develop case-studies will generate detailed baseline poverty and environmental data in 2 phases. In year1 participatory workshops with local communities will identify and quantify multidimensional poverty indicators (1.8); villages will be resampled in year3 as part of our monitoring (3.3). As a government research institution LIPI is our ideal project partner. Budiharta has a track record in Kalimantan, working on decision support tools for forest management. Ekaputri and Aji have recently completed a socio-economic analysis of four community forests in Java, Sumatra and Sulawesi in which substantial improvements to household incomes were demonstrated.
Have you included a Letter of Support from this institution?	Yes

Partner Name and website where available:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
Borneo Futures (BF) http://www.borneofutures.org/	Borneo Futures is a research network providing technical expertise on Indonesia's land-use policy. The initiative focuses on quantifying costs of development on Borneo through comprehensive assessment of forest ecosystem values (e.g., flooding impacts; climate impacts from deforestation; disease risks). Meijaard, based in Jakarta, will lead annual consultation meetings with national government ministries to maximise project engagement (1.2), as well as stakeholder workshops in Kalimantan during year2 to present our evidence-base and garner feedback from local government (2.4). BF will also recruit and train workshop facilitators in policy and planning options (2.2), develop and circulate policy briefs in years2-3 (2.1), and monitor changes in perceptions/beliefs in workshop participants during the project (3.4). With 23 years working in Indonesia's conservation sector, Meijaard, and BF, are ideally placed to implement the stakeholder engagement and advocacy aspects of our programme. Meijaard has extensively studied community perceptions in Kalimantan, with outcomes guiding interdisciplinary projects that address shortcomings in sustainable development and poverty alleviation programmes. As a regular columnist for the Jakarta Globe newspaper, and widely cited in other media, he is also well placed to develop public outreach materials, press statements and monitor the media to assess the outcomes, outputs, and impact of the project.
Have you included a Letter of Support from this institution?	Yes

Partner Name and website where available:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
University of Queensland, Centre of Excellence for Environmental Decisions (UQ-CEED) http://ceed.edu.au/	UQ-CEED is the world's leading research centre for solving environmental management problems and evaluating environmental actions. With expertise in socio-ecological analysis, spatial planning, policy evaluation and structured processes for decision-making, Wilson will provide technical support to the project and advise the team on participatory processes proposed for stakeholder workshops (2.4,3.2). She will work with LIPI, BF and DICE analysing environmental and household data to serve as the important baseline across Kalimantan (1.3), update deforestation estimates (1.6), and lead the social network analysis (2.7). Over 15 years Wilson has developed an applied research programme that has integrated socio-economic objectives and landscape dynamics into conservation decision making. The key achievement of her influential research has been to change the widespread opinion that conservation investments should be influenced by biodiversity values alone, and requires deep consideration of the social and political context, particularly for economic development. A second and related insight recognised that safeguarding ecosystem services for people (e.g. water regulation) and conserving biodiversity can be attained together in a cost-effective manner. Dr Wilson's third significant contribution to ecology and conservation has been to recognise that new conceptual frameworks were needed to incorporate issues of vulnerability and for quantifying and representing data uncertainty.

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?
Matthew, Struebig	Project Leader	DICE-Kent	9	**Yes**
Robert, Smith	Monitoring & Evaluation	DICE-Kent	7	**Yes**
Sugeng, Budiharta	Project Co-ordinator	LIPI	60	**Yes**
Gutomo Bayu, Aji	Sociologist	LIPI	40	**Yes**
Andini Desita, Ekaputri	Developmental Economist	LIPI	40	**Yes**
Erik, Meijaard	Conservation Policy	Borneo Futures	27	**Yes**
Kerrie, Wilson	Spatial Planning	UQ	9	**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)

Although global treaties (e.g. CBD; UNFCCC) emphasise the importance of ecosystem services for human well-being, ongoing deforestation and forest fires demonstrate that these values remain firmly disconnected from land-use decisions in Indonesia[1]. Sixty six percent of Indonesia's poor live in or around forest[2], so deforestation impacts local livelihoods as well as globally important biodiversity. Policy changes that better capture the costs and benefits of land-use decisions are needed but have been slow to develop.

Community forest management (CFM) is championed as a way to benefit local livelihoods and forest conservation[3], and Indonesia recognises this as part of its efforts to reduce poverty. In recent social forestry pilot projects in Java, for example[4], village poverty rates fell by up to 90%. Growing decentralisation and policy reform now supports community-based management throughout Indonesia, since a 2012 Constitutional Court decision and subsequent ministerial regulations in late 2014 oblige local governments to reallocate 12.7 Mha of state forest to poor indigenous communities[5].

While these reforms support human rights and could alleviate poverty, counter-intuitively they also allow communities to clear forest, including 6.3 Mha of land from protected areas. Perversely, the governments' bid to improve rural livelihoods thus risks compromising the very ecosystems and biodiversity on which its people depend, also jeopardizing its international biodiversity commitments and sustainable development goals under the CBD and UNFCCC. This reinforces an urgent need to strengthen the land-use planning system. Provincial governments are currently registering claims for CFM and beginning public consultation before integrating social forestry policy into local development plans[5]. By producing spatial datasets, developing case-studies with local people with CFM claims, and working with Indonesian scientific and advocacy organisations, we will build the capacity of local governments of Kalimantan to better incorporate environmental and developmental needs into their spatial land-use planning and commitments for forest protection.

[1] Miriam, E. M., S. D. Ruth, S. K. Patrick, N. K. Shannon, J. J. Daniel, J. M. Loretta, and S. M. Samuel. 2015. Fire emissions and regional air quality impacts from fires in oil palm, timber, and logging concessions in Indonesia. *Environmental Research Letters* 10:085005

[2] Suharjito, D., 2014. Devolution of forest management and rural community development. Inaugural Professorship, Bogor Agricultural University, 03 May 2014.

[3] Bowler, D. E., L. M. Buyung-Ali, J. R. Healey, J. P. G. Jones, T. M. Knight, and A. S. Pullin. 2011. Does community forest management provide global environmental benefits and improve local welfare? *Frontiers in Ecology and the Environment* 10:29-36.

[4] Aji, *et al.*, (2014). The Policy Paper. Poverty Reduction in Villages around the Forest. The Development of Social Forestry Model and Poverty Reduction Policies in Indonesia. Research Center of Population. Indonesian Institute of Sciences

[5] Ministry of Environment and Forestry Indonesia (Sept 2015) Public consultation workshops for indicative map of social forestry and forestry acceleration: http://www.menlhk.go.id/berita-34-workshop-konsultasi-publik-peta-indikatif-areal-perhutanan-sosial-dan-percepatan-perhutanan-sosila-d.html

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

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

Indonesia ratified the CBD and Nagoya Protocol. Our programme will contribute directly to **Aichi Strategic GoalA** (*Mainstreaming biodiversity across government and society*) by helping Indonesia integrate biodiversity values into national and local poverty-reduction strategies and planning processes (**Target2**), which includes safeguards to ensure impacts of CFM areas are within safe limits (**Target3**).

By sharing the environmental/developmental evidence-base to assist Kalimantan's governments to allocate CFM land we will address **GoalE** (*Enhance implementation through participatory planning...*)*. Specifically, our awareness-raising and capacity building campaign is designed to ensure the science-base for these decisions is improved, shared, and applied (**Target19**), and local communities can participate in the planning process (**Target18**).

Ultimately, by ensuring CFM planning processes properly account for forest ecosystem services outlined for protection under Forestry Law as well as development goals we will contribute to **GoalB** (*Reduce direct pressures on biodiversity*...) **Target7**; **GoalC** (*Improve status of biodiversity by safeguarding ecosystems...*) **Target11**; and **GoalD** (*Enhance benefits to all from biodiversity and ecosystem services*) **Target14**.

This supports Indonesia's National Biodiversity Action Plan, calling for "*improving the ability of communities in conducting sustainable and equitable management of biodiversity, based on local knowledge, and supported by easy access to accurate information on functions of biodiversity...*".

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

Yes **if yes, please give details:**

Dr. Didik Widyatmoko

Director of Bogor Botanic Garden – Indonesian Institute of Sciences (LIPI)

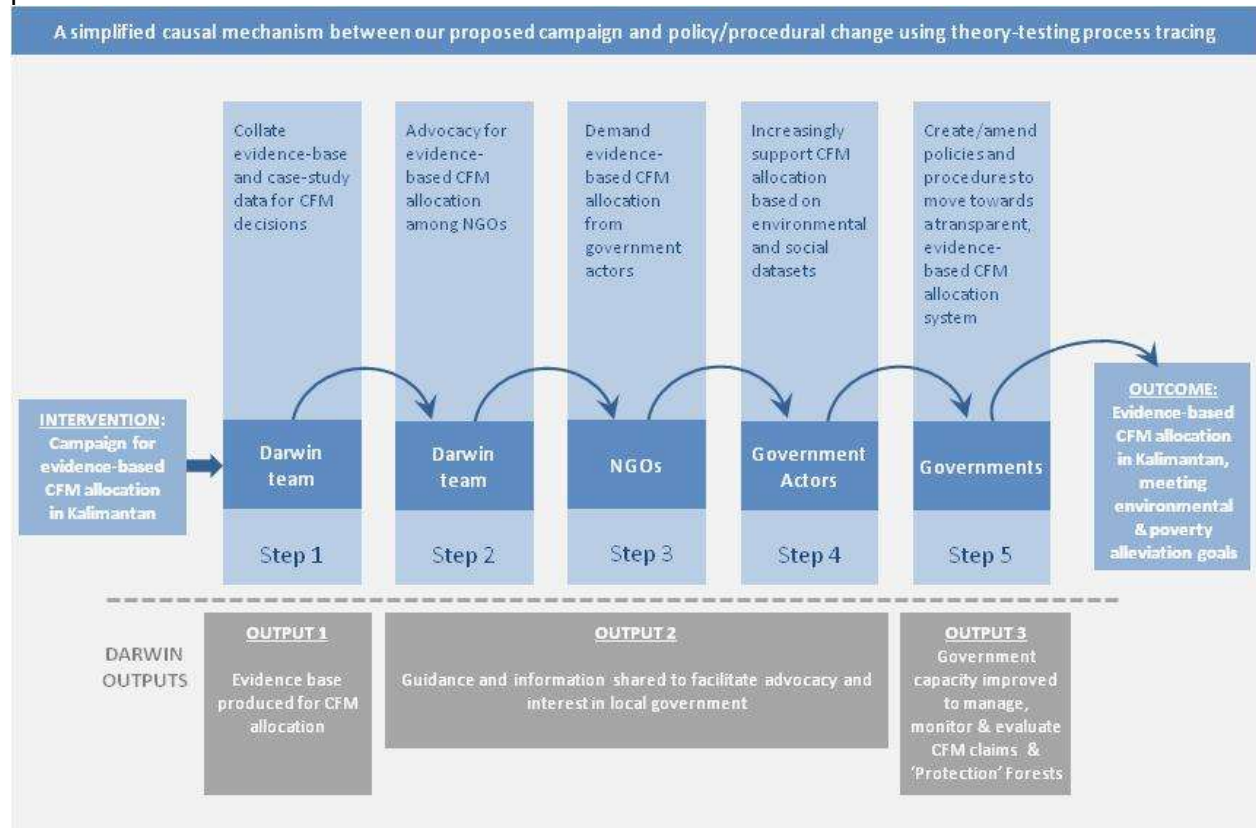Expert Panel and Indonesia National Focal Point to CBD

Dr Widyatmoko is aware of our proposed project and will join us at our inception meeting in Jakarta to help refine our project design to best encapsulate Indonesia's CBD commitments, making our outputs translatable within the National Biodiversity Action Plan. See support letter from LIPI.

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 use spatial datasets and dialogue with key stakeholders (e.g. government, indigenous organisations) in West Kalimantan, yielding outputs relevant to CFM allocation across Indonesia. Our approach facilitates organisational learning on socioeconomic, legal and environmental trade-offs inherent to CFM decisions. Since demonstrating linkage between intervention and policy change is difficult, we will design, manage and evaluate the project via a process trace[1].

STEP 1: Spatial evidence-base and pre-intervention baseline to evaluate consequences of changed forest policy [UQ, LIPI, DICE, BF].

For each Kalimantan province we will collate and map four datasets to inform CFM allocation, management and evaluation:

— *Land valuation* - agricultural revenue, biodiversity conservation and ecosystem services (e.g. flood buffering), building on >5 years' scientific evidence from the team (http://www.borneofutures.org/library.html).

— *Government 'Village Potential' statistics* (PODES; e.g. household income, calorific intake, non-food expenditure), integrated with existing data on social perceptions on land-use change[2].

— *Deforestation and 'at risk' 'Protection' forests*. Indonesia's Basic Forestry Law classifies forests for Protection, Production or Conversion. Ecosystem service provision, however, is poorly quantified and so forests with important ecological functions risk development under CFM or industrial-scale business.

— *CFM applications* - reviewed annually with provincial government, and (pending consent) shared with national[3] and international[4] databases.

Data will be augmented with information from four case-studies in West Kalimantan. This province has the most CFM registrations to date[3], in highly developed and more remote

regencies, each providing distinct contexts to present to government and local advocacy organisations. LIPI personnel will implement participatory workshops with village leaders and community representatives to identify multidimensional poverty indicators[5], which will subsequently be collected in household surveys in the case-study areas (year1,3). This ensures locally-relevant dimensions of poverty (e.g. schooling years; malaria cases) can be used to monitor and evaluate CFM decisions alongside traditional measures of biodiversity and material wealth.

STEPS 2-4: Guidance and information-sharing to facilitate advocacy and interest in local government [LIPI, BF].

We will present our evidence to local government, community representatives and advocacy organisations at stakeholder workshops to garner feedback and encourage demand for evidence-based decision-making. To facilitate understanding and communication between government actors and civil society we will publish policy briefs, best-practice guidelines and social network analyses linked to case-studies. We will augment and monitor this via a media campaign during year2.

STEP 5: Institutional support for a participatory planning process [LIPI, BF]

We will host workshops to train central and local government, and NGO personnel, in spatial planning techniques. We will adapt the Challenge-and-Reconstruct-Learning framework (*ChaRL*)[6] to undertake participatory modelling and action research. ChaRL comprises five steps of formally questioning and measuring existing assumptions and reconstructing them within a deeper understanding of the socio-ecological system. This will be achieved via interactive modelling exercises to maximise social learning of the consequences of alternative policy options, and help decision-makers align their changed perceptions with the empirical evidence-base collated in the above steps. Capacity will be furthered by training a government employee on DICE's MSc in Conservation and Rural Development, and deploying acquired skills at the workshops.

[1]Punton, M., and K. Welle. 2015. Applying process tracing in five steps. CDI Practice Paper Annex 10 April 2015.
[2]Abram, N. K., E. Meijaard, M. Ancrenaz, R. K. Runting, J. A. Wells, D. Gaveau, A.-S. Pellier, and K. Mengersen. 2014. Spatially explicit perceptions of ecosystem services and land cover change in forested regions of Borneo. Ecosystem Services 7:116-127.
[3]Badan Registrasi Wilayah Adat (Indigenous Regional Registration Agency): Indigenous area map - http://www.brwa.or.id/sig/
[4]World Resources Institute: LandMark Global Platform of Indigenous and Community Lands - http://www.landmarkmap.org/map/#x=112.64&y=0.1&l=7

[5]Alkire, S., and J. Foster. 2011. Counting and multidimensional poverty measurement. Journal of Public Economics 95:476-487.

[6]Smajgl, A., and J. Ward. 2013. A framework to bridge science and policy in complex decision making arenas. Futures 52:52-58.

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)

We seek to influence policy-making on land-use and indigenous land rights to reduce forest degradation and improve local livelihoods, thus reducing poverty. Poverty in Kalimantan remains greatest in rural, forested regions, where households have benefited least from Indonesia's poverty alleviation efforts.

CFM offers a tangible way for forest people to secure livelihoods, but it will take significant policy reform before benefits are felt. New policies are needed that balance people's rights to commercially develop their lands through CFM, with context-specific considerations regarding potential negative socio-economic impacts of developing forests with exceptional environmental services. Such policies need to consider the weak nature of Indonesian governance, and significant financial incentives for expanding commodities such as oil-palm. This highlights the need for a planning system that maximizes livelihood benefits and minimizes negative repercussions of environmental change (e.g. forest fires, flooding), while providing clear decision-frameworks on how CFM could be implemented and monitored.

By presenting evidence, baseline data, building governmental capacity in land-use planning, and creating a platform for dialogue between CFM stakeholders and local governments, this project will be fundamental to achieving this goal. Within three years we expect:
1. Demonstrable improvements in the understanding of evidence-based policy-making amongst governmental decision-makers, including changes in mind-set about interactions between land-use policies and socioecological systems (steps1-4).
2. Tangible steps toward legal reform (including draft legislation) that captures the spirit of the 2012 Constitutional Court decision on indigenous rights, and harmonizes this with revised laws on forest management (step5).
3. More and larger CFM approvals in ecologically appropriate regions, offering livelihood improvements to forest people across Kalimantan (steps4-5, and 5years beyond project).

We expect to set a precedent for evidence-based, transparent and participatory land-use planning in Kalimantan, with relevance to governments across Indonesia, thus expanding our aspirations across different landscapes and forest peoples of the archipelago.

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)

Indonesia's desire to alleviate poverty by allocating forests for community management is at the heart of this project. We will help local governments do this in a sustainable and scientifically-informed way so that land is allocated to the people that most need it, with the least impact on forest ecosystem services. Based on 2010 government databases*, up to 670,243 forest-edge households could potentially benefit from these improved land rights in Kalimantan, including 49,021 officially recognised as poor (in which 86,143 women reside).

Although 218 CFM claims are currently registered in West Kalimantan, the latest Indicative Map of Social Forestry (PIAPS) lists 819 villages as potentially eligible, representing 307,696 households. Of these, 21,164 (41,010 women) are poor.

Case-studies will be developed in two regencies, which reflect contrasting poverty rates and development contexts to illustrate the need for an informed allocation system to government. Sustainable CFM could benefit 2,187 poor households (3,740 women) in Ketapang, which has the most CFM registrations to date. Yet in remote Kapuas Hulu, with the fewest registrations, 4,502 households (8,229 women) could benefit.

Although we have identified seven potential CFM case-study villages (e.g. Laman Satong, 618 households, 1084 women), we will finalise at least four based on updated environmental and poverty data collated early in the project. We expect the distribution of benefits to be equal between women and men as women's rights are relatively strong in Indonesia. However, being wary from experience that participatory village workshops may be dominated by men, we will seek fair representation of both genders and allow equal contribution of ideas to identify multidimensional poverty indicators. Equally, knowing that women typically answer most household questionnaires in Kalimantan, we will also seek a gender balance when undertaking village surveys. We have purposefully sought a mixed gender team to facilitate this process.

* Pendataan Potensi Desa / Kelurahan - PODES (Village Potential statistics) (2010) - this includes the number of households registered as poor and in receipt of additional welfare payments (*'surat miskin'*) - updated data from the most recent census will be compiled and analysed as part of this project, and can be monitored every 5 years.

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)

This project is part of a progressive approach to facilitate land-use planning improvements in Indonesia. Through monitoring and evaluation, we will closely measure land-use changes at our case-studies against a comparative baseline of control CFMs without external technical and policy inputs. We will target reduced deforestation rates within these areas, which, if met, would be used to scale-up the approach more broadly across other regencies by the main national government partner, LIPI. Ideally, this would be incorporated within government budgets, although we assume that donors (e.g. UK and Norwegian governments) would be interested to upscale progressively if positive impacts are demonstrated.

If our deforestation targets are not met, our community research and government engagement will identify key constraints, and communicate these widely. The *ChaRL* framework will help show the extent to which government mindsets have changed after exposure to new insights about development costs and sustainable land-use planning. The nature of the constraints to on-the-ground change, and the extent to which government thinking was changed, will also determine future directions for our work.

Lastly, by embedding a DICE-MSc government staff within our capacity building workshops we will ensure that benefits of advanced training extend more widely to our target audience.

17a. Harmonisation

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

The present initiative builds on the lessons learned from research conducted and >40 scientific papers[1] published since 2011 through collaboration between Borneo Futures, the University of Queensland, and DICE-Kent. These studies have generated significant insights into community perceptions about forests and forest use, and the costs and benefits of alternative land-use decisions on Borneo. The initiative has also shown how best to communicate results to ensure that research insights result in policy change and implementation of new planning practices at local scales. The addition of LIPI to this research initiative will greatly enhance the engagement of government at different levels through the use of workshops in a *ChaRL* framework, and involvement of local experts within the Indonesian government. Experience from LIPI staff Aji and Ekaputri in social forestry and the economics of forest restoration from the perspective of sociology and regional development provides a strong basis to implement the community engagement programmes and ensure that CFM applicants are the main beneficiaries of Indonesia's evolving environmental policy. We strongly believe from experience that in Indonesia such collaboration between government, research institutions and civil society can generate the right kind of data and buy-in that actually influences thinking at government levels.

[1] http://www.borneofutures.org/articlespapers.html

17b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?   YES (to a minor degree)

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.

The World Resources Institute (WRI) has recently released the LandMark platform (http://www.landmarkmap.org/data/), which provides an interactive presentation of land held by indigenous people globally via data shared from a network of contributors. Although still in 'beta' development, this platform should provide a useful resource for improved recognition of community land rights internationally, and with servers in the US and Singapore is ultimately the ideal online repository for spatial information on CFMs from this project.

We have already contacted WRI's Director of Land and Resource Rights, Peter Veit, to discuss collaboration and outline some significant gaps in the Indonesian coverage - parts of Kalimantan have not been included, but more importantly non-indigenous land is missing (i.e. including transmigrant coastal communities that are now afforded land rights if they have been resident for >20 years). WRI are wholly supportive of our proposal, and for us to share our findings via their online mapping platform (see attached support letter and LandMark brochure). It has shared additional contacts in Indonesia, and can advise on the specifics of data disclosure agreements for government planners and local communities that they worked hard to standardise across countries as part of LandMark. WRI Country Director in Indonesia, Dr Tjokorda Nirarta "Koni" Samadhi, will be able to participate in our national meetings, together with colleagues in the *Aliansi Masyarakat Adat Nusantara* (Indigenous People's Alliance) and *Badan Registrasi Wilayah Adat* (Regional Indigenous Registration Agency), who have been involved in collating CFM information in parts of Indonesia during 2015.

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)

The well-being of Kalimantan's indigenous communities is at the heart of our project. In Indonesia the work will be led by experienced Indonesian partners who have worked in Kalimantan and are familiar with the cultural norms in this region. Under Indonesian law they will be required to register their presence in case-study villages and formally seek permission to undertake the participatory work with village heads and the district planning office.

Free Prior Informed Consent will be sought from workshop participants and questionnaire respondents at the village case-study and stakeholder consultation levels prior to involvement in all activities. Information sheets for the different types of participants are already prepared and are being used in other projects managed by the team, and can be shared with the review committee. These are written in the national language in Indonesia, and will be translated to Kalimantan dialects as required. Due to limited levels of literacy in some case-study areas informed consent will be non-written. However, all personnel will be required to record the process and sign and date the Informed Consent Form. Anonymity will be preserved during all participatory workshops and household questionnaires. Villagers will have the option to withhold information from open access databases via a Data Disclosure Agreement.

As part of this application we were required to seek standard ethical approval from the University of Kent via a two stage process that considers the safety and well-being of participants as well as the environmental impact of research. This included a full risk assessment, whereby all perceived risks were identified as low to the Indonesia-based team undertaking fieldwork in case-study areas (accident, adverse working conditions, disease) and the wider team for meetings and travel. Ethics approval was granted 30/11/15, with risk assessment approved by Dr Jim Groombridge, Department Director of Research.

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)

Our project seeks to influence policy change in Indonesia for a land-use planning system that can effectively marry developmental and environmental goals. Our main target audiences are national and local government planners and the non-governmental organisations that influence them. We will influence change via achievable incremental steps (see process trace in Methods), and our use of the *ChaRL* framework has built-in learning elements and measures for assessing changed thinking at the different levels of government.

While we do not intend to implement community advocacy ourselves, we will engage potential CFM applicants to develop case-studies and locally meaningful poverty indicators (in Kapuas Hulu and Ketapang regencies). By doing so we will link local people to important environmental and poverty criteria and relevant government and non-governmental agencies for their applications (via social network analysis and workshops), and present their needs back to these stakeholders.

Throughout, newspaper articles and media events will target local and international outlets (e.g. Jakarta Globe, Tribun Pontianak; Mongabay.com; Twitter; Facebook). We have already demonstrated that a powerful message can reach large audiences. For example, Meijaard's correspondence on recent forest fires (http://jakartaglobe.beritasatu.com/opinion/erik-meijaard-indonesias-fire-crisis-biggest-environmental-crime-21st-century/) had 250,000 readers in the Jakarta Globe, and led to interviews with Channel 10 Australia, The Guardian and BBC Indonesia.

Within the context of the Borneo Futures program we are developing an overview study that quantifies all the costs of development in terms of lost opportunities for reduced forest ecosystem services. The future of community lands plays a major role in this report, and with most past research on this topic having focused on industrial-scale land users, lessons learned through the proposed study will provide powerful insights for influencing an Indonesian government that in its present form is very concerned with improving community livelihoods and alleviating poverty, while setting the country on a more sustainable development path.

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)

The capacity building aspects of our project will play out at three different levels: 1) local communities, through direct engagement, at case-study sites; 2) civil society, through our national and international media work; and 3) local and national governments through structured workshops designed around the ChaRL learning framework and MSc training. The most influential capacity building in terms of the overall project goal of contributing to poverty alleviation and sustainable environmental decision-making in forested rural areas is likely to occur through changing mindsets in government and planning agencies.

We expect change on the way land-use policies and decisions are made by governments, from intuitive and ad-hoc manner into scientific and evidence-based processes. We will demonstrate how national datasets (e.g. PODES) and more detailed case-study poverty and environmental baselines could be powerful information to inform land-use decisions at multiple government levels.

There is general agreement that a change in individuals' perceptions of causal relationships and understanding potentially influences subsequent behaviour and decisions. Causal understanding is usually referred to as a belief, or an informational foundation of behaviour[1]. In other words, changing causal beliefs is likely to change behaviour, which stresses the relevance of causal beliefs for informing decision making processes and for establishing an effective science–policy interface. ChaRL defines a structured process of formally questioning and measuring underlying assumptions (heuristics) and reconstructing revised assumptions within the understanding of a larger systems view[1]. We understand such rational reconstruction as the key process of learning, which is facilitated as an exchange of intuitive knowledge.

Translating new knowledge and understanding of causal relationships has been proven effective in other parts of Kalimantan for changing policies (e.g., on energy subsidies, deforestation and poverty alleviation[1]). We are confident that such capacity building will have positive outcomes on our overall project goals.

[1]. Smajgl, A. 2010. Challenging beliefs through multi-level participatory modelling in Indonesia. *Environmental Modelling & Software* 25:1470-1476.

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)

Appropriate access to project information will be fundamental to our success. We have requested minor development funds (£830) for a Darwin-labelled component of the Borneo Futures website, which will host our available project updates and datasets. This cost includes subscriptions to web analytics as part of our M&E activities. The updates we make to CFM databases and spatial coverages will also be made open access on the dedicated websites of BRWA and AMAN in Indonesia (http://www.brwa.or.id/sig/) and WRI (www.landmarkmap.org), with information possibly coarsened to point localities if requested by contributors (all contributors will be given this option under their data disclosure agreement). The project will also be regularly showcased via other partner websites including in Indonesia (i.e. http://lipi.go.id/).

We have also requested fees for two open access publications in peer-reviewed journals (using Springer's Human Ecology as indicator costs). Indonesia still has limited access to most scientific journals, which is a significant constraint in the take up of scientific information by government and non-government groups. Furthermore, our experience in Indonesia demonstrates that government personnel are often receptive to information if it is academically accredited internationally in this way (and especially if authored by government employees). For this reason, these publications will be timed with our key government capacity building milestones, for which we will translate key scientific papers into Indonesian language policy briefs. Borneo Futures has also committed £1000 match funds to produce the policy brief that will synthesise many of our findings for a wider policy audience.

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:**
>
> **£159,549 in total confirmed, including:**
>
> £XXX funds from Arcus Foundation to support Meijaard salary, Borneo Futures (see enclosed letter)
>
> £XXX matched salary, overheads and estate costs from University of Kent for Struebig & Smith
>
> £XXX matched salary from LIPI for Budiharta, Aji and Ekaputri
>
> £XXX matched salary and overheads from University of Queensland for Wilson.
>
> £XXX funds from NERC for international flights to Indonesia for Struebig
>
> £XXX funds Borneo Futures (via external funds) to contribute towards publication of policy briefs in years 2 and 3.

22b) 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
November 2016	Arcus Foundation	£ 18,750	For contribution to Meijaard salary for 2017/19. Conditional on finances for next financial year. (currently secured - above until March 2017)
2016/17 depending on call	British Council Newton Fund - workshop grants - Indonesia	£ 22,000 (indicative based on 2015 call on different subject criteria)	At least one announcement annually for Indonesia; application dependent on appropriate subject criteria in call.

22c) None

If you are not intending to seek matched funding for this project, please explain why.

> (max 100 words)
>
> N/A

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
Impact: Kalimantan's landscapes are sustainably managed to deliver social justice and ecological protection through improved understanding of the linkages between ecological systems and human wellbeing, resulting in improved governance. (Max 30 words)			
Outcome: Development of transparent decision-making processes for approving CFM applications and protecting forest, which meet environmental and poverty alleviation goals, incorporate evidence-based and participatory approaches, and can be replicated elsewhere. (Max 30 words)	(I) New/improved policies/procedures to allocate land for CFM and designate 'Protection Forest' are proposed by local government by end of project. (II) No reduction in the area allocated to protective management (i.e. 'Protection Forest') in the case study province (West Kalimantan) by end of project. (III) At least 30% increase in CFM applications and approvals in socially and environmentally appropriate areas in West Kalimantan by end of project compared to previous 5 years. (IV) Forest clearance by local communities in CFM land and 'Protection Forest' areas reduced by at least 30% in West Kalimantan at end of project compared to 15 year historical average. (V) Effective information exchange between local agencies and civil society via government-endorsed maps/websites (yr 2, 3).	(I) Content analyses of local and national planning/policy documents to see if use of key terms has increased during project - Ministries of National Development Planning (BAPPENAS), Land and Spatial Planning (BPN), Agriculture, Forestry & Environment, including the National REDD+ Agency (yr 2 & 3). (II), (III) Baseline lists of communities with CFM applications; maps of potential CFM and 'Protection Forest' areas (mo 12); comparisons of social and environmental data from year 1 and 3 (and 3 years later) in case study locations (yr 3); peer-reviewed publications in open-access journals (yr 3). (IV) Forest cover change assessment, and analysis of publically-available fire hotspot data 2000-2018 (yr 3) (V) Field visits (yr1, 2); government guidance notes on CFM allocation (yr 2, 3); government-endorsed maps publically available via website(s) (yr 3).	Support obtained from listed government institutions for involving their staff at our proposed national and local workshops. Indonesia remains a democratic country committed to its stated goals on poverty alleviation, respect for human rights and sustainable development, and is willing to implement policy changes to achieve these goals. Legal reform does not proceed until consultation and interrogation of scientific evidence has taken place. The Ministry of Environment & Forestry remain consistent in achieving their target of allocating 3 million ha state forest for community forestry (so far only ~0.6 million ha has been granted).

Outputs:			
1. A robust evidence base (including a pre-intervention baseline) available to assess CFM applications and land-use change in at-risk 'Protection forests', and evaluate consequences on human livelihoods and the environment (mo 1-15)	1.1 Kalimantan-wide spatial data produced of biodiversity provisions, ecosystem functions and other environmental characteristics relevant to land-use planning and evaluation of CFM applications and 'Protection forests' (mo 9). 1.2. Kalimantan-wide village level databases collated of poverty indicators from Central Agency on Statistics national census (e.g. household income, non-food expenditure, calorific intake); baseline data describing social perceptions on land-use (previously collected by Meijaard and spatially modelled across Kalimantan) partitioned by village and linked to these data (mo 9). 1.3 Kalimantan-wide spatial database of existing and proposed CFM areas, and land meeting 'Protection forest' criteria so that potential synergies and conflicts between CFM and protective land-uses can be identified (mo 12,24,36). 1.4 Kalimantan-wide annual deforestation rate using freely available Landsat imagery, estimates 2000-2015 as baseline (mo 6). 1.5 Confirmation of at least 4 CFM case-studies involving village heads and local communities in West Kalimantan by mo 12. 1.6 Village visits and participatory workshops with local communities to	1.1 Kalimantan-wide maps of key environmental data in GIS format and summary documents made open-access via dedicated website (mo 9). 1.2 Kalimantan-wide maps and summary statistics for social perception, forest dependency and poverty indicator data (from the BPS Central Agency on Statistics) (mo 9) 1.3 CFM applications and areas meeting 'Protection Forest' criteria monitored annually, reported to Darwin and stakeholders, and shared with online map sources (e.g. www.brwa.or.id/sig; www.landmarkmap.org) (mo 12,24,36) 1.4 Deforestation statistics communicated in annual report and on project website. (mo 12,24,36) 1.5 Letters of intent from village heads from the 4 case-study areas in East and West Kalimantan (mo 12). 1.6 Year 2 project report (mo 24); manuscript (e.g. 'Socio-economic and ecological performance of CFM in Indonesia: evidence from Kalimantan') submitted to peer-reviewed open-access journal (mo 15).	Central Agency for Statistics (BPS) is willing to share poverty indicator and occupational data at the village-level resolution, and more broadly sees the value in incorporating scientific evidence. _NB: such data are commercially available so we see no restriction._ Community leaders permit locality information for their CFM areas to be shared _NB: formal consent will be sought; option to share information at low spatial resolution._ Local communities in case study and control areas are willing to be interviewed and help identify and collate multidimensional poverty indicators capital asset data. _NB: we will foster existing partnerships between local communities, district and provincial forestry services and other NGOs (e.g. CIFOR in East Kalimantan; FFI in West Kalimantan)_

	identify multidimensional poverty indicators (e.g. health, empowerment, trust, access to resources), and subsequent baseline survey across case-study areas (mo 15). Production of a social network analysis linking local communities in case-study areas to governmental and non-governmental stakeholders in CFM allocation (mo 18 - see also Output 2)		
2. Guidance on CFM assessment and 'Protection forest' criteria widely disseminated amongst government and non-governmental stakeholders, and contributing to increased advocacy and new CFM development in West Kalimantan (mo 15-36).	2.1 Policy brief produced, presented and circulated to government agencies and relevant mechanisms (e.g. CBD, Indonesian REDD+ taskforce). Also available on project and associated websites (mo 15, updated mo 30; 200 copies per year). 2.2 Three facilitators trained in CFM policy and planning processes (mo 18). 2.3 Best practice guidelines based on case-studies printed and disseminated to at least 25 governmental and non-governmental organisation (NGO) personnel (e.g. local planning offices, CIFOR, FFI Indonesia, Indigenous Movement Alliance/AMAN) at dedicated workshops in Kalimantan (mo 24; 200 copies). 2.4 2 stakeholder consultation workshops in Kalimantan (Ketapang and Kapuas Hulu regencies) to present guidelines, garner feedback, and generate CFM social network analysis to facilitate communication between government and non-governmental (mo18). At least a 20% increase from	2.1 Policy briefs available at national and international meetings. Google analytics of project websites and those of governmental ministries (e.g. Ministry of Land & Spatial Planning) (yr2,3). 2.2 Minutes and entry/exit questionnaire testing understanding of planning processes in Jakarta training workshop (mo 20) 2.3 Guidance materials in Bahasa Indonesia and English. Number of copies disseminated (mo 24). 2.4 Entry/exit questionnaire from stakeholder workshops. Annual report on workshop outcomes. Manuscript (e.g. 'A social-network analysis of the CFM planning process in Indonesia: actors, perceptions and effectiveness of environmental policy') submitted to peer-reviewed open-access journal (mo 15). Media reports (press releases and opinion pieces in Indonesia newspapers) and meeting minutes monitored and reported annually (mo 24 & 36).	The chosen formats are useful to target audience, especially decision-makers.

	previous year in NGOs citing importance of sustainable CFM in national media (e.g. newspapers, conferences, websites) between months 18 & 36. At least a 10% increase in government representatives citing the importance.		
3. Increased understanding and capacity to transparently manage, monitor and evaluate land for CFM and 'Protection Forest' status within government (yr3).	3.1 One governmental planning department staff educated to MSc level, trained in spatial planning and workshop facilitation (mo30). 3.2 At least 17 government staff trained in evidence-based planning techniques at workshop in Jakarta (3 from each Ministry of Spatial Planning, Forestry & Environment, Agriculture, and Finance in Kalimantan and 1 from each in Jakarta, plus national representative from the Ministry of Female Empowerment to ensure gender is implicit in the participatory design) (mo32). 3.3 Change in perceptions and understanding of causal relationships between CFM policy and consequences among the trained government personnel (yr32).	3.1 MSc awarded at University of Kent; thesis presented to government (mo30). 3.2 Training materials, presentations and reports from workshops in Kalimantan and Jakarta (mo18, 32). 3.3 Perceptions recorded in sequential government workshops (i.e. from previous year in Kalimantan, mo18) and explicitly compared with each other and scientific evidence - changes in beliefs and mind-sets then identified through post-workshop assessment and stakeholder consultation feedback (mo18, 32).	Appropriate government staff are available to participate in capacity building activities and retain their roles during the course of the project. Staff provide feedback on the participatory modelling process.

Activities (each activity is numbered according to the output that it will contribute towards, for example 1.A, 1.B and 1.C are contributing to Output 1)

1A Project team inception meeting amongst key team personnel in Jakarta to confirm framework for project management, monitoring and reporting and to begin the process of identifying and collating the relevant data.

1B Meeting at start of project in Jakarta with key personnel within national government ministries (1-2 from each Ministries of National Development Planning (BAPPENAS), Land and Spatial Planning (BPN), Agriculture, Forestry & Environment, plus representative from the newly formulated Ministry of Female Empowerment to ensure gender is implicit in the participatory design) and relevant non-governmental organisations (e.g. CIFOR, FFI Indonesia), to identify evidence-base required for subsequent analyses.

1C Collate Kalimantan-wide baseline spatial data on environmental attributes identified above (e.g. biodiversity levels, forest cover, watersheds, other ecosystem functions) and poverty indicators (e.g. capital assets from latest national census in 2015; social perceptions from previous study), that are pertinent to allocating CFMs and 'Protection Forests'.

1D Map areas meeting official 'Protection Forest' criteria; production of Kalimantan-wide database.

1E Update maps of proposed and allocated CFMs from government sources; update of Kalimantan-wide database.

1F Update baseline deforestation estimates since 2000 using forest cover data available after the 2015 forest fires (allows for comparison of CFM areas inside and outside 'Protection Forests' across Kalimantan, before, during and after the project timeframe).

1G Prepare publications: Socio-economic and ecological performance of CFMs in Indonesia: evidence from Kalimantan' (target: *Conservation Letters or Human Ecology*).

1H Site visits and participatory workshops in 4 CFM case study villages (2 in East, 2 in West Kalimantan) to develop case studies to inform government guidance documents (in part using social network analysis - see also activity 2.4), and also identify and rank baseline multidimensional poverty indicators.

_____

2A Produce policy brief on environmentally and developmentally appropriate CFM allocation and circulate to relevant national mechanisms (e.g. CBD focal point, Indonesian REDD+ Taskforce), and make freely available on project website.

2B Train 3 facilitators in CFM policy and planning options at a dedicated workshop in Jakarta (mo20).

2C Produce guidelines of best practice based on the 4 case studies and circulate to governmental agencies and non-governmental organisations.

2D Develop public outreach through press releases, opinion pieces and social media. Measure amount of coverage generated in targeted media (e.g. Jakarta Globe, Jakarta Post, Tempo, Twitter feeds) before and after media campaign.

2E Two stakeholder consultation workshops (one each in East and West Kalimantan) with local governmental and non-governmental organisations, and indigenous groups, to present the case for appropriately allocated CFMs and 'Protection Forest', introducing the case studies identified and presenting Kalimantan-wide baseline data. Also to glean feedback on guidelines document, recruit MSc candidate and record beliefs and mind-set information via pre and post-workshop questionnaires for monitoring.

2F Undertake social network analysis linking local communities in case study areas with governmental and non-governmental stakeholders in CFM allocation. Subsequent manuscript (e.g. 'A social-network analysis of CFMs in Kalimantan, Indonesia: actors, perceptions and effectiveness of environmental policy') submitted to peer-reviewed open-access journal (mo 15).

_____

3A Postgraduate training of a government planning staff on DICE's MSc Conservation & Rural Development.

3B Stakeholder workshops at LIPI headquarters in Jakarta, with governmental and targeted non-governmental organisations, to train in planning techniques, and evaluate change in perceptions. Press briefing linked to workshops via LIPI communications team.

3C Measure changes in environmental and poverty indices used and disseminated to government via stakeholder workshop and to NGOs via media/website (annual meeting ahead of Darwin report).

3D Measuring of perceptions and changes to beliefs/mind-sets among government personnel.

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 leads: DICE   LIPI   UQ(&DICE)   BorFut (& LIPI)   All

Activity	No of months	Year 1 Q1	Q2	Q3	Q4	Year 2 Q1	Q2	Q3	Q4	Year 3 Q1	Q2	Q3	Q4
Output 1: EVIDENCE BASE													
1A Inception & data collation meeting (& * annual progress meetings)	1	All			*				*				*
1B Meeting with national government ministries and NGOs	1	BF			BF				BF				BF
1C Collate Kalimantan-wide baseline data on environmental & poverty indicators	6	UQ	UQ	UQ									
1D Map areas meeting official 'Protection Forest' criteria	3		DICE										
1E Update maps of proposed and allocated CFMs	6		LIPI		LIPI		LIPI		LIPI		LIPI		LIPI
1F Update deforestation estimates	6	BF	BF						BF				BF
1G Prepare manuscript on CFM & 'Protection Forest' area attributes	4					All	All						
1H Site visits & participatory workshops in 4 CFM case study villages	4					LIPI	LIPI						
Output 2: GUIDANCE & INFORMATION SHARING													
2A Produce and circulate policy brief	1					BF					BF		
2B Train 3 facilitators in CFM policy and planning options in Jakarta	1						BF						
2C Produce guidelines of best practice based on the 4 case studies	2						LIPI						
2D Develop public outreach through press releases etc.	2						BF		BF				
2E Measuring media coverage to determine impact of project.	33		BF	BF	BF	BF	BF	BF	BF	BF	BF	BF	BF
2F 2 stakeholder workshops (East & West Kalimantan): present evidence base, garner feedback, recruit MSc student.	2						BF						
2G Undertake social network analysis and prepare peer-review publication	12							UQ	UQ	All	All		
Output 3: GOVERNMENT CAPACITY BUILDING													
3A MSc training of a government planning staff	12							DICE	DICE	DICE	DICE		
3B 2 stakeholder workshops in Jakarta: train in spatial planning and evaluate perception change	2											BF	
3C Measuring environmental & poverty indices	3				All				All				All
3D Measuring perceptions and changes to beliefs/mind-sets	3						BF						BF

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)

Our monitoring and evaluation system is based on the process tracing described above. This consists of five stages and includes annual progress meetings and a minimum of quarterly Skype meetings to evaluate progress at each step.

Step 1: Collate evidence-base and case-study data for CFM decisions

(i) Evaluation of data collection strategy and methodologies at meetings with the team members (1A) and government partners (1B) with methodologies updated based on their feedback. (ii) Discussion and evaluation of data collection results (1C, 1D, 1E, 1F) during Year 1 annual progress meeting. (iii) Response to feedback from peer review process of manuscript on attributes of CFM and 'Protection Forest' areas (1G). Evaluation of poverty indicators through discussions and exit questionnaires at meetings with government partners (1B) and local stakeholders (1H).

Step 2: Advocacy by Darwin team for evidence-based CFM allocation among NGOs

(i) Evaluation of draft policy brief (2A) and best practice guidelines (2C) by circulating to representatives of the target audience and making changes based on feedback during the meeting. (ii) Monitor change of perception from entry and exit questionnaire (iii) Monitor the number of times these documents are downloaded from the project website and cited on Google Scholar. (iv) Circulate draft training plan for CFM policy and planning facilitators (2B) to relevant stakeholders for feedback on relevance and practicality.

Step 3: Demand from NGOs for evidence-based CFM allocation from government actors

(i) Monitor levels of public outreach through the press releases, opinion pieces and social media posts (2D), evaluating and modifying our own press releases and correspondence pieces (e.g. Meijaard in Jakarta Globe) after six months to ensure each segment of the target audience is reached. (ii) Measure changes in beliefs and mind-sets of NGO stakeholders before and after the stakeholder consultation workshops (2E). (iii) Use social network analysis (2F) to inform second stage of public outreach strategy and respond to feedback on the research through the peer-review process.

Step 4: Government actors increasingly support improved CFM allocation system

(i) Measure changes in beliefs and mind-sets of government stakeholders before and after the stakeholder consultation workshops (2E). (ii) Monitor how the perceptions and beliefs/mind-sets of government personnel change by comparing data collected before and after the media campaign, training workshops and interactions with project staff (3D).

Step 5: Create/amend policies and procedures for improved CFM allocation system

(i) The government planner who undertakes the MSc in Conservation and Rural Development will go through a number of evaluation processes as part of their studies, including the assessment of their research project (3A). (ii) Use pre- and post-questionnaires to evaluate changes in perceptions about using evidence-based CFM systems from the training workshops (3B) and use written tests to assess the effectiveness of the training. (iii) Use the data collected on environmental and poverty indices to assess how the adoption of the new planning techniques reduced impacts on biodiversity and livelihoods (3C).

Total budget for M&E	£23,394	*(includes £15,994 of Smith's salary not reflected in the Darwin budget-sheet).*
Percentage of total budget set aside for M&E		5%

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)

Our project will primarily comprise engagement with people: case-study households, government decision-makers and non-governmental organisations. Our total budget (£439,483) therefore reflects staff costs required for a multidisciplinary team (conservation policy, sociology, developmental economics, spatial planning). Recognising the impact of our work, all partner institutions have generously pledged matched salaries, in additional to Arcus funds for Meijaard, which we are confident will be renewed later in the project. We have also minimised overseas staff time to advisory/technical roles and M&E, which has also reduced dependence on expensive overseas travel. We will hold annual progress meetings in Jakarta, the most cost-efficient place to meet face-to-face, and doubling as opportunity for government meetings and M&E activities.

Operating costs will fund fieldwork required to collate multidimensional poverty data from case-study villages, and meetings needed to engage decision-makers. Our original operational budget has been reduced by focusing case-studies in one province, and hosting half the workshops in Kalimantan, reducing reliance on domestic air-fares to Jakarta for participants.

We build upon existing and relevant collaborations in Indonesia to maximise efficiency in project delivery. All personnel have worked together before and most have extensive experience working in Kalimantan with the very decision-makers we seek to influence. Because we have planned our project around a process trace we can revisit the design at incremental steps. This ensures positive returns are generated and our outcome achieved even if some output indicators require minor revision. These returns are exclusive of generalisations our target government audience will be able to make post-intervention to guide future environmental and poverty policy in Indonesia.

Darwin Initiative support is critical, for while individual case-studies may be funded through other means, the major benefits from this study lie in bringing together multiple case-studies and scientific evidence to key decision via a stable, complementary and cohesive team.

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)**

We were referred to the FCO website (updated 5th November 2015; current 30th November 2015). This states that there is a threat from terrorism in Indonesia, but notes that the points of risk are areas heavily congregated by foreigners, law enforcement interests and places of worship. It also points out that over 220,000 British nationals visit Indonesia each year trouble free (which has included the lead applicant for 15 years). Our region of interest is West Kalimantan with no records of terrorist activity, and fieldwork in case-study areas will be undertaken by Indonesian personnel (i.e. at low risk since they are not foreign nationals). Foreign project personnel will spend limited time in country. Meetings between the team and with government/non-governmental stakeholders are planned in small towns in Kalimantan (Ketapang and Putussibau) or at LIPI head-quarters Jakarta. We will of course arrange these meetings outside of national and religious holidays in low-profile venues, and monitor risk with the FCO and UK Embassy in Jakarta. On the miniscule chance that risk is elevated, the smaller city of Bogor offers an alternative venue at the LIPI national museum, 2 hours from Jakarta, and in fact is frequently used for such events.

2/3129

CERTIFICATION

On behalf of the trustees/company* of

(*delete as appropriate)

I apply for a grant of £   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)

Name (block capitals)	
Position in the organisation	

Signed**	PDF	Date:	

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

	Check
Have you **read the Guidance Notes**?	Yes
Have you provided **actual start and end dates** for your project?	Yes
Have you indicated whether you are applying for DFID or Defra funding? **NB: you cannot apply for both**	Yes
Have you provided your **budget based on UK government financial years** i.e. 1 April – 31 March and in GBP?	Yes
Have you checked that your **budget is complete**, correctly adds up and that you have included the correct final total on the top page of the application?	Yes
Has your application been **signed by a suitably authorised individual**? (clear electronic or scanned signatures are acceptable)	Yes
Have you included a **1 page CV for all the key project personnel** identified at Question 10?	Yes
Have you included a **letter of support from the <u>main</u> partner organisations** identified at Question 9?	Yes
Have you **been in contact with the FCO** in the project country/ies and have you included any evidence of this?	Yes
Have you included a **signed copy of the last 2 years annual report and accounts** for the lead organisation?	Yes
Have you **checked the Darwin website** 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 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.