



Submit by Monday 5 December 2016

**DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 23: STAGE 2**Please read the [Guidance](#) 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

24-003 ref 3751

**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>	Wildlife Conservation Society
<b>Address:</b>	2300 Southern Boulevard
<b>City and Postcode:</b>	Bronx, NY 10460
<b>Country:</b>	USA
<b>Email:</b>	
<b>Phone:</b>	

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

<b>Stage 1 Ref:</b> 3751	<b>Title (max 10 words):</b> Conservation and poverty alleviation through scalable agro-biodiversity practice in Laos
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**3. Project description (not exceeding 50 words)**

(max 50 words)

This project will deliver sustainable climate-smart forest resource use through promoting scalable agro-biodiversity practices that are successfully adopted by local communities bordering Laos' second largest and most biodiverse protected area, Nam Et Phou Louey National Protected Area; leading to greater biodiversity protection, reduced deforestation and improved welfare of vulnerable communities.

**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> Lao PDR	<b>Country 2:</b>
<b>Country 3:</b>	<b>Country 4:</b>

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

<b>Start date:</b> 01 April 2017	<b>End date:</b> 31 March 2021			<b>Duration:</b> 4 years	
<b>Darwin funding request (Apr – Mar)</b>	<b>2017/18</b> £112,317	<b>2018/19</b> £113,803	<b>2019/20</b> £88,131	<b>2020/2021</b> £119,227	<b>Total</b> £433,478
<b>Proposed (confirmed &amp; unconfirmed) matched funding as % of total Project cost</b>					<b>28%</b>

**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
<b>Surname</b>	McNamara	Sirivath	Bounpheng
<b>Forename (s)</b>	Sean	Hongthong	Phoomsavarth
<b>Post held</b>	Director, Nam et Phou Louey Landscape	Land and Livelihoods Coordinator	Director, Nam Et-Phou Louey National Protected Area
<b>Organisation (if different to above)</b>	Wildlife Conservation Society (WCS)	Village Focus International (VFI)	Provincial Agriculture and Forestry Office (PAFO)
<b>Department</b>	N/A	N/A	N/A
<b>Telephone</b>			
<b>Email</b>			

**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
23-014	John Polisar	Improving livestock management for economic-environmental stability in Mesoamerica's Mosquitia
23-024	Martin Callow	Securing marine fisheries, livelihoods and biodiversity in Myanmar through co-management
23-015	Michelle Wieland	Guinea pigs as guinea pigs – a replicable small-scale protein model
23-020	Stacy Jupiter	Sustaining biodiversity, livelihoods and culture in PNG's montane forests
22-016	Stéphanie D'agata	Securing livelihoods, health and biodiversity through seascape-scale sustainable fisheries co-management
22-014	Nicole Auil Gomez	Maximizing Benefits of Marine Reserves and Fisheries Management in Belize

**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>Wildlife Conservation Society (WCS)</p> <p><a href="http://www.wcs.org/">http://www.wcs.org/</a> <a href="https://laos.wcs.org/">https://laos.wcs.org/</a></p>	<p>Details (including roles and responsibilities and capacity to lead the project): (max 200 words)</p> <p><b>WCS</b> is a US-based non-profit organization that works in nearly 60 countries around the world. We have operated in Laos since 1990 under a Memorandum of Understanding with the Ministries responsible for forests, agriculture and environment. WCS Lao Program has 46 staff and operates out of a central office in the capital city, Vientiane, and two provincial offices. WCS's provincial office in Houaphanh directs co-management operations of the Nam Et-Phou Louey National Protected Area (NEPL NPA), whereby provincial and district governments along with communities play key roles in, and all receive benefit from, NEPL's management.</p> <p>WCS's NEPL program contains six components that ensure a comprehensive approach to biodiversity conservation, which comprises Community Engagement, including livelihoods linked to conservation, Capacity Development, NEPL Integrated Management Unit, Natural Resource Protection, Sustainable Financing, and Monitoring and Research. WCS's goal in partnership with the Government of Lao (GOL) is to conserve the NEPL ecosystem and its functions through a program that will become a model in Asia.</p> <p>WCS will coordinate and manage all aspects of the project, from working in the field with local communities to collaborating with partner organizations and government counterparts. We will also be responsible for all technical and financial reporting.</p>
Have you included a Letter of Support from this institution?	Yes

<p><b>Partner Name and website where available:</b></p> <p>Village Focus International (VFI)</p> <p><a href="http://villagefocus.org/">http://villagefocus.org/</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p><b>VFI</b> is registered as a 501(c)(3) non-profit organization in the US and as a local NGO in Lao PDR. Present in Laos since 2000, VFI supports improved capacity, knowledge and participation in land-use decision making for government, civil society, private sector, and local communities - particularly women and ethnic groups - so that rural communities can enjoy secure land tenure and exercise the right to use their land in a sustainable and equitable manner. VFI has supported WCS efforts to establish clear local community tenure and land use rights in enclaves in the NEPL NPA, and has been central to developing a community conservation agreement (CCA) process in Laos.</p> <p>VFI will support the development of CCAs with target communities. These agreements will be a key part of the implementation of the activities under this project.</p> <p>Hongthong Sirivath, Land and Livelihoods Coordinator, will oversee the organization's activities and provide technical leadership. Mr. Sirivath is responsible for leading VFI efforts in the development of the CCA process in Laos and brings a wealth of knowledge and experience to the project.</p>
Have you included a Letter of Support from this institution?	Yes

<p><b>Partner Name and website where available:</b></p> <p>Nam Et Phou Louey Management Unit, Provincial Agriculture and Forestry Office (PAFO)</p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>The Ministry of Agriculture and Forestry and specifically the Department of Forest Resources and Management has a mandate for the management of national protected areas and forests protection activities in the country. For Nam Et Phou Louey NPA, which sits within three provinces, this management responsibility is executed through the <b>Provincial Agriculture and Forestry Offices (PAFO)</b> in Houaphan, Luang Prabang and Xieng Khouang Provinces. The directive of the Nam Et Phou Louey Management Unit, in partnership with WCS, is to conserve the Nam Et-Phou Louey National Protected Area ecosystem and establish model protected area management practices in Lao PDR.</p> <p>The Nam Et Phou Louey Management Unit is the central counterpart to WCS in all actions and activities related to this project. Mr. Bounpheng Phoomsavarth, Director of the NEPL Management Unit, will provide administrative and political support to ensure timely implementation and dissemination of all project actions and outcomes.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p><b>Yes</b></p>

## 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?
Sean McNamarra	Project Leader	WCS	12%	Yes
Sivilay Douangdala	Project Site Coordinator	WCS	20%	Yes
Jay White	Project Site Technical Assistant	WCS	20%	Yes
Maihiem Thipphavong	Biodiversity Monitoring Officer	WCS	20%	Yes
Muas Yachithor	Community Land and Livelihoods Officer	WCS	80%	Yes
Akchousan Rasphone	Biodiversity Monitoring Technical Coordinator	WCS	12%	Yes
Khanthong Xaiyavong	Data Management and Monitoring Officer	WCS	20%	Yes
Viseth Chanthachone	Land and Livelihoods Field Coordinator	VFI	74%	Yes
Hongthong Sirivath	Land and Livelihoods Coordinator	VFI	9%	Yes
Akkarawit Muangkul	Community Development Specialist	VFI	3%	Yes

## 11. Problem the project is trying to address

Please describe the problem your project is trying to address in terms of biodiversity and 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)

Nam Et Phou Louey (NEPL) is Laos' second largest, and most biodiverse, protected area<sup>1,2,3</sup>. It represents the last viable habitat for tigers (*Panthera tigris*) in Indochina and supports populations of at least 17 other species of conservation concern, including the Critically Endangered Northern White-Cheeked Gibbon (*Nomascus leucogenys*), Sundra Pangolin (*Manis javanica*) and Chinese Pangolin (*Manis pentadactyla*). Largely situated in the northeast province of Houaphan, which has the country's highest poverty rate<sup>4,5</sup>, NEPL covers 476,000ha of dry evergreen and deciduous forest, with 172,000ha designated as controlled use for over 30,000 people inhabiting 98 villages. Households there are cash-poor and fully dependent on NEPL's agro-biodiversity resources, such as wild plants and meat, for their subsistence and income<sup>6</sup>. Unfortunately, these local communities lack means for effective stewardship and access to improved production systems that enable sustainable land management and which would deliver increased economic and environmental benefits. This problem, compounded by weak governance, has resulted in unchecked agricultural encroachment, wildlife hunting, and overexploitation of NEPL's resources, leading to increasing deforestation and subsequent destabilization of local livelihoods.

Recently escalating contract farming for maize is further driving deforestation and displacing subsistence-based agriculture<sup>7</sup>. As a result, annual forest loss exceeds 1,300ha with significantly larger areas of forestland degradation,<sup>8,9</sup> threatening the integrity of NEPL, the security of forest-dependent livelihoods, and reducing the habitat for a range of species. These factors are driving an acceleration of biodiversity loss, with recent WCS-led research finding lower than expected abundance of populations of medium and large-sized ungulate species in NEPL<sup>10</sup>, an estimated annual hunting off-take of wild meat equalling the prey-base needed to sustain a tiger population<sup>11</sup>, and tiger abundance significantly lower in areas with greater human presence and disturbance<sup>12</sup>.

## 12. Biodiversity Conventions, Treaties and Agreements

Your project must support the objectives of one or more of the agreements listed below. Please indicate which agreement(s) will be supported and describe which objectives your project will address and how. Note: projects supporting more than one will not achieve a higher score.

<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

<sup>1</sup> Davidson, P. (ed.). 1998. A Wildlife and Habitat Survey of Nam Et and Phou Louey NBCAs, Houaphanh Province, Lao PDR. WCS/CPAWM, Vientiane.

<sup>2</sup> Ling, S. D.. 1999. A Biological System of Prioritization for Protected Areas in the Lao PDR. Report to WCS.

<sup>3</sup> Robichaud, W., C. Marsh, S. Southammakoth and S. Khounthikoummane. 2001. Review of the National Protected Area System of Lao PDR. Lao-Swedish Forestry Programme, Division of Forest Resources Conservation and IUCN – The World Conservation Union, Vientiane.

<sup>4</sup> Three quarters of the population are classified as poor with an equivalent 2002 per capita GDP of just \$204 against a national average of \$350.

<sup>5</sup> UNDP. 2002. Lao PDR Human Development Report 2001: Advancing Rural Development. United Nations Development Programme, Vientiane.

<sup>6</sup> Emerton, L. 2005. Making the economic links between biodiversity and poverty reduction: the case of Lao PDR. IUCN Ecosystems and Livelihoods Group Asia.

<sup>7</sup> Emerging Markets Consultants. 2015. Maize Value Chain Analysis, Houaphanh Province Lao PDR. Report to WCS.

<sup>8</sup> Johnson, A. Krahn, J. and Seateun, S. 2010. Finding the Linkages between Wildlife Management and Household Food Consumption in the Uplands of Lao People's Democratic Republic: A Case Study from the Nam Et-Phou Louey National Protected Area. USAID Translinks.

<sup>9</sup> McNamara, S. 2015. Report on the Assessment of Drivers of Deforestation and Forest Degradation in Houaphanh Province Lao PDR. WSC/ClIPAD/GIZ

<sup>10</sup> Vongkhamheng, C. and Johnson A. 2013. A baseline survey of ungulate abundance and distribution in northern Laos: implications for conservation. Oryx 47(4) 544-552.

<sup>11</sup> Johnson, A. Vongkhamheng, C. Hedemark, M. and Saithongdam, T. 2006. Effects of human-carnivore conflict on tiger (*panther tigris*) and prey populations in Lao PDR. Animal Conservation 9 421-430.

<sup>12</sup> *ibid*

<b>Convention on International Trade in Endangered Species (CITES)</b>	No
<b>Global Goals for Sustainable Development</b>	Yes

### 12b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the agreement(s) your project is targeting and how your project will help to achieve the Global Goals for Sustainable Development (SDGs). You should refer to Articles or Programmes of Work here. Note: No additional significance will be ascribed for projects that report contributions to more than one agreement

**(Max 500 words)**

This project will directly address three of the five strategies identified in Laos' National Biodiversity and Action Plan (NBSAP) 2016–2025 to meet the requirements of the CBD. The stated goal of the NBSAP is to '*enhance the role of biodiversity as a national heritage and as a substantial contributor to poverty alleviation, as well as sustainable and resilient economic growth*'. The key objectives to support the goal, which are also aligned to the global goals for biodiversity, are:

1. Institutionalize innovative multi stakeholder efforts to arrest the degradation and enhance conservation of ecosystems and biodiversity resources therein.
2. Provide clear and enforceable guidance for the sustainable use of biodiversity resources to support poverty alleviation and sustainable economic growth.
3. Establish practical mechanisms for ensuring fair and equitable sharing of benefits from the use of biodiversity resources.

By introducing climate-smart agro-biodiversity approaches to land-use planning, which are scalable and inform both land use and forest law and policy development, this project will directly support achieving these 3 objectives, as well as align with the climate change and disaster risk reduction cross-cutting themes. Specifically, the project will support NBSAP strategy 1 '*Protect the country's diverse and economically important ecosystems*' targets 1.1.1 (Aichi Target 5) and 1.1.3 (Aichi Target 11), targets 1.3.1 (Aichi Target 13) and 1.3.2 (Aichi Target 8); NBSAP strategy 2 '*Integrate the Value of Biodiversity to Socio-Economic Decision Making To Ensure Sustainable Use and Funding*' target 2.1.1 (Aichi Target 2); NBSAP strategy 4 '*Inspire and Enable actions through better Communication, Education and Public awareness*' target 4.1.2 (Aichi Target 1).

This project will also support actions identified in Laos' National Agro-biodiversity Program 2015-2015, which underpins approaches to meeting the SDGs related to sustainable livelihoods, improved food security, and habitat protection (SDG targets 2.3, 2.4, 8.3, 15.5).

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

**Yes**

WCS has supported the development of the NBSAP 2016-2025, which this project will contribute toward realizing. In this support, WCS maintains communication with the NBSAP and CBD focal point Dr. Inthavy Akkarath, Acting Director of Lao National Mekong Commission Secretariat, Ministry of Natural Resources and Environment. WCS will continue to maintain regular communication with Dr. Inthavy, and support to the NBSAP, over the life of this project informing on the project's progress and outputs. Similarly, WCS will maintain communications with SDG focal point Mr. Davy Vongxay, Head of Socio-Economic Division, Department of International Organization, Ministry of Foreign Affairs on project progress and outputs, and contribute to national forums related to Lao's SDG commitments.

### 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.)

Laos is globally unique with regards to agro-biodiversity, with over 100 species cropped and 2,000 species collected for food or other purposes<sup>13</sup>. This reliance of forest-dependent populations on agro-biodiversity for subsistence and income introduces opportunities to improve and diversify livelihoods by mainstreaming climate-smart<sup>14</sup> agro-biodiversity approaches into formal governance instruments to create community-focused incentives that enable sustainable resource management linked to biodiversity conservation. In this project, climate-smart agro-biodiversity will be promoted and mechanised through community conservation agreements linked with improved conservation practice. We will employ a phased approach that builds on established participatory land use planning (PLUP) carried out by WCS in all target villages:

#### 1. Develop Community Conservation Agreements (CCAs).

VFI will lead in the development of CCAs in each village using a government-recognized community engagement framework<sup>15</sup>. CCAs will be based on PLUP already completed by WCS that zones village land for community forest and agricultural production. Methods include: 1) orientation workshops and community awareness and resource diagnostics in each target village, and 2) village stakeholder and focus group meetings to develop each CCA and associated community action plan. CCAs will identify specific forest management and agro-biodiversity support needs and detail accompanying regulations governing resource use, including mutually agreed governance mechanisms that address illegal hunting and agricultural expansion in the Total Protection Zone.

#### 2. Implement agro-biodiversity approaches.

Informed by village CCAs, WCS will implement agro-biodiversity approaches that i) target non-timber forest products (NTFPs) including red mushrooms, honey and bamboo shoots and promote value-added species such as shade grown coffee and native ginger; and ii) demonstrate and promote climate-smart agro-biodiversity production systems. Methods include: 1) traditional knowledge surveys and agro-biodiversity feasibility studies; 2) annual technical training and capacity building in all villages for both forest management and agro-biodiversity systems; 3) initial demonstration plantings in forest and agricultural land, with up-scaling in subsequent years based on adaptive management principles<sup>16</sup>; 4) establishing village associations, with a focus on women's associations, for relevant forest resource use and biodiversity protection activities such as snare sweeps.

#### 3. Develop market linkages through agro-biodiversity conservation enterprise.

To ensure sustainability and incentive of village CCAs, we will work with the WCS-led Conservation Enterprise Development Program (CEDP) to support development of local conservation enterprises that provide farmers with access to higher value markets. Methods include: 1) technical training and improved production techniques for higher value, sustainably produced agricultural products; 2) product quality control training in the initial stages of enterprise development; 3) facilitation and participation in discussions with producer groups and private buyers to ensure that conservation commitments within CCAs are met; 4) initial construction and purchase of necessary equipment and infrastructure to prime the enterprise (i.e., coffee hulling machinery, washing facilities).

This project will serve as a model approach for sustainable change in communally-managed village forests and, as such, will support Laos' National Agro-Biodiversity Program (ABP) 2015-2025. Additionally, it will help inform the National Land Law and policy to help strengthen land tenure rights and address improved livelihoods and food security for rural farming communities.

<sup>13</sup> Lao PDR National Agro-Biodiversity Programme and Action Plan (2015-2025)

<sup>14</sup> 'climate-smart' refers to forestland and agricultural land practices that sustainably increase productivity and income, and are diversified and adaptable to increase resilience to climate change.

<sup>15</sup> Community Engagement Framework Field Manual Draft July 18 2016. Lao Environmental Protection Fund

<sup>16</sup> Based on Open Standards for the practice of Conservation by the Conservation Measures Partnership.

**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.

(Max 300 words)

In Laos, and as represented in NEPL, local community engagement is central to enabling transformative change to ensure sustained species and habitat protection. By introducing climate-smart agro-biodiversity approaches to forest-dependent communities bordering NEPL, this project will improve protection of species and habitats within the NEPL by reducing threats to the biological integrity of the protected area, such as land clearing/grabbing and hunting. This change will come through delivering secure village resource use rights that enable a realized benefit from improved forestland stewardship. Community engagement will be directly linked to improved conservation-focused behavior through commitments and responsibilities articulated in CCAs. At the same time, these agro-biodiversity approaches will help alleviate poverty by improving household economies through access to higher value markets for sustainably produced products.

In the short term, changes expected as a result of this project include (i) significantly reduced rates of deforestation, (ii) stabilized, or increasing, populations of large predators and medium-sized ungulate prey species, and (iii) increased economic benefits for communities as a clear direct or indirect result of improved resource stewardship and improved agro-biodiversity approaches and related enterprises.

Long-term benefits will include sustained reductions in deforestation and degradation, as well as the development of a scalable model of sustainable climate-smart agro-biodiversity balancing biodiversity protection and sustainable land use. This model will inform both the National Land Law and policy development, and allow for the achievement of the 2016–2020 National Socio-Economic Development Plan, which identifies three supporting pillars of development: economic growth, cultural preservation, and environmental sustainability. Long-term sustainability will be ensured as (i) governments implement and enforce environmental and social policies that value biodiversity protection and equitable forest governance and (ii) communities realize improved resource stewardship through improved land-use practices, secured user rights and access to markets.

**15. Pathway to poverty alleviation**

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)

This project will support livelihoods through improved land-use planning, secure resource management, climate-smart agriculture practices and increased access to markets for sustainably produced agriculture products. We will target households who's livelihoods are at risk of been negatively impacted due to expanding agro-industrial development, but also disadvantaged and economically vulnerable groups. Our approach will mobilize private funding through conservation enterprise development to ensure sustainability of agro-biodiversity practices and secure the natural capital on which these communities depend. PLUP and conservation agreements, the major planning tools to be used, incorporate poverty mainstreaming techniques to ensure the inclusion of pro-poor development activities in project implementation plans.

The direct beneficiaries of this project will be 135 families (about 700 individuals) in 100 households. These families will receive direct support for: establishing improved agro-biodiversity systems on their land; participating in conservation enterprise establishment; improved NTFP processing. Indirect beneficiaries of this project, engaged through training and

exchanges, will include 1,125 families (about 5,980 individuals in 835 villages). Both the conservation enterprise, and the improvements in processing and marketing of agro-biodiversity products are expected to bring tangible income benefits to the broader community in the years immediately after the direct benefits are provided.

Disparities among men and women still persist in Lao PDR with regard to well-being and natural resources management decisions. Women tend to have different perspectives on forest resource management and conservation that need to be considered and capitalized upon. This project will involve women in all aspects of project planning at village level and, where appropriate, will use gender disaggregated discussion groups to ensure that their views are heard and considered. It is anticipated that women will play a key role in the sustainable management and value-added processing of NTFPs, and establishment and empowerment of women's associations is a target under Output 2.

## 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)

WCS has been directly involved in co-management support to NEPL NPA and has identified it as a priority landscape within Laos where we aim to conserve forests, wildlife and local livelihoods through an integrated approach to biodiversity protection, sustainable natural resource use and development. This project fits into our long-term strategy and builds upon our established relationships with government agencies in management of NEPL, as well as our engagement with local communities bordering NEPL and accessing the park's multiple-use zones.

Building on our established relationships, we will actively engage stakeholders in project activities and ensure that project approaches are included in park and community management strategies. Additionally, the project will be structured so as to establish land-use plans and conservation agreements, in alignment with national strategies, in Years 1 and 2, so that the final two years can focus on enabling sustainability of this architecture through improved, and incentivized, resource use practices. As benefits become realized in focal villages, this project will serve as a clear, scalable model of sustainable climate-smart agro-biodiversity (Output 5) that can be incorporated into forest resource use practices by other forest-dependent communities, which will further ensure that benefits are sustained after the project finishes.

## 17a. Harmonisation

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

(Max 200 words)

As outlined above, this project fits within a larger WCS strategy for NEPL. Since 2004 WCS has worked with government agencies and local communities in PA zonation, PLUP and incentivized sustainable resource use practices through enterprise development. In this Darwin project, we aim to focus on linking agro-biodiversity to greater biodiversity protection, reduced deforestation and improved welfare of vulnerable communities. This critical component of the larger strategy is currently underdeveloped in NEPL, as well as within national strategies. By focusing on this specific aspect of the larger strategy, we will add measurable value to our existing work, while harmonizing with on-going projects and the strategic goals of Lao's agro-biodiversity program 2015-2025.

WCS has already undertaken several pilot projects and feasibility assessments within the project area, including economic, social and environmental sustainability and suitability

assessments of shade-grown coffee, bamboo and NTFPs, which have informed development of this proposal. In several target districts, WCS has worked directly with VFI on framework strategies to balance development needs with biodiversity protection and PA management. These efforts have built trust between WCS and target communities, guided development of the priorities and objectives of this proposal, and helped establish the working relationship between WCS and VFI.

**17b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work? No**

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

N/A

**18. Ethics**

Outline your approach to meeting the Darwin Initiative's key principles for research ethics as outlined in the [Guidance](#).

(Max 300 words)

WCS is a founding member of the Conservation Initiative for Human Rights (<http://community.iucn.org/cihr>) and works closely with local communities to ensure ethical approaches to biodiversity conservation. These efforts are supported by the WCS Institutional Review Board (IRB), which is charged with reviewing the level of risk to human subjects in research, assessing the methodology and protections afforded those subjects, and ensuring that they are exposed to no greater risk than they would experience in everyday life.

In Laos specifically, WCS has had a permanent presence in country for >20 years and the foundation of our work is the strong emphasis we place on community engagement and working in partnership with local communities, including the minority ethnic groups Hmong, Kamu, and Lao Loom, present in the NEPL landscape to help them manage their own resources. Such an approach is essential where more than 80% of the population engage in farming and forest products collection as their primary occupation.

Central to our approach, Free Prior and Informed Consent (FPIC) requirements must be the basis for community-focussed engagement. Our partnerships with local and indigenous people strive to understand, value, and apply traditional knowledge to addressing biodiversity and poverty alleviation challenges. This contributes to local efforts to improve human wellbeing by affirming cultural identity in the face of rapid change, while making explicit our shared interest in finding alternatives to dominant approaches to economic development.

Specific to this Darwin project, we will ensure:

- FPIC used throughout all project activities
- Respect for traditional knowledge and traditional rights
- Transparent and open engagement of communities in design of Conservation Agreements
- Respect for the rights and privacy of project participants, ensuring no sharing of personal information without consent
- Findings/results will be shared directly with communities and used for their benefit
- Inclusion of women, girls and other marginalized groups

**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 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)

This project will produce a variety of knowledge sharing materials informing on the effectiveness of sustainable climate-smart agro-biodiversity to address poverty in rural populations and deliver biodiversity protection. These will include guidelines on community CCA development and monitoring, agro-biodiversity practices, and community-focussed conservation enterprise development. The primary audiences for these materials will be local communities, government agencies, CSOs and technical partners.

Practical communication to communities will primarily be through training sessions, as well as the production of information materials on agro-biodiversity practice, forestry management, and the importance of biodiversity protection. Materials will be produced in Lao and English. These materials will be made available to local stakeholders in print versions and through oral presentations and workshops, so as not to exclude community members with poor reading skills and/or no internet access. Attention will be given to delivering this information to women and other disadvantaged groups. WCS has a well-established and experienced outreach team in NEPL, with a history of education and training outreach in the communities bordering NEPL; this team will be responsible for ensuring this knowledge sharing.

More broadly, WCS will also raise awareness on improved resource management, biodiversity and the outcomes of this project through our existing website and social media, as well as through media releases and articles in the national and regional press. Project activities and results will also be actively shared with UK Embassy for Laos (in Vientiane), and the CBD focal point.

Finally, to reach international conservation and development agencies and donor groups, project reports, guidelines and working papers will be presented in national forums and working groups – specifically the National Protected Areas Partners Group, which is currently chaired by WCS. As well, reports and working papers will be presented, opportunistically in regional and international events.

## 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)

We will work to build capacity among community members, community organizations, local government agencies, national ministries, and national technical partners. These stakeholders have been incorporated into all phases of the project.

**Direct training:** This project is focused on community capacity building and local empowerment. Technical training in natural resource management, climate-smart agro-biodiversity practices, and biological monitoring will be conducted in a nested fashion at the community and household levels, and formalized in conservation contracts. These trainings will also involve government agency counterparts as both trainers and participants to better ensure sustainability beyond the life of the project. This approach will include rights awareness, practical hands-on training, and participation alongside national and international technical experts.

**Training of trainers and Demonstration sites:** With VFI, we will carry out training of trainers who will ensure continued support to community members. These community trainers will work with WCS beyond the project period to ensure sustainability of improved practices, and to liaise with community leaders and families. At least 15 demonstration agro-biodiversity production systems will be established on village agricultural land to serve as long-term models for community members. They will also provide an opportunity for neighbouring communities to

observe improved techniques, exposing them to the concepts and practices in a participatory fashion that will help spread improved capacity.

**Conservation agreements:** Conservation agreements empower local communities and individual project participants to take primary ownership and responsibility for implementation and enforcement of conservation actions (e.g. reduced hunting, reduced agriculture encroachment) and outcomes associated with improved land-use practice.

**Models for conservation and development:** The combination of climate-smart agricultural techniques and explicit conservation agreements that are linked to improved resource use and reduced threats to biodiversity will serve as a model for Lao to deliver integrated development and conservation in remote communities to help meet NBSAP goals.

## 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)

**General public access:** All major outputs from this project will be made available through WCS Lao programme's website where reports, guidelines and other materials will be freely accessible to download. The WCS Lao programme website is already established and running (<https://laos.wcs.org>). Information and documentation related to community conservation contracts and community engagement framework will also be freely accessible through the VFI website (<http://villagefocus.org>). VFI also has an information center and library located at their central office in Vientiane where project-related information will be made available.

No specific funds are required from Darwin to support this information sharing.

**Local community access:** More detailed information and data collected from, and with, target communities from the project area will, as a first priority, be repatriated directly to the communities involved. This will be undertaken through community meetings that will be ensured by WCS's NEPL technical team and VFI support team, with information presented in the local language. Details of community conservation agreements, and maps identifying community land zonation will be publicly displayed in each village, as is customary, following local regulations.

**National and regional stakeholder access:** Project reports, guidelines and working papers will be presented in national forums and working groups – specifically the National Protected Areas Partners Group, which is currently chaired by WCS. As well, reports and working papers will be presented, opportunistically in regional and international events.

## 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:

Total match: £XXX

Match sources:

US Fish and Wildlife Service; AFD/FFEM; Kreditanstalt fuer Wiederaufbau (KFW)

### 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.

<b>Date applied for</b>	<b>Donor organisation</b>	<b>Amount</b>	<b>Comments</b>
December 2016	US Fish and Wildlife Service	£XXX	Pending review with availability anticipated in second quarter of 2017. Very strong likelihood of funding.
November 2016	Kreditanstalt fuer Wiederaufbau (KfW)	£XXX	Pending review with anticipated availability in first quarter of 2017. Very strong likelihood of funding.
November 2016	World Bank (GEF/LENS2)	£XXX	Pending review with anticipated availability in first quarter of 2017. Very strong likelihood of funding.

### 22c) None

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

(max 100 words)

N/A

### 23) Risk

Explain how you have considered the risks and threats that may be relevant to the success of this project, including the risks of fraud or bribery.

(max 200 words)

Risk of limited government commitment, and community capacity, to reverse actions causing large-scale deforestation is low. The expectation is that sufficient will and capacity exists, ensuring that the project will have a significant impact. This is evidenced by GOL national commitments to village forestry and agro-biodiversity.

There is very low risk of government staff turnover. WCS has worked with, and built capacity of our government technical partners, for over 10 years and our MOU further secures our ability to maintain this partnership.

Weather events are, in general, not a significant risk. All project field activities has been planned according to seasonality, rain, and community farming schedules to ensure minimal delay.

Risk that enterprise development and market access for add-value agro-biodiversity products are insufficient to offset opportunity costs of more traditional unsustainable agriculture practices including contract farming is moderately low. Studies carried out by WCS indicate tangible added value which, enabled through sound land-use planning and conservation agreements, will reduce community opportunity costs and align with government national forestry strategy and NBSAP.

WCS is subject to the US Foreign Corrupt Practices Act (FCPA) and requires all subgrantees and other recipients of WCS's funds to comply with these provisions.

## PROJECT MONITORING AND EVALUATION

### MEASURING IMPACT

#### 24. LOGICAL FRAMEWORK

Darwin projects will be required to report against their progress towards their expected outputs and outcomes if funded. This section sets out the expected outputs and outcomes of your project, how you expect to measure progress against these and how we can verify this.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p><b>Impact:</b> Sustainable, climate-smart forest resource use practices are successfully adopted by local communities bordering NEPL and modelled for PAs across Laos, leading to biodiversity protection and improved welfare of vulnerable communities. (Max 30 words)</p>			
<p><b>Outcome:</b> Reduced deforestation and improved conservation practice through implementation of scalable agro-biodiversity practice in village forestland and agricultural land that protects biodiversity while improving incomes and welfare for forest-dependent populations.</p>	<p><b>0.1 Local Livelihoods:</b> By the end of the project, at least 100 households in 10 forest-dependent communities bordering NEPL will benefit from an increase in household revenue (&gt; 15% compared to 2017 baseline) as a result of improved forest resource stewardship.</p> <p><b>0.2 Biodiversity:</b> Populations of target species: northern white-cheeked gibbon, large predators (Asian golden cats, clouded leopards, dholes) and large and medium sized ungulate prey species (sambar deer, muntjac, serow, gaur and wild pigs) will be stable or increasing compared to a 2015 baseline.</p> <p><b>0.3 Forest Cover:</b> By the end of the project, rate of deforestation in the NEPL total protection zone adjacent to target communities is reduced by 60% from 2016 baseline.</p> <p><b>0.4 Policy:</b> By the end of the project, a scalable model of sustainable, climate-smart agro-biodiversity is established and available for replication in forest resource use practices by forest-dependent communities in other protected areas in Laos.</p>	<p><b>0.1 Local Livelihoods:</b> Number of Community Conservation Agreements finalized and endorsed by government; number of conservation enterprises established, and linked to national / regional markets; results of participatory rural appraisals</p> <p><b>0.2 Biodiversity:</b> Quantitative data from camera trap arrays and gibbon surveys in forests near target communities;</p> <p><b>0.3 Forest Cover:</b> Results of satellite imagery analysis; Forest cover monitoring reports;</p> <p><b>0.4 Policy:</b> Guidelines produced and disseminated; number national, regional and international conference attendance.</p>	<p>Rates of habitat and species loss will respond to changes in local land use practices;</p> <p>Local communities continue to be willing to participate in innovative activities;</p> <p>Local authorities continue to be supportive and engaged;</p> <p>Other policy initiatives will prioritize local innovative models of benefit-sharing that empower local forest-dependent communities;</p> <p>Climatic events and/or disease do not impact wildlife populations in such a way that may reduce our ability to reach wildlife targets.</p>

<p><b>Outputs:</b></p> <p><b>1.</b> Model community conservation agreements (CCA) are developed and implemented in forest-dependent communities.</p>	<p><b>1.1</b> At least 10 villages have village forests under community conservation agreements (CCAs) signed off by the District Governor and neighboring villages by the 3rd year of the project (baseline = 0 in 2016);</p> <p><b>1.2</b> By year 4 of the project, 74,000 Hectares of targeted landscapes are managed under CCAs (baseline = 0 hectares in 2016);</p> <p><b>1.3</b> Forest-dependent communities gain exclusive agro-biodiversity use rights over 7,000 hectares of land during the course of the project (baseline = 0 hectares managed exclusively for agro-biodiversity forest 2015).</p>	<p><b>1.1</b> Signed CCAs;</p> <p><b>1.2</b> Maps of areas covered by approved CCAs;</p> <p><b>1.3</b> Maps of demarcated agro-biodiversity forest areas covered by approved CCAs.</p>	<p>Appropriate forest and land governance policies, which recognize the community-empowered resource use rights are in place or in review;</p> <p>Political climate and decentralization process continues to support community-focussed land use planning and improved stewardship.</p>
<p><b>2.</b> Forest-dependent communities bordering NEPL have improved livelihoods through sustainable use of non-timber agro-biodiversity resources in managed village forests and diversified agro-biodiversity production systems in agricultural land.</p>	<p><b>2.1</b> By year 4 of the project, at least 500 famers trained in collection and processing of agro-biodiversity resources in managed village forests (i.e. coffee, red mushrooms, bamboo shoots, honey and bees wax,) with at least 25% being women (baseline = 0 farmers training in 2016);</p> <p><b>2.2</b> By quarter 2 of year 3 of the project, at least 15 demonstration agro-biodiversity production systems established in village agricultural land (baseline = 0 demonstration systems in 2016);</p> <p><b>2.3</b> By year 3 of the project, at least 4 women's associations focussed on collection and processing of products established (baseline = 0 NTFP associations in 2016);</p>	<p><b>2.1</b> Attendance and summary reports from village-level trainings;</p> <p><b>2.2</b> Demonstration systems established and mapped;</p> <p><b>2.3</b> Records of women's associations established;</p>	<p>Pilot studies and feasibility assessments carried out indicate that sufficient benefits and feasible enterprise opportunities exist to provide additional income to villages;</p> <p>Local communities continue to be willing to participate in innovative activities;</p> <p>Local authorities continue to be supportive and engaged;</p>
<p><b>3.</b> Local income-generating activities that are climate smart and innovative, including environment-friendly</p>	<p><b>3.1</b> By the end of the project, at least 1 Agro-biodiversity / conservation enterprise is established, and linked to</p>	<p><b>3.1</b> Formalized pilot village-based enterprise agreements; Activity and sale reports from the model enterprise(s).</p>	<p>Pilot studies and feasibility assessments carried out indicate that sufficient benefits and feasible enterprise</p>

<p>sustainable agriculture through the Conservation Enterprise Development Program (CEDP) are set up and expanded in the forest-dependent communities bordering NEPL.</p>	<p>national / regional markets (baseline = 0 conservation enterprise in 2016);</p>		<p>opportunities exist to provide additional income to villages; Local communities continue to be willing to participate in innovative activities; Local authorities continue to be supportive and engaged;</p>
<p><b>4.</b> Species and forest habitat protection is significantly increased in the total protection and controlled use forests of NEPL adjacent to target communities.</p>	<p><b>4.1</b> Illegal extraction of timber and non-timber natural resources in NEPL total protection zone adjacent to at least 10 village areas is reduced by 50% against a 2017 baseline (to be established); <b>4.2</b> At least 90% of community members in the target villages are aware of hunting laws and the impacts of illegal hunting by 2019 against a 2014 baseline = 30%; <b>4.3</b> By the end of project there will be a 50% reduction in hunting and poaching in the NEPL total protection zone adjacent to target villages (compared to a 2017 baseline to be established).</p>	<p><b>4.1</b> Household surveys and community monitoring reports; results from ranger-based monitoring tool SMART (Spatial Monitoring and Reporting Tool); <b>4.2</b> Community outreach campaign reports and household surveys; <b>4.3</b> SMART reports quantifying prevalence of biodiversity threat as measured by threat encounter per kilometre walked inside the NEPL total protection zone.</p>	<p>Over a decade of direct implementation support to management of NEPL supports that there will be adequate and available relevant imagery and practical feasibility of field-based monitoring programs at the site level; Link between rates of habitat and species loss and encroachment; Local authorities are supportive and engaged; Climatic events and/or disease do not impact wildlife populations in a way that will prohibit us from successfully reaching wildlife targets.</p>
<p><b>5.</b> A scalable model of sustainable, climate-smart agro-biodiversity is established and available for replication in forest resource use practices by forest-dependent communities in other protected areas in Laos.</p>	<p><b>5.1</b> By the end of the project, an evaluation of impacts and lessons learned guidelines from this project is published and disseminated to all stakeholders including local government agencies, CSOs, development and technical partners; <b>5.2</b> By the end of the project, at least 4 exchanges are held with other forest-dependent communities bordering NEPL to expose them to sustainable agro-biodiversity concepts and practices in a participatory fashion promote wider adoption; <b>5.3</b> By the end of the project, at least 2 working papers outlining the</p>	<p><b>5.1</b> Guidelines produced and disseminated; <b>5.2</b> Reports of exchanges held between local communities; <b>5.3</b> Working papers produced; attendance and presentations of project results at national, regional and international events attended.</p>	<p>Results from this project will be applicable and scalable to other similar contexts in Laos; Local authorities are supportive and engaged; Local communities outside of our project focal area are willing to participate in innovative activities; Other policy initiatives are in place to support and empower improved resource stewardship by local forest-dependent communities.</p>

	effectiveness of sustainable climate-smart agro-biodiversity are produced and shared at national, regional or international events.		
<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><i>Output 1: Model community conservation agreements (CCAs) are developed and implemented in forest-dependent communities.</i></b></p> <p><b>1.1 Conduct CCA development process.</b> With technical support from VFI, WCS will deliver 10 CCAs prior to Year 3 through a process that includes updating Participatory Rural Appraisals (PRAs) and Land Use Plan (LUPs), as well as the production of Community Action Plans (CAPs). CCAs will provide zoning, management rules, indicate agro-biodiversity support within village boundaries, and outline community commitments regarding access, protection, and prohibitions for adjacent Total Protection Zones of the protected area, the area in which agricultural and extractive activities are prohibited.</p> <p><b>1.2 Carry out participatory mapping, zonation for appropriate use and establish management regulations for all forest lands within village boundaries.</b> We will ensure that over 74,000 ha of village forest lands within village boundaries in the controlled use zone of the NPA are clearly mapped, zoned for appropriate use, and managed under community developed regulations according to the CCAs. We will carry out practical training with community members and provide guidance related to monitoring approaches and will ensure that these village forest lands will be clearly demarcated on village maps, and be informed by specific regulations regarding broad scale clearing and use of various agricultural activities.</p> <p><b>1.3 Provide direct support and management for priority agro-biodiversity village forest lands.</b> Under the CCA process, WCS will support the identification of over 7,000 ha of priority agro-biodiversity village forest lands in the controlled use zones. These priority agro-biodiversity village forest lands are a subset of the overall 74,000 ha village forest lands, and through the CCAs will be under exclusive community use rights and management regulations by the beginning of year 4 of the project. We will carry out practical training and provide guidance for community members using these areas, in order to support development of NTFP-specific management plans and regulations for these priority agro-biodiversity areas. Regulations will focus on the use of and access to these areas for NTFP collection, NTFP enrichment planting, and sustainable harvesting rates.</p> <p><b><i>Output 2: Forest-dependent communities bordering NEPL have improved livelihoods through sustainable use of non-timber agro-biodiversity resources in managed village forests and diversified agro-biodiversity production systems in agricultural land.</i></b></p> <p><b>2.1 Conduct training in sustainable NTFP collection and processing.</b> We will train more than 500 farmers in sustainable collection and processing of NTFPs from village forest. This training will include extension and support by the WCS team, training workshops, and cross-farm and village demonstration training exchanges.</p> <p><b>2.2 Establish demonstration plots.</b> We will conduct site-based assessments to determine ideal locations for establishment of 15 demonstration agro-biodiversity production systems. Once locations are selected, we will then coordinate with 'lead farmers' who will serve as community trainers, and provide them with training, equipment, and improved planting material where appropriate to support demonstration site establishment. Training will focus on processes for out-planting of NTFPs, combining NTFPs and recognised crops, and improving cropping systems to involve more permanent land cover.</p> <p><b>2.3 Establish women's associations.</b> We will conduct focus group surveys and targeted training programs to establish four women's associations to support the management, collection and processing of NTFPs. These women's associations will be product- or location-based depending on the outcome of the CCA processes.</p>			

***Output 3: Local income-generating activities that are climate smart and innovative, including environment-friendly sustainable agriculture through the Conservation Enterprise Development Program (CEDP) are set up and expanded in the forest-dependent communities bordering NEPL.***

**3.1 Investigate feasibility of NTFP and agro-biodiversity products for conservation enterprise development.** WCS, with support from our CEDP, and based on the results of the CCA process, will investigate the feasibility of smallholder agricultural / forest product enterprise development, including investigating product certification.

**3.2 Conduct conservation enterprise development process.** Based on the results of the feasibility studies, we will complete targeted village-level capacity building exercises, hold technical trainings in enterprise development, and work with CEDP to establish additional support for enterprise development.

***Output 4: Species and forest habitat protection is significantly increased in the total protection and controlled use forests of NEPL adjacent to target communities.***

**4.1 Conduct land-use monitoring.** WCS will complete annual assessments of CCA implementation including delivery of benefits and adherence to conservation commitments as related to agricultural encroachment along the boundary between the village and the total protection zone, and appropriate use in village forest zones. We will also conduct quarterly professional ranger patrols through the TPZ adjacent to villages, and support community participation in regular boundary patrolling and monitoring.

**4.2 Conduct community monitoring related to CCA.** We will complete annual assessments of CCA implementation including assessing: household incomes against indicator target values; the number of women's associations established and functioning; the area of priority agro-biodiversity village forest land under management rules; and adherence to conservation commitments as related to illegal NTFP and timber extraction.

**4.3 Conduct outreach campaigns.** We will design and conduct comprehensive outreach campaigns in all 10 villages in the first 2 years including regulation awareness, wildlife theatre outreach, and on-going support and engagement by the WCS and Nam Et – Phou Louey management unit outreach team.

**4.4 Conduct law enforcement monitoring including community-led monitoring.** We will complete annual assessment of CCA implementation related to law enforcement, including adherence to conservation commitments as relates to illegal hunting pressure. We will realize targeted illegal gun handover meetings, quarterly ranger patrols to address poaching in the total protection zone, and community led snare sweeps of forest areas in the TPZ adjacent to villages.

**4.5 Conduct biodiversity monitoring.** We will conduct camera trap monitoring in year 4, and combine this information with long term monitoring conducted in the protected area to determine the status and progress towards the biodiversity indicators. The stabilisation or improvements to the status and populations of these species will be supported through the activities under 4.1 – 4.4 such as reducing hunting threats including the presence of poachers and snares, and reducing habitat loss through deforestation. We will produce quarterly status reports through analysis of ranger-based SMART data collection.

***Output 5: A scalable model of sustainable, climate-smart agro-biodiversity is established and incorporated into forest resource use practices by forest-dependent communities.***

**5.1. Develop guidelines.** We will develop guidelines for the development of agro-biodiversity enterprise, and for agro-biodiversity based sustainable

agricultural systems and practices, and disseminate them through national technical working groups, community-focussed knowledge sharing campaigns, and national and regional conservation / development forums.

**5.2 Conduct cross-village exchange and demonstration visits.** After successful commencement of the planned activities and demonstrations, we will support annual cross-village visits to demonstration sites to foster collaboration and cooperation between participating villages, and extension to villages outside the scope of this project.

**5.3 Produce working papers.** We will produce working papers outlining the effectiveness of sustainable climate-smart agro-biodiversity approaches. We will present these findings at national, regional and international forums.

**25. 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 2017)**

Please add/remove columns to reflect the length of your project. For each activity (add/remove rows as appropriate) indicate the number of months it will last, and shade only the quarters in which an activity will be carried out. The workplan can span multiple pages if necessary.

Activity	No. of Mo.	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4												
Output 1 Model community conservation agreements (CCA) are developed and implemented in forest-dependent communities.																	
1.1	Conduct CCA development process	12		X		X		X		X							
1.2	Carry out participatory mapping, zonation for appropriate use and establish management regulations for all forest lands within village boundaries.	12		X		X		X		X							
1.3	Provide direct support and management for priority agro-biodiversity village forest lands.	12		X		X		X		X							
Output 2 Forest-dependent communities bordering NEPL have improved livelihoods through sustainable use of non-timber agro-biodiversity resources in managed village forests and diversified agro-biodiversity production systems in agricultural land.																	
2.1	Conduct training in sustainable NTFP collection and processing	9			X	X			X	X			X	X			
2.2	Establish demonstration plots	6				X	X			X	X						
2.3	Establish women's associations	4		X		X		X		X							
Output 3 Local income-generating activities that are climate smart and innovative, including environment-friendly sustainable agriculture through the Conservation Enterprise Development Program (CEDP) are set up and expanded in the forest-dependent communities bordering NEPL.																	
3.1	Investigate feasibility of NTFP and agro-biodiversity products for conservation enterprise development	12			X	X	X	X	X	X							
3.2	Conduct conservation enterprise development process	24									X	X	X	X	X	X	X
Output 4 Species and forest habitat protection is significantly increased in the total protection and controlled use forests of NEPL adjacent to target communities.																	
4.1	Conduct land-use monitoring	16	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4.2	Conduct community monitoring related to CCA	16	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4.3	Conduct outreach campaigns	4			X	X			X	X			X	X			X

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4.4	Conduct law enforcement monitoring including community-led monitoring	16	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
4.5	Conduct biodiversity monitoring	16	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Output 5 A scalable model of sustainable, climate-smart agro-biodiversity is established and incorporated into forest resource use practices by forest-dependent communities.																			
5.1	Develop guidelines	8														X	X	X	X
5.2	Conduct cross-village exchange and demonstration visits	4			X				X				X					X	
5.3	Produce working papers	8														X	X	X	X

## 26. 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)

Monitoring and adaptive management are critical to our approach and to ensuring the sustainability project results. Our M&E plan includes the following key methods/tools:

- **Spatial Monitoring and Reporting Tool (SMART):** We will use SMART during ranger and community patrols to monitor hunting and poaching in the Total Protection Zone (TPZ) adjacent to villages (Indicators 0.2, 4.4). For monitoring purposes, this will be the area extending 1 km into the TPZ from village land. Hunting intensity estimates will be calculated using direct evidence and encounters of snares, hunting camps, and poachers. We will also use SMART to monitor illegal extraction of timber and NTFPs, as calculated based on encounters with people illegally collecting NTFPs/timber and evidence of illegal extraction, including felled trees (Indicator 4.2). Demarcation of these zones and forest cover/classification analyses will be conducted during the 2017 forest cover baseline assessment.
- **Camera traps and surveys:** We will monitor project impacts on biodiversity and key species through camera trap arrays and gibbon surveys (gibbon sightings, recordings of gibbon calls by rangers conducting SMART patrols, and dedicated gibbon occupancy surveys; Indicator 0.2).
- **GIS and remote sensing analyses:** We will use Rapid Eye and Sentinel imagery and GIS analysis to monitor/verify the total area of village forest delineated and covered by CCAs, including the number of hectares prioritized for agro-biodiversity and under specific NTFP use regulations and access rights (Indicators 0.4, 1.2, 1.3). These areas will be mapped using information from the land use planning process, and then ground-truthed when the village forest plans are finalised in CCAs. We will also use GIS to record the locations of demonstration plots (Indicator 2.2) and to monitor deforestation in the TPZ (Indicator 4.1).
- **Participatory rural appraisals (PRAs) and household surveys:** Information on household income will be monitored through PRAs (Indicators 0.1, 2.4.). The PRA process is a GOL-recognised system of assessing aspects of rural natural resource use and household livelihoods, and will be updated during the CCA process to ensure monitoring protocols meet requirements under this project. Repeated measures will be used to determine improvements in target household incomes. Household surveys will also measure community awareness about hunting laws and impacts of illegal hunting on forests/biodiversity (Indicator 4.3).
- **Other results will be monitored/verified through the following:**
  - CCAs signed by communities, the District Governor, and the NEPL Director will be used to measure CCA progress along with documents that indicate successful completion of CCA steps such as community consultations and Community Action Plan development (Indicator 1.1).
  - Village-based enterprise agreements and evidence of production quantities/sales to private sector partner(s) will be used to monitor successful implementation of agro-biodiversity/conservation enterprise(s) (Indicator 3.1).
  - Inception reports and association documents (including name and village of members; products supported) will be used to verify progress of each women's association (Indicator 2.3).
  - Training or analytical reports, working papers, workshop/meeting/demonstration exercise attendee lists (disaggregated by ethnic group, gender, and household location when possible), and photographs will be used to monitor other indicators (0.4, 2.1, 2.2, 4.3, 5.1, 5.2, 5.3).

Number of days planned for M&E	80 days
Total project budget for M&E	£ 21,670 (Darwin funds) £ 22,800 (match funds)
Percentage of total project budget set aside for M&E	5.0% (Darwin funds) 13.7% (match funds)

## 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.

### 27. Value for Money

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

(max 300 words)

WCS consistently prioritises efficiency and value for money in our conservation and sustainable development field programmes to maximize our impact. At every decision point in developing the field budget, we have considered cost savings and alternatives. We are also successful in leverage additional funding for our priority landscape investments, with over £166,000 of unsecured match funds currently pending with anticipated availability in first quarter of 2017 and a very strong likelihood of funding. These funds will greatly leverage the Darwin funds, further ensuring sustainability and scaling of interventions beyond the project period.

WCS has been working in Laos for over 20 years, and in the NEPL NPA for over 10 years, and has considerable experience in delivering cost effective projects in remote areas. The costs of implementing project activities are based on existing experience of the costs of the same or similar activities such as community meetings, training sessions, ranger-based law enforcement and biodiversity monitoring. WCS has an established site-based office with well-developed infrastructure, administrative systems and equipment, which eliminates the need to use project funds for any such investments. The budgeted Darwin funds allocated for office costs are 1% of the total budget.

WCS has made an effort to ensure that a significant percentage (44%) of Darwin funds go towards direct intervention and engagement with local communities through actions including training, demonstration, exchange, monitoring support and community communication, with the majority (57%) of match funds covering staff costs.

There is minimal investment in new equipment – mainly one Honda trail bike for community extension activities, with staff using existing organization materials. Field travel and subsistence costs have been kept as low as possible while ensuring they are sufficient to enable timely and effective delivery of project activities.

### 28. 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) and attach details of any advice you have received from them.

**Yes (no written advice)**  **Yes, advice attached**  **No**  **N/A**

### CERTIFICATION

On behalf of the trustees of the Wildlife Conservation Society (WCS)

I apply for a grant of £433,478 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 a cover letter, CVs for key project personnel and letters of support.
- I enclose our most recent signed audited/independently verified accounts and annual reports

WCS's most recent audit and annual reports can be found through the following links:

[2016 Audit](#)                      [2015 Audit](#)  
[2015 Annual Report](#)      [2014 Annual Report](#)

<b>Name (block capitals)</b>	JOE WALSTON
<b>Position in the organisation</b>	Vice President for Field Conservation, Global Conservation Program

**Signed\*\***

(PDF)

**Date:**

December 5, 2016

**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</b> ?	Yes
Have you read and can you meet the current Terms and Conditions for this fund?	Yes
Have you provided <b>actual start and end dates</b> for your project?	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 your key 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?	N/A
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 Monday 5 December 2016 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.