



Submit by 21 January 2005

DARWIN INITIATIVE APPLICATION FOR GRANT ROUND 13 COMPETITION:STAGE 2

Please read the Guidance Notes before completing this form. Applications will be considered on the basis of information submitted on this form and you should give a full answer to each question. Please do not cross-refer to information in separate documents except where invited on this form. The space provided indicates the level of detail required. Please do not reduce the font size below 11pt or alter the paragraph spacing. Keep within word limits.

1. Name and address of organisation

Name: WWF UK	Address: Panda House, Weyside Park, Godalming, Surrey, GU7 1XR
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2. Project title (not exceeding 10 words)

Community management of NTFPs in Kangchenjunga Conservation Area, Nepal

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

Proposed start date: July 1, 2005		Duration of project: 3 years			
Darwin funding requested (£)	Total	2004/5	2005/6	2006/7	2007/8
	170,100	(£) 0	(£) 55,050	(£) 65,050	(£) 50,000

4. Define the purpose of the project in line with the logical framework

The purpose of this project is: to develop community capacity to manage non-timber forest products (NTFPs) for sustainable production and plant conservation in Kangchenjunga Conservation Area (KCA).

This will be achieved through supporting the hand-over of Kangchenjunga Conservation Area to the Kangchenjunga Conservation Area Management Council (KCAMC) and the effective implementation of the KCA Management Plan. The project will strengthen capacity of community institutions of KCA, such as the Community Forest User Groups (CFUGs) to develop and implement NTFP action plans that address conservation and livelihoods issues through sustainable harvesting and equitable sharing of benefits, especially by poorest households whose dependence upon natural resources is highest, from value addition and marketing of key species of NTFPs.

5. Principals in project. Please provide a one page CV for each of these named individuals

Details	Project Leader	Other personnel (working more than 50% of their time on project)	UK more	Main project partner or co-ordinator in host country
Surname	Schmitt			Khaling
Forename (s)	Susanne			Sarala Suzannah
Post held	Plants Conservation Officer			Director
Institution	WWF UK			WWF Nepal Program
Department	International Plants Conservation			Development Research and Monitoring
Telephone				
Fax				
Email				

6. Has your organisation received funding under the Darwin Initiative before? If so, give details

Projects include: Conservation of Eastern European medicinal plants: Romania (Ref: 13020); Integrated River Basin Management in the Sepik River (ref: 13012); Enhancing biodiversity in Brazil through the use of an economic incentive – ICMS Brazil (2003 ref. 162/12/015); Conserving Kenya's indigenous forests through certification of sustainable sourced woodcarvings (2002 ref. 162/10/2004); Capacity building for biodiversity conservation, Anguilla (1998 ref. 08/114); Fiscal Incentives for Biodiversity Conservation (1996 ref. 06/98); Ethnobotany and Sustainable Use of Wild Plant Resources (1993 ref. 03/047)

7. IF YOU ANSWERED NO TO QUESTION 6 describe briefly the aims, activities and achievements of your organisation. (Large institutions please note that this should describe your unit or department)

Aims (50 words)

Activities (50 words)

Achievements (50 words)

8. Please list the overseas partners that will be involved in their project and explain their roles and responsibilities in the project. Describe the extent of their involvement at all stages, including project development. What steps have been taken to ensure the benefits of the project will continue despite any staff changes in these organisations? Please provide written evidence of partnerships.

WWF Nepal Program (lead overseas partner) have developed this proposal in collaboration with WWF-UK and the following in KCA: **representatives from KCA Management Council (KCAMC) and its affiliated institutions**, NTFP traders, National Park authorities, District Forest Office, District NTFP Committee, Cottage and Small Scale Industries Development Board, District Industry and Commerce Association and Rural Entrepreneurship Assistance Program (REAP). These organizations will provide expertise and advice for training activities in the field.

Discussions were also held at the national level with the **Herbs and NTFP Coordination Committee** (HNTFPCC) to develop a program in line with the newly endorsed policy on NTFPs (Herbs and NTFP Development Policy, 2004). A workshop in January 2004 with policy makers, communities, industry and university was held to define national priorities in NTFPs. This project will build upon WWF Nepal's experience as implementing partner for the **WWF/UNESCO People and Plants Initiative (PPI)**, as well as their extensive research and experience in KCA as implementing partner for the **Kangchenjunga Conservation Area Project (KCAP)**. WWF-UK have been providing technical and financial support to WWF Nepal for the PPI and KCAP since 1997. Dr Sarala Khaling, Director of Development, Research and Monitoring will provide national expertise in conservation and protected area management issues. Senior Programme Officer, Yeshi Lama will be responsible for project management at the national level and bring expertise in applied ethnobotany, having worked with the People and Plants Initiative in Nepal. (Letters of support from WWF Nepal Program, the Kangchenjunga Conservation Area Management Council and the Cottage and Small Industries Development Board, Taplejung Branch are attached.)

WWF UK will sign a contract with WWF Nepal Program to ensure successful implementation of the project should any staff change occur. WWF Nepal Program has a long term commitment towards promoting conservation and sustainable livelihoods in the Eastern Himalayas. NTFPs have been identified both by WWF Nepal Program and at the national level as a key sector for community development. Moreover, this is also an area that has been highlighted for interventions in the Management Plan of the KCA, which has recently been approved by His Majesty's Government of Nepal.

9. What other consultation or co-operation will take place or has taken place already with other stakeholders such as local communities? Please include details of any contact with the government not already provided.

Consultations with the communities of KCA have taken place. In developing the KCA Management Plan, for example, all operational plans of the Conservation Area User Committees and User Groups were incorporated. Therefore this proposal captures community aspirations and interest for developing sustainable income generating opportunities through the management and sustainable production of non-timber forest products. It also reflects the priorities outlined in the national NTFP Development Policy 2004, which include conservation and sustainable utilization of NTFPs, good harvesting practices, local value addition, capacity building for collection, cultivation, processing, sales and distribution. Upon approval of the project, discussions will also take place with the Department of Plant Resources for technical inputs.

PROJECT DETAILS

10. Is this a new initiative or a development of existing work (funded through any source?) Are you aware of any other individuals/organisations carrying out similar work, or of any completed or existing Darwin Initiative projects relevant to your work? If so, please give details explaining similarities and differences and showing how results of your work will be additional to any similar work and what attempts have/will be made to co-operate with and learn lessons from such work for mutual benefits.

This new initiative builds upon local capacity developed by the PPI, implemented by WWF in Shey Phoksundo National Park and Buffer Zone. The PPI enabled several young local professionals to conduct NTFP research in KCA. This proposal builds upon these past efforts as well as the KCA Management Plan. NTFPs are an important area of focus in Nepal. However, unlike most projects which are either focused entirely on research or on income generation, **this project will adopt a holistic approach to achieve tangible outputs through addressing the ecological as well as socio-economic aspects of NTFPs.** By working directly with resource users and linking sustainable management and micro-enterprise development approaches, the project will strengthen conservation and sustainable production for local livelihoods. Research, community management and enterprise are major components of this project, ensuring: a) scientific research underpins all conservation/development interventions; b) enterprises take ecological, economic and social sustainability into account; c) effective community management of NTFPs; d) equitable benefit sharing from the use of NTFPs; and e) improved rural livelihoods through capacity building, sustainable harvesting and local value addition of NTFPs. This project builds on lessons learned and capacity developed from the PPI and ongoing Darwin projects in Romania (Conservation of Eastern European Medicinal Plants) and Nepal (Capacity Building for Biodiversity Monitoring Assessment, Institutionalising Participatory Biodiversity Assessment, Conservation & Action Planning)

11. How will the project assist the host country in its implementation of the Convention on Biological Diversity? Please make reference to the relevant article(s) of the CBD thematic programmes and/or cross-cutting themes (see Annex C for list and worked example) and rank the relevance of the project to these by indicating percentages. Is any liaison proposed with the CBD national focal point in the host country?

This project supports CBD Art. 6 (general measures for conservation & sust. use), 7 (identific./monitoring), 8j (traditional knowledge), 10 (sust. use), 12 (research/training) and 15 (access to genetic resources) with emphasis on the themes of: sustainable use/biodiversity (25%), in-situ conservation (25%), access/ benefit sharing (15%), research/training (25%) and innovations/practices (10%). The project will also contribute towards Global Strategy for Plant Conservation targets. Coordination with MFSC (national focal point for CBD), will be initiated through a formal project inception workshop.

12. How does the work meet a clearly identifiable biodiversity need or priority defined by the host country? Please indicate how this work will fit in with National Biodiversity Strategies (NBS) or Environmental Action Plans, if applicable.

A recent policy transferring authority for selected protected areas to NGOs, provides an unprecedented opportunity for community-based management of KCA's natural resources. Nepal's Tenth Five Year Plan clearly outlines a policy of economic development through sustainable use of natural resources such as NTFPs. This project will support: a) hand-over of KCA to the KCAMC, b) implementation of KCA Management Plan, c) implementation of NTFP Development Policy 2004, (focusing on capacity building, local participation in research and development, local value addition and good harvesting practices). This project also addresses some immediate objectives and gaps outlined in the NBS with respect to NTFPs. These include: a need for effective incentive mechanisms for NTFP collectors; lack of NTFP management plans; and issues related to collection, marketing, value addition and microenterprise development.

13. Please explain how the work will contribute to sustainable livelihoods in the host country.

Collection of NTFPs is a key economic activity in Nepal's high mountain areas such as KCA. Agricultural land is limited and there are few other livelihood opportunities. In KCA, the majority of people earn less than USD 200 per year. NTFPs provide valuable income, and are an important source of food, medicine, fodder, building materials and fuel. KCA is a repository of NTFPs (incl. *Neopicrorhiza scrophulariiflora*, *Saussurea tridactyla*, *Swertia chirayita*, *Ammomum sabulatum* and *Daphne spp.*), many of which are threatened by over-harvesting. This is due to: a) inadequate local knowledge on the ecology and vulnerability to over-harvesting and sustainable yields of highly-traded NTFPs; b) lack of involvement of local communities in natural resource management; and c) insufficient opportunities for local value addition. Recent studies conducted by WWF in KCA clearly demonstrate the need to strengthen community management of NTFPs and links between conservation & livelihoods. Conservation and sustainable use of NTFPs and enhancement of livelihoods in KCA can be achieved if: a) communities take on increased responsibility for management of forest resources; b) ecological monitoring and sustainable harvesting practices are developed and followed; c) communities have greater access to and understanding of the market system; d) sustainable enterprises bring local benefits especially to poorer households; and d) local and scientific knowledge underpins appropriate management systems.

14. What will be the impact of the work, and how will this be achieved? Please include details of how the results of the project will be disseminated and put into effect to achieve this impact.

This project will develop a model for community-based management of NTFPs in KCA, building the capacity of community forest user groups and supporting their development and implementation of NTFP action plans. These action plans will outline sustainable harvesting and community monitoring guidelines. Local value addition will be enhanced through the establishment of an NTFP enterprise, and market linkages will be strengthened for key traded species so that local communities receive fair and sustainable benefits from the trade of NTFPs. Results and lessons from the project will be disseminated through the following means: annual project technical reports; project newsletters; popular booklets and materials on key topics such as guidelines on ecological monitoring of key species; enterprise development approaches for selected species; national level workshops to share the results and lessons of the project; national press releases; and radio programs.

15. How will the work leave a lasting legacy in the host country or region?

The strengthening of capacity of KCA residents in the management of NTFPs through 26 community forest user groups will ensure sustainability of project outputs. The project will also provide a model for other protected areas to strengthen management systems of NTFPs for plant conservation and sustainable production. The project is in line with the new NTFP Development Policy 2004 which focuses on improving local livelihoods through the sustainable production of NTFPs and capacity building and involvement of local communities. Focusing on community forest user groups will help to ensure that NTFP management is an essential component of community forestry. The hand over of KCA to the KCAMC will also enable local communities to have full management authority over their NTFP resources. Considerable emphasis will be given to lessons learning and dissemination of the experience in KCA at the national level to enable a wider sharing of lessons.

16. Please give details of a clear exit strategy and state what steps have been taken to identify and address potential problems in achieving impact and legacy.

The management of KCA is expected to be handed over to KCAMC. As part of WWF's support to KCAMC, efforts in the next 5 years will be devoted to strengthening the organizational, financial & technical capacity of community institutions so that they are fully empowered with necessary skills to take on this management responsibility.

The following steps in place will ensure impact and legacy:

- NTFP action plans of community forest user groups will enable continuation of the management and sustainable production activities for NTFPs.
- Community consultations for NTFP management and production.
- Government policy of handing over protected areas to the community and the subsequent Letter of Intent (LOI) provided by the government to the KCAMC.
- Ongoing capacity building of the KCA institutions.
- Formation of cooperatives to continue marketing linkages and support to the CFUGs.
- The NTFP based microenterprises will ensure value addition at the local level

17. How will the project be advertised as a Darwin project and in what ways would the Darwin name and logo be used?

The Darwin Initiative will be acknowledged during any national and local interactions, including in any press releases and features. The logo will be used for national level workshops and interactions and publications produced by the project.

18. Will the project include training and development? Please indicate who the trainees will be and criteria for selection and that the level and content of training will be. How many will be involved, and from which countries? How will you measure the effectiveness of the training and will those trained then be able to train others? Where appropriate give the length and dates (if known) of any training course. How will trainee outcomes be monitored after the end of the training?

150 collectors and 50 traders involved with NTFP harvesting and trade will be trained in sustainable harvesting practices and management of NTFPs. Members of the community forest user groups will be trained in developing indicators for monitoring the populations of key NTFPs in the ecological plots. Training will also be provided on value addition practices and enterprise development and cooperative formation. 2 project staff based in KCA and young researchers will supervise & conduct the ecological monitoring & developing of indicators for community monitoring of NTFPs. Training effectiveness will be evaluated based on the implementation of the community-based monitoring and sustainable harvesting of NTFPs in KCA. The community forest user groups and the KCAMC will monitor the actions taken up by the trainees at the local level. KCAMC and the Cottage and Small Industries Development Board will provide periodic refresher training upon termination of the project. WWF Nepal will provide technical assistance to the KCAMC beyond the project period.

LOGICAL FRAMEWORK

19. Please enter the details of your project onto the matrix using the note at Annex B of the Guidance Note. This should not have substantially changed from the Logical Framework submitted with your Stage 1 application. Please highlight any changes.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Goal: To draw on expertise relevant to biodiversity from within the United Kingdom to work with local partners in countries rich in biodiversity but poor in resources to achieve <ul style="list-style-type: none"> the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of benefits arising out of the utilisation of genetic resources 			
Purpose To develop community capacity to manage NTFPs for sustainable production and plant conservation in KCA	By 2007, 26 community forest user groups (CFUGs) have action plans for sustainable management and use of NTFPs By 2008, a community-based monitoring system and sustainable harvesting guidelines for key NTFP species established and tested By 2008, 26 community forest user groups in KCA are sustainably accessing NTFPs for livelihood	Operational plans of CFUGs Monitoring system Sustainable harvesting guidelines Project monitoring and technical reports Field research and workshop reports	Management of KCA transferred to the KCAMC Revision of policies contradictory (Forest Act, NPWC Act) to the proposed NTFP policy NTFP action plans ensure sustainable harvesting and equitable sharing of benefits Security situation does not deteriorate
Outputs 26 community forest user groups (CFUGs) in KCA practice community-based management of NTFP Local livelihoods in KCA enhanced through sustainable utilisation of NTFPs	-By 2007, 26 CFUGs develop NTFP action plans while 16 CFUGs implement their action plans -By 2006, capacity of KCA institutions enhanced for sustainable NTFP management -By 2008, 26 CFUGs practice sustainable harvesting for wild collection of NTFPs for subsistence and trade -By 2008, NTFP enterprise established and viable (pilot site)	CFUG operational plans Project technical and monitoring reports NTFP action plans Training records Wealth ranking reports Project monitoring and technical reports	Resource persons available to help develop action plans with local communities CFUG plans are endorsed and adopted by communities Sustainable funding for plan implementation Local communities especially the vulnerable groups will get access to and adopt livelihood opportunities provided by NTFPs

<p>Community-based monitoring system of key NTFP species in place</p>	<p>-By 2007, access increased for poor /disadvantaged groups to NTFP-based livelihood opportunities</p> <p>-By 2007, NTFP database developed</p> <p>-By 2007, ethno-botanical knowledge documented</p> <p>-By 2007, monitoring system and sustainable harvesting guidelines of key NTFP species established</p>	<p>Plant database</p> <p>Verbal evidences through interviews</p> <p>Ethnobotanical knowledge documentation report</p> <p>Research, survey, monitoring and technical reports</p>	<p>Political situation in Nepal favours field visits by researchers</p>
<p>Activities</p> <p>1. Develop a community-based management of NTFPs</p> <p>2. Promote local livelihoods through NTFP conservation and sustainable production</p> <p>3. Develop a community-based monitoring system and sustainable harvesting guidelines of key NTFP species</p>		<p>Activity Milestones (Summary of Project Implementation Timetable)</p> <p>Project initiation workshop (yr 1), sensitisation training for collectors, traders and other stakeholders (yr 1); NTFP inventory and action plan development by 26 CFUGs (yr 1&2); NTFP management training to user groups and other KCA institutions on sustainable harvesting methods and monitoring (yr 2&3)</p> <p>Feasibility study including commercial potential, resource inventory, sustainable yield survey, market linkages and information (year 1), MOUs with traders; Pilot NTFP based enterprise: identification of target groups, community planning, site identification and institutional arrangements (e.g. development of cooperatives), trainings, market/price information systems (yr 1&2)</p> <p>Participatory research on the status of high value NTFPs and ethnobotanical knowledge, establishing permanent plots for ecological monitoring, community consultations for developing indicators for monitoring (Yr 1 and 2); establishment of NTFP database, monitoring system and sustainable harvesting guidelines (Yr 2); Testing of monitoring system and sustainable harvesting guidelines (yr 3), sustainable harvesting guidelines publication and distribution to other mountain areas (yr 3)</p>	

20. Provide a project implementation timetable that shows the key milestones in project activities.

Project implementation timetable		
Date	Financial year	Key milestones
	Apr-Mar 2005/6 Apr-Mar 2006/7 Apr-Mar 2007/8	
May 05 Aug 05 Oct 05 Nov 05 Nov 05 Nov 05 Dec 05 Feb 06 Feb 06 Mar 06 Mar 06 Mar 06 Mar 06	05/06 (Year 1)	<p>Consultations with national experts Project inception/planning workshop in KCA completed Sensitisation training for collectors, traders/other stakeholders Participatory research on the status of high value NTFPs and ethnobotanical knowledge Ecological plots established for monitoring key species Develop community indicators for monitoring NTFP harvesting, monitoring and management training NTFP inventory in KCA completed Feasibility study for NTFP enterprise; initiate community planning, identify target groups and pilot site, cooperatives Cooperative and enterprise training 16 CFUG operation plans prepared NTFP action plans of 16 CFUGs Annual review and planning workshop; annual workplan</p>
Jun 06 Jul 06 Jul 06 Aug 06 Dec 06 Jan 07 Mar 07 Mar 07 Jan 07 Feb 07 Mar 07	06/07 (Year 2)	<p>Value addition training Establish NTFP database Community exchanges to successful NTFP projects NTFP harvesting, monitoring and management training Market and price information systems in place Market linkages support Pilot NTFP established 26 CFUGs have NTFP action plans Monitoring and sustainable harvesting guidelines Documentation and dissemination of lessons Annual review and planning workshop; annual workplan</p>
Jul 07 Dec 07 Jan 08 Feb 08	07/08 (Year 3)	<p>Testing of monitoring system and sustainable harvesting guidelines Sustainable harvesting guidelines publication and distribution Review and dissemination of case study and key lessons Final workshop on project review of outputs</p>

21. Set out the project's measurable outputs using the separate list of output measures.

PROJECT OUTPUTS		
Year/Month	Standard output number (see standard output list)	Description (include numbers of people involved, publications produced, days/weeks etc.)
05/07-08/03	5: training of over one year	-2 Nepali staff and 2 young professionals trained in fieldwork and analysis
05/07-07/06	6A: training of under one year	-150 collectors, 50 traders, 2 park staff receive training; at least 6 events of training in value addition, enterprise development training, cooperative operation, community monitoring, over 3 years
07/12	7: training materials produced	-1 sustainable harvesting guidelines for key species
05/07-08/03	8: UK staff in host country	-1 guidelines for community indicators
05/07	14A: workshops organized	-1 on project initiation; 2 on annual review and planning; 1 on lessons learned
	9: Number of action plans	-NTFP action plans by 26 community forest user groups
	10: Field guides/manuals	-Guidelines for monitoring
	15A National press releases	-At least 3 press releases/articles in national media over 3 years
	15B: Local press releases	-At least 3 press releases/articles in local media over three years
	16A: newsletter	-Project activities will be disseminated on a quarterly basis through a project newsletter
	16B: Estimated circulation	-12 issues of newsletter (each 700 copies) circulated in Nepal
	17A: dissemination network established	-1NTFP market and price information system established at district headquarters; KCAMC to play a lead role and facilitate information dissemination at village levels through 26 community forest user groups
	19A: national radio interviews/features	-2 national radio interviews/feature in Nepal
	20: physical outputs	-1 NTFP micro-enterprise owned by community (worth GBP 35,000)
	21: organizations	-26 community forest user groups established with NTFP action plans
	22: permanent field plots	-At least 4 permanent plots established in the pastures of 4 village development committees (smallest administrative unit) for monitoring of NTFPs
	23: other sources of funds	-WWF-UK match: GBP 68, 310; community contribution towards setting up micro enterprise: GBP 5000; WWF Nepal in-kind contribution: GBP 15,750

MONITORING AND EVALUATION

22. Describe, referring to the Indicators in the Logical Framework, how the progress of the project will be monitored and evaluated, including towards delivery of its outputs and in terms of achieving its overall purpose. This should be during the lifetime of the project and at its conclusion. Please include information on how host country partners will be included in the monitoring and evaluation.

The log frame of the project proposal will be used to monitor progress of the project activities. WWF Nepal Program will produce half-yearly and annual technical progress reports for WWF-UK based on the activity level monitoring. The annual technical report will contain output level monitoring components according to the indicators as outlined in the log frame. Annual project review and planning will be carried out at the end of the fiscal year in March through a workshop comprising of project staff, community representatives and national advisors. An annual work plan will be prepared during this time with major outputs, key milestones and responsibilities of staff. To monitor and evaluate the achievement of the overall purpose of the project, a final workshop will be held before the end of the project period by WWF Nepal Program to include WWF UK, government partners, community partners and other relevant stakeholders.