



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**

<b>Name:</b> Dr Paul Jepson	<b>Address:</b> Environmental Change Institute, 1a Mansfield Road, Oxford, OX1 3SZ
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**2. Project title (not exceeding 10 words)**

A market-led conservation response to the domestic bird-trade in Indonesia
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**3. Project dates, duration and total Darwin Initiative Grant requested**

Proposed start date:		Duration of project:			
Darwin funding requested	Total	2005/06	2006/07	2007/08	2008/09
	£196,438	£66,064	£66,772	£63,602	£

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

To reduce the conservation impacts of the Indonesian bird-keeping passion through developing a strategic framework for market-led mechanisms that creates incentives to substitute wild-caught birds with captive-bred alternatives. Working through local student groups, bird-keeper associations and bird ‘farms’ in Java, lead an evidence-based policy and citizen (bird-keepers) dialogue on this traditional pastime to initiate a grass-roots transformation that promotes sustainability, the formation of new bird-breeding enterprises and raises awareness of biodiversity conservation issues among the Javan bird-keeping fraternity.
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**5. Principals in project. Please provide a one page CV for each of these named individuals**

Details	Project Leader	Other UK personnel (working more than 50% of their time on project)	Main project partner or co-ordinator in host country
<b>Surname</b>	Jepson		Salindeho
<b>Forename (s)</b>	Paul		Steve
<b>Post held</b>	Senior Research Fellow in Conservation Practice		Director
<b>Institution</b>	University of Oxford		BirdLife Indonesia
<b>Department</b>	Environmental Change Institute		Conservation Programs Division
<b>Telephone</b>			
<b>Fax</b>			
<b>Email</b>			

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

**Yes.** Dr Terence Dawson led a project 'Towards sustainable development of south eastern Madagascar's biologically unique littoral forests' from April 2000 for 2 years, and Dr Anna Lawrence is leading a project 'Participatory forest management for herbal medicinal production in Peru' awarded in 2004.

**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)**

N/A

**Activities (50 words)**

N/A

**Achievements (50 words)**

N/A

**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.**

**BirdLife Indonesia** is an Indonesian NGO and the co-developer of the project concept and plan. Its role will be to coordinate activities in Indonesia, mobilise volunteers and oversee surveys, stakeholder coordination, lead on the policy development and awareness components and develop follow-on activities.

**The Department of Forest Protection and Nature Conservation (PHKA)** is the central Government department responsible for developing and implementing law and policy governing wildlife trade and bird breeding. They have contributed to the proposal development and will play a lead role in the policy components of the project. A senior official will be a member of the steering committee

**The Indonesian Ornithological Society (PBI)** is the main umbrella organisation for bird breeding associations and song-bird competition organisers in Indonesia, with 250 commercial breeders members and a large individual membership in 80 cities and district throughout Indonesia. PBI's President and senior officers have given inputs to the proposal and will be members of the steering committee.

**AC Nielsen (Jakarta office)** conducted preliminary surveys on bird-keeping in Indonesia for the applicant on a pro-bono basis. They will contribute to the design and delivery of training in attitude survey techniques, include questions in their regular Omnibus household survey and provide access to their advertising data.

**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.**

The proposal has been discussed with **ProFauna** (a leading Indonesian wildlife trade NGO [www.profauna.or.id](http://www.profauna.or.id)), the newly formed **Indonesian Ornithologists Union (IdOU)** and the grass-roots NGO network, **PILI** ([www.pili.or.id](http://www.pili.or.id)). These groups represent a network of thousands NGO activists and supporters as well as a considerable body of experience and knowledge on trade issues. The project plans to use their email newgroups and newsletters to promote participation in the project, stimulate discussion of the practical and ethical issues involved in substitution, and to disseminate the findings. The trade chain analysis will use local NGOs and students groups in the area of origin of the species. The Indonesian Government Research Institution **LIPI**, which is the Indonesian Scientific Authority for CITES and has a brief to overview scientific aspects of wildlife exploitation, will be involved in discussions of the practicality of certification or other forms of identification of captive bred birds. In addition, we have discussed the project with Dr Guggenheim (an economist) and Dr Whitten (biodiversity specialist) at the **World Bank** and Chris Sheppard at **TRAFFIC SE Asia**. Dr Guggenheim suggested the initial study (Jepson & Ladle in press) and is a keen supporter of the market-led approaches proposed. Dr Whitten is currently developing an Asia-wide trade project and TRAFFIC is opening an Indonesia office. This makes the policy dimensions of this project very timely.

## 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.**

We are unaware of any similar work in Indonesia. The project is distinctive and innovative because it applies concepts from forest certification and ethical consumerism to the bird-trade. All other work on bird trade in Indonesia focuses on law enforcement and has conspicuously failed to make an impact except in the case of a few charismatic species. The project is, in part inspired, by the **Darwin Initiative Kenya Wood-carving Project** of WWF-UK. Similarities include the use of substitution approaches and need to understand value-chains, market-drivers and the factors that will prompt producers (carving cooperatives in Kenya, bird-breeders in Java) to change their business models. The lessons gained from Kenya on applying FSC principles to small-scale producers will be invaluable should we decide to propose a certification scheme. The WWF project leader, Dr Schmitt and Dr Jepson jointly teach a session on market-led conservation on Oxford's MSc in Biodiversity, Conservation and Management and use the Kenya project as a case study example. This provides one forum for regular reflection, lesson learning and exchange between the projects.

**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? Further information about the CBD can be found on the Darwin website or CBD website.**

By building capacity to introduce market-led mechanism to reduce the conservation impact of bird-keeping whilst respecting the cultural, recreational and economic values of this pastime, the project will support the Government of Indonesia to implement **Articles 6 (5%), 9 (5%) 10 (10%) 11 (25%) , 12 (25%), 13 (20%), 18 (10%)** of the CBD, as well as the cross cutting themes on public education and awareness and traditional, knowledge, innovations and practices (albeit urban-based traditional knowledge).

**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 or Environmental Action Plans, if applicable.**

This project supports the Indonesian Biodiversity Strategy and Action Plan 2003-2004 Objectives 1 & 3 (develop the quality of Indonesian individuals...concerned with the conservation and sustainable use of the biodiversity/stop the rate of biodiversity degradation...along with sustainable use efforts). It will provide a practical demonstration of how the economic and social power of the bird breeding industry can be linked to conservation, and thus provide a model for implementation of the Governments policies, which support captive breeding as a conservation tool. The project also takes forward a strategic objective of BirdLife Indonesia, which is to develop a network of volunteer conservation leaders through support to university/local student groups. It is expected that this project will lead to future projects by BirdLife Indonesia and others.

**13. If relevant, please explain how the work will contribute to sustainable livelihoods in the host country.**

The hobby provides livelihoods to a large number of people involved in the breeding, capture, trade and selling of birds as well as bird-food, cages, specialist magazines and books. This project will help protect these livelihoods from boycotts or swingeing regulations whilst developing awareness of the livelihood potential of bird-breeding. Reducing demand for wild-caught birds may impact those people who derive income from catching birds. However, such income is generally small and opportunist and any losses are likely to be more than off-set by the opportunities this project could create for 'in-situ' captive breeding. Some species may be bred more easily and profitably in facilities located within the species' natural range in and around protected areas. This principle has already been established in the case of (edible-nest) swiftlet houses where the techniques were developed in cities of east Java but quickly spread into coastal areas where a combination of good air quality and proximity to forest and plantations produces a superior quality nest.

**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 introduce the concepts of market-led conservation into Indonesia protected species policy discourse. BirdLife Indonesia and other NGO groups will engage with new urban constituencies paving the way for mobilising urban consumer power in the cause of conservation and the development of an urban membership base for BirdLife. The project will create awareness that the Javanese capacity in bird-husbandry represents an economic asset with great potential for generating new livelihoods opportunities in urban and rural areas. The project will also build the capacity of local NGOs in attitude survey and commodity-chain analysis techniques. We will achieve these impacts by: a) engaging bird-keeper associations and companies supplying birds and related products in the project; b) training and supporting local BirdLife Indonesia affiliate groups to conduct the consumer surveys and market analysis; c) regular meetings of multi-stakeholder policy think-tank to prepare a strategic framework, and d) a range of articles, talks and events to communicate the vision and findings of the project.

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

The project will establish an empirical knowledge-base on the scale, structure and impacts of the bird-keeping in Indonesia as a bench-mark for future policy-making and action. It will initiate BirdLife Indonesia's goal to establish citizen science ideals in Java by involving teams of volunteers in the collection of data on bird-keeping. The project will create networks bridging the divide between bird-conservation and bird-keeping and set an agenda to resolve the tensions between this popular cultural pastime and Indonesia's commitments under the CBD. On a conceptual level, the project will create a critical understanding of market-led conservation approaches among Java-based policy-makers, including an examination of the factors that might cause bird-keepers to change their purchasing behaviour. In addition, the project will leave new capacity in attitudes survey techniques. These are important and powerful tools that empower NGOs to build their representative legitimacy, design and advocate targeted campaigns, evaluate the public acceptability of policy and link their programmes to broader social trends.

**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 strategic framework for establishing a market-led (substitution) mechanism is seen as the exit strategy for this particular project. We envisage the framework as a process with four elements: 1) a feasibility (options) study; 2) a charter or declaration of stakeholder's intend to reduce the conservation impacts of bird-keeping; 3) a set of policy recommendations and 4) a project proposal(s) to take the work forward. In addition the project is integrated with BirdLife Indonesia's 5-year strategic plan, specifically targets relating to development of an urban membership and citizen science.

**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 logo will be used on project stationary, training materials, manuals, reports and powerpoint slides at policy workshops and presentations to bird-keeper associations etc. Funding will also be acknowledged in academic publications and conferences presentations and the project will be featured on both the ECI and BirdLife Indonesia web-sites.

**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?**

The project will include a series of 3-5 day training workshops on a) design and implementation of attitude surveys and b) analysis and communication of attitude survey findings. These will involve at least 12 participants from local NGOs and universities across Java who will then train and lead their local survey teams. The effectiveness of the training is measured by the quality of the data collected and the extent to which communication of finding galvanises buy-in from bird keeping associations. In addition, there will be a 2-day training workshop in market & trade chain analysis for 4-6 students and ngo staff who will conduct the field work. Three MSc students will receive one-to-one supervision in these and related techniques.

## 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
<p><b>Goal:</b>  <b>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</b></p> <ul style="list-style-type: none"> <li>• <b>the conservation of biological diversity,</b></li> <li>• <b>the sustainable use of its components, and</b></li> <li>• <b>the fair and equitable sharing of benefits arising out of the utilisation of genetic resources</b></li> </ul>			
<p><b>Purpose</b>            To reduce the conservation impacts of the passion for bird-keeping in Indonesia through the development of a market-led (substitution) mechanism</p>	<p>Strategic framework &amp; charter for promoting substitution            Bird-farms commit to breed conservation-concern species            Bird-keeper associations commit to promote a conservation ethos            Government commits to develop an enabling regulatory framework            BirdLife Indonesia develops/facilitates a follow-on project</p>	<p>Strategy document; statements of support            Signatories to a charter            Interviews            As above            As above            BirdLife strategy &amp; work plans; project proposal</p>	<p>Key stakeholders groups supportive and keen to engage with issues.            Animal welfare lobby will take a pragmatic and/or neutral position            Conservation concern species can be bred</p>
<p><b>Outputs</b></p> <p>1. Strategic framework to develop and promote substitution of wild-caught birds with captive-bred alternatives</p> <p>2. Market and consumer analysis of bird-keeping, breeding &amp; retailing conducted and disseminated</p> <p>3. BirdLife Indonesia staff and university students trained in attitude survey, market &amp; trade chain analysis techniques</p> <p>4. BirdLife Indonesia</p>	<p>Policy group active by end of Yr 1            Strategy document written &amp; disseminated by yr 3</p> <p>Market data &amp; current regulatory framework collated            Questionnaire survey of attitudes &amp; practices of bird-owners in four cities by yr 2            Analysis of structure &amp; organisation of the bird-keeping fraternity by yr2            Expertise in bird breeding for different species groups assessed            Business model of two bird farms reviewed by yr 2.            Supply (trade) chain analysis of three wild-caught species by yr 2            Three Indonesian students complete MSc research.            4-6 technique training workshops for 12-16 staff &amp; students            Surveys and analytical work conducted to professional standard</p> <p>No of new members,</p>	<p>Minutes of meetings            Range of participants            Document, including range of stakeholder logos</p> <p>Technical memoranda on each topic covering methods, approach and findings            Bahasa Indonesia/ English policy briefing report            Publication in peer-reviewed conservation journal</p> <p>Training reports            MSc dissertations            Studies published in peer reviewed conservation journal</p> <p>BirdLife Indonesia</p>	<p>Trust and shared visions can be established among stakeholders</p> <p>BirdLife able to mobilise groups of volunteers to conduct the surveys.            Bird farms willing to grant access to their business models</p> <p>Students keen to participate and inspired by the project concept.</p>

<p>volunteer and urban networks strengthened</p> <p>5. Increased public awareness of ways to reduce the negative conservation impacts of bird-keeping.</p>	<p>volunteers, &amp; associate bodies</p> <p>Seminars/panel discussions to bird-keeper associations in 4 cities</p> <p>Articles in newspapers &amp; magazines</p> <p>Radio features and talk-shows</p>	<p>membership &amp; volunteer figures</p> <p>Audience figures and feedback reports</p> <p>Press cuttings, radio coverage</p>	<p>Bird-keepers receptive to adapting their behaviours</p>
<p><b>Activities</b></p> <p>1. Policy (model) development</p> <p>2. Research &amp; training</p> <p>3. Public awareness &amp; constituency building</p> <p>4. Dissemination</p>		<p>Yr 1: convene high-level policy group Yr 2-3: Regular meeting of group; ad hoc advocacy. Yr 3: national workshop; production of framework document and charter.</p> <p>Yr 1: Literature &amp; policy review; two training workshops on attitude surveys; pilot &amp; implement surveys Yr 2: Training workshops on (a) attitude survey analysis (b) trade-chain analysis; trade chain analysis of 3 endangered bird species. Yr 2-3: Case study of two bird-farm business models. Yr 1-3 supervision of 3 Indonesian MSc students.</p> <p>Yr 2: Presentation of survey findings to bird-keeping associations; focus groups/discussions with opinion makers in bird-keeping fraternity. Yr 2-3 magazine articles, press releases and radio shows.</p> <p>Yr 2: production of Indonesian language technical memoranda on survey techniques and results; Yr2-3 draft reports and journal articles; submission of journal articles. Yr 1-3: presentations at scientific and policy forums</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	
Jul 05	05/06	Project initiation and planning workshop: critical path, workplan
Oct 05-Mar 08	05/06-07/08	Project steering committee convened and twice-yearly meetings
Jul 05 -Oct 05	05/06	Results of literature and policy review of bird-trade & keeping.
Dec 05-Jan 08	05/06 & 06/07	Indonesia MSc students recruited and supervised
Dec 05-Jan 06	05/06	Attitude survey training completed: survey designed & piloted.
Jan 06-Mar 06	05/06	Initial market analysis completed
Jan 06-Mar 06	06/07	Volunteer training in cage-bird identification completed
Apr 06	06/07	Supply-chain training completed & model approach developed
Apr 06	05/06-07/08	Policy consultative group goals established and regular meetings
Jan-June 06	05/06 & 06/07	Dedicated attitude survey of bird keeping completed in 4 cities
Jan-June 06	05/06 & 06/07	General attitude survey (in ACNielsen Omnibus) completed in 4 cities
Jul 06	06/07	Survey analysis training completed: communication strategy
May-Dec 06	06/07	Trade-chain surveys of 3 wild-caught species completed (MSc)
Aug 06-Mar 08	06/07	Press-releases and media articles regularly appear
	06/07	Interviews & focus-groups training completed; survey plan developed
Dec06-Jan 07	06/07-07/08	Focus groups with bird-keeper associations in four cities completed
Feb 07-Dec07	06/07	Case-study of bird-farm business models completed (MSc)
Mar 07	06/07	Tech. Mems published on survey techniques and findings
Mar 07	07/08	Symposium of partners: findings consolidated, policy options identified
Aug 07	07/08	
Dec 07	07/08	National policy workshop produces action plan and charter
Jan 08	07/08	Indonesian MSc students submit thesis
Jan 07-Mar 08	07/08	Feasibility study and policy recommendations & disseminated to interested parties
Mar 08	07/08	Key stakeholders sign-up to charter to reduce conservation impacts of bird-keeping
Mar 08	07/08	Min. 1 journal article in press and 2 more submitted
Mar 08	07/08	BirdLife Indonesia agrees strategy/plan for follow-up activities

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

<b>PROJECT OUTPUTS</b>		
<b>Year/Month</b>	<b>Standard output number (see standard output list)</b>	<b>Description (include numbers of people involved, publications produced, days/weeks etc.)</b>
05/07-08/01	2: attain Masters	3 Indonesians to obtain a Masters degree
06/04-07/04	4A: undergrad training	3-5 Indonesian undergraduates to receive training and conduct trade-chain analysis
05/07-08/03	5: training over 1yr	1 BirdLife Ind. staff in survey techniques
05/07-07/04	6B: training	6 technique workshops for 20 staff and volunteers
	7 Training materials	3-5 Technical Memorandum on techniques in BirdLife Indonesia series.
05/07-07/07	8: no weeks in host c.	Project leader, min. of 6 wk/yr; Dr Ladle, min of 2 wk/yr.
07/04-07/12	9: management plan	1 Strategic framework for promoting substitution in domestic bird trade.
	10. manuals	
08/03	11A: published papers	1 manual in identification of cage-birds
08/03	11B: submitted papers	1 in a peer-reviewed journal
	12A: Databases	2 to peer-reviewed journals
07/05-07/07	14A: sem./workshops	Base-line data-sets of bird-keeping
07/06-07/07	14B: conf/workshops	At least 4 meeting of policy groups. At least six seminars to bird keeping associations.
07/05-07/07	15A: nat. press release	At least 6, including BirdLife world conf. and CITES.
07/05-07/07	15B: local press release	At least 6
	16A: newsletter	At least 16
	17A: dissem. Network	Any plans?
	18A: TV item	1 InOU/PILI e- group?
	19A: radio interviews	1-2 will be sought
	19B: UK publicity	At least 4 (one in each major city)
	20: Physical assets	BirdLife vol. attend British Bird-watching Fair
	21 No. or orgs establish.	Laptops, camera, av. (£5480) Reference materials
	23: addit. funding	4 local BirdLife groups established
		ACNielsen (£13300 pro bono), BirdLife (£25075 in kind ), ECI/SoGE (£38125 in kind), PHKA.PBI (£3000 in kind)

**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.**

Annual project review & planning workshops will be held in July each year and bring together all project team members. A detailed workplan will be produced (and later evaluated) each year and this will focus on delivery of the indicators in the logical framework and assign responsibilities. M&E is inherent to the systematic survey techniques employed in market and consumer analysis and the quality of this work will be evaluated by comments of peer reviewers and publication of articles journals. BirdLife Indonesia keeps a database of associate organisations and memberships and a file of media clippings. These will be used to measure impacts of the public awareness component. The number of bodies signing up to a charter, as well as the diversity of sectors the represent and their involvement in the research and policy dialogue, will be used to evaluate the success of the project at reaching out into society. In addition, the project will be evaluated by BirdLife Indonesia's intern project review mechanisms and a high-level steering committee will be established to provide oversight and guidance.