



Submit by Monday 3 December 2012

DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 19: STAGE 2

Please read the Guidance Notes before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required.

Information to be extracted to the database is highlighted blue.

ELIGIBILITY

1. Name and address of organisation (NB: Notification of results will be by post and email to the Project Leader)

Name: TREE AID	Address: Brunswick Court, Brunswick Square, Bristol, BS2 8PE
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2. Stage 1 reference and Project title

(max 10 words)

Wof Washa Forest: Sustainable Management for Resilient Livelihoods (8 words)

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

Proposed start date: 1st April 2013 **Duration of project:** 36 months **End date:** 31st Mar 2017

Darwin request	2013/14	2014/15	2015/16	2016/17	Total
£	£	£	£	£	£ 302,333

Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost:

Vitol Foundation

Methodist Relief Development Fund (MRDF)

Other sources

4. Define the outcome of the project. This should be a repetition of Question 24, Outcome Statement.

Resilient, diversified livelihoods for 53 communities living in and around Wof Washa natural forest supported by a secure, sustainable supply of forest products and environmental services arising from improved management and restored biodiversity of the forest.

This supply of products and services will provide material incentives for these communities to continue their investment in the sustainable, participatory management of the forest.

(61 words)

5. Country(ies)

Which eligible host country(ies) will your project be working in. You may copy and paste this table if you need to provide details of more than four countries.

Country 1: ETHIOPIA

Country 2:

6. Biodiversity Conventions

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

Convention On Biological Diversity (CBD)	Yes
Convention on Migratory Species (CMS)	No
Convention on International Trade in Endangered Species (CITES)	No

6b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the convention(s) your project is targeting. You may wish to refer to Articles or Programmes of Work here.

Note: No additional significance will be ascribed for projects that report contributions to more than one convention

(Max 200 words)

Article7. Identification and Monitoring (specifically sub-sections a and b)

New survey work to be conducted will confirm the species present in the forest, map their distribution and help gauge priorities for conservation. Initial mapping and inventory will provide a baseline against which future monitoring and inventory can be compared to assess changes in the medium term.

Article8. In-situ Conservation (specifically sub-sections d,e,f and i)

25 endemic species of flora have been identified in Wof Washa forest (ref appendix 2), the overall project outcome and outputs 1&2 will directly contribute towards the rehabilitation, conservation and sustainable management of the forest.

Article10. Sustainable use of Components of Biological Diversity (specifically sub-sections b,c and d)

FUGs will receive training to develop their knowledge of forest ecosystems and biological cycles along with skills in natural forest management allowing continued traditional use of forest resources whilst conserving and improving the biodiversity of the forest. All outputs contribute towards this.

Article11. Incentive Measures

FUGs will have formal recognition from relevant government agencies and recognised rights to access and control forest resources allowing them to develop profitable tree product enterprises providing an incentive for conservation and sustainable use of forest resources. All outputs contribute towards this.

Is any liaison proposed with the CBD/CITES/CMS focal point in the host country?

No if yes, please give details:

7. Principals in project. Please identify and provide a one page CV for each of these named individuals. You may copy and paste this table if you need to provide details of more personnel or more than one project partner.

Details	Project Leader	Project Partner 1 - Main	Project Partner 2
Surname	Hill	Kebede	Timberlake
Forename (s)	Tony	Admasu	Justin
Post held	Programmes Director	Programme Coordinator	Editor, Flora Zambesiaca
Institution (if different to above)	TREE AID	SUNARMA	RBG Kew
Department	Programmes		

8. Has your organisation received funding under the Darwin Initiative before? If so, please provide details of the most recent (up to 6 examples).

Reference No	Project Leader	Title

9a. IF YOU ANSWERED 'NO' TO QUESTION 8 please complete Question 9,

What year was your organisation established/ incorporated/ registered?	1987
What is the legal status of your organisation?	NGO Yes Government No University No Other (explain) No
Type of organisation (e.g. University, NGO, private sector, Government Department etc)	International NGO
Have you unsuccessfully applied to the Darwin Initiative before? If yes please provide the application reference number(s)	n/a
How is your organisation currently funded?	Mixture of restricted and unrestricted income streams including Institutional (54%), Charitable Trusts (10%), Corporate (8%), Individuals (24%), Community (1%) and Other (3%). Total income: £2,324,335. Figures taken from financial year 2011 – 2012.
Have you provided appropriate audited/independently examined accounts?	Yes

9b. Provide detail of 3 contracts previously held by your institution that demonstrate your credibility as a research organisation and provide track record relevant to the project proposed. These contracts should have been held in the last 5 years and be of a similar size to the grant requested in your Darwin application.

Contract 1 Title	Trees for Change (Funded by DFID)
Contract Value	£XXX
Contract Duration	5 years
Role of institution in project	Lead Organisation
Brief summary of the aims, objectives and outcomes of the contract.	<p>The aim of this project was to aide the process of decentralization of forest governance in Burkina Faso by working with the government and supporting poor forest users to get involved in relevant policy debates. As a result of this, poor rural households are able to gain secure access to forest resources that are vital for providing an income in rural communities.</p> <p>In order to gain the full potential of forest resources communities need to make long-term investments in processing equipment, planting and grafting improved varieties of trees and protecting natural forests from fire, over grazing and excessive firewood harvesting. As a result of gaining secure access to local forests and resources poor, rural communities now have the confidence to make these investments subsequently improving their own prospects and the conservation of biodiversity and their surrounding environment.</p> <p>At the beginning of the project TREE AID carried out participatory research, stakeholder analysis and workshops with different stakeholders in order to identify the history behind forest resource use and current practices and to identify future needs. Following on from this we provided training to key stakeholders at each of the project sites, ensuring they are aware of all relevant legislation, policies, decision-making processes and developments in the forestry sector and the decentralisation process. We have also provided poor, rural households with the skills and knowledge to implement equitable community forest management plans and forest concession partnerships as well as increasing their capacity to develop viable village tree enterprises.</p>
Reference contact details (Name, e-mail, address, phone number).	<p>Tony Hill – Programmes Director TREE AID Brunswick Court Brunswick Square Bristol BS2 8PE</p>

Contract 2 Title	Trees for Trade (Ministry of Lands, Forestry and Mines)
Contract Value	US\$XX
Contract Duration	1 year
Role of institution in project	Implementing Organisation

<p>Brief summary of the aims, objectives and outcomes of the contract.</p>	<p>TREE AID worked as an implementing organisation in the Ghana Northern Savannah Biodiversity Conservation Project to carry out activities related to community-based enterprise development. The objective was to implement the use of the MA&D approach in order to build the capacity for the development of community-based enterprises centred on natural resource products including non timber forest products (NTFPs) and community-based tourism.</p> <p>TREE AID conducted the preliminary planning phase for developing the use of the MA&D approach and then implemented this by organising and facilitating workshops and training in the use of the MA&D methodology. We also supported new enterprise groups in the development of their business plans and coordinated training in business skills and product development. At the end of the project we organised a national workshop to discuss and share experiences related to community-based enterprise development activities.</p>
<p>Reference contact details (Name, e-mail, address, phone number)</p>	<p>Tony Hill – Programmes Director TREE AID Brunswick Court Brunswick Square Bristol BS2 8PE</p>

<p>Contract 3 Title</p>	<p>Village Tree Enterprises (Funded by EU)</p>
<p>Contract Value</p>	<p>€XXm</p>
<p>Contract Duration</p>	<p>5 ½ years</p>
<p>Role of institution in project</p>	<p>Lead Organisation</p>
<p>Brief summary of the aims, objectives and outcomes of the contract.</p>	<p>The Village Tree Enterprise (VTE) project was set up to achieve sustainable management of forest resources and trees on farms – enabling poor, rural households to derive a reliable income from well managed, small-scale community enterprises based on tree and forest products and services. This project not only supported the development of enterprises and entrepreneurial spirit within some of the poorest rural communities in Burkina Faso, Ghana and Mali, but also promoted the protection and conservation of environmental resources. This has enabled these communities to diversify their livelihoods, as they no longer have to rely on just agriculture, and as a result are in a better position to tackle the treat of climate change.</p> <p>TREE AID provided training in the MA&D approach as well as support in implementing business plans and gaining access to credit services. We also helped communities to build knowledge and skills in forest management and the establishment of nurseries, orchards and woodlots that provide the raw materials for VTEs.</p> <p>650 VTEs in Burkina Faso, Ghana and Mali are now trading as a result of this project. Women account for 65% of over 8,000 entrepreneurs who make up these businesses. Some of the VTEs access credit through microfinance loans the rest are self-financing. More than three quarters of these VTEs are already making a profit.</p>

Reference contact details (Name, e-mail, address, phone number).	Tony Hill – Programmes Director TREE AID Brunswick Court Brunswick Square Bristol BS2 8PE
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9c. 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)	To help villagers living in the drylands of Africa unlock the potential of trees to reduce poverty and protect the environment. (21 words)
Activities (50 words)	We improve lives and the environment by supporting communities through four core programmes: <ul style="list-style-type: none"> - Environment: building understanding of how best to manage natural resources - Enterprise: developing sustainable trade & income in tree products - Access & Rights: secure access to & protection of natural resources - Food Security: increasing access to tree foods (50 words)
Achievements (50 words)	<ul style="list-style-type: none"> • 8 million trees planted across Africa with a 60-70% survival rate • Millions of trees naturally regenerated through improved management • 500,000 poor people benefitting from improved incomes from tree products • Millions benefitting from improved soil and water conservation & policy changes that support better natural resource management

10. Please list all the partners involved (including the Lead Institution) and explain their roles and responsibilities in the project. Describe the extent of their involvement at all stages, including project development. This section should illustrate the capacity of partners to be involved in the project. Please provide written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships.

Lead institution and website:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
<p>TREE AID http://www.treeaid.org.uk/</p>	<p>Expertise: 25 years experience managing forestry based, poverty reduction and environmental protection programmes in Africa. Strong technical expertise and track record on issues of natural resource management, forest governance, food security, and community enterprise development and trade. Long experience in working with international and national policy makers to develop and integrate pro-poor natural resource policies into national frameworks and action plans.</p> <p>Roles: Inject specialist forestry knowledge and know-how on organisational development of forest users, community forest enterprise development and PES systems. Overall project coordination including commissioning contracts and budget management. Lead on donor reporting and liaison with key stakeholders. Lead on communication of lessons learned to key stakeholders and dissemination of insights for ongoing policy development.</p> <p>Responsibilities: Liaison with international and central government agencies, Key advisor on integration of MA&D approach as a way of delivering environmental sustainability. Lead trainer on MA&D approach, Setting up Forest Carbon/REDD+ and PES schemes. Lead design of methodology for impact evaluation including delivering the livelihoods baseline survey. Lead coordinator on M&E and communication on lessons learned. Lead on specific thematic studies. Lead on mid-term and end of project reviews.</p> <p>Involvement: All stages including Project Design, Development, Funding, Partnership Building, Implementation, Monitoring and Evaluation, Communications.</p> <p>(200 words)</p>

Partner Name and website available:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
<p>SUNARMA Ethiopia</p> <p>http://www.sunarma.org/</p>	<p>Expertise: An environmental NGO founded in Addis Ababa in 2000 by Ethiopian natural resource and development specialists. A strong and proven project management team delivering in the natural resources sector. Excellent local knowledge based on 10 years on-going local field work. In depth community development experience as well as strong links with local and national government.</p> <p>Roles: Mobilising local communities, front line delivery of training and extension inputs, liaison with local & regional state government and integrating project work into government development plans.</p> <p>Responsibilities: Establishing, mentoring and organisational development of FUGs. Researching guidelines, policies and byelaws for forest user institutions. Support for development / legal registration / activities / and eventual handover of project activities to FDP&MCUs. Capacity development of FUGs on natural resource management. Baseline & repeat forest inventory. Providing training support to FUGs on forest restoration activities. Organisational & business development and technical support for enterprises and producer groups. Facilitating revolving savings & credit schemes. Technical advice and support on watershed management and livelihoods improvements. Participatory technology development. Annual local stakeholder reviews.</p> <p>Involvement: Initial project concept and design. Project implementation.</p> <p>(184 words)</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

Partner Name and website available:	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
<p>Royal Botanical Gardens Kew</p> <p>http://www.kew.org/</p>	<p>Expertise: Founded in 1759 Kew is a world leader in plant science and conservation. Specialists in discovering and describing the world's plant and fungal diversity, safeguarding the world's plant life, promoting the sustainable use of plants and inspiring an appreciation of plants and the environment.</p> <p>Roles: Specialist advice on forest ecology, natural forest inventory, forest restoration strategies, management of genetic resources and propagation of native species.</p> <p>Responsibilities: Advice on forest / biodiversity inventory, technical guidance on forest restoration and management planning, support on forest management skills audit and training of FUGs, research lead on forest regeneration techniques.</p> <p>Involvement: Lead Advisor on research activities within the project. Key link with in-country research institutions: Kew's Millennium Seed Bank will partner with the 'Ethiopia Forest Research Institute' part of the Ethiopian Ministry of Agriculture in supporting the project research activities. Develop existing knowledge regarding ecology of afro-montane juniper forests and associated species. Lead advisor on project activities relating to the CBD.</p> <p>(158 words)</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p>11. Have you provided CVs for the senior team including the Project Leader</p>	<p>Yes</p>
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TECHNICAL EXCELLENCE

12. Problem the project is trying to address

Please describe the problem your project is trying to address. For example, what biodiversity and development challenges will the project address? Why are they relevant, for whom? How did you identify these problems?

(Max 200 words)

As one of very few remaining natural forests in Ethiopia Wof Washa forest has regional biodiversity significance. It is the only large relict afro-montane juniper forest in Amhara Region, being home to 193 plant species, including 25 endemics and some unique local ecosystems (ref Appendix 2).

14,000 households living around the forest rely on it for their livelihoods. However the forest and associated biodiversity are under great pressure from a growing population. Land degradation leads to low agricultural productivity. A lack of alternative livelihood options for local people exacerbated by insecure tenure rights have encouraged short-term 'mining' of natural resources. Between 1993 and 2002 the forest area shrunk from 9,200 to 8,200 ha (ref Appendix 3).

Earlier interventions have prompted the development of FUGs, with communities building a sense of ownership and interest in sustainable forest management.

However,,biodiversity remains at risk due to:

- insecure access rights for local people. No formal agreements with government yet exist on equitable sharing of benefits and responsibilities for biodiversity conservation
- lack of alternative livelihoods associated with sustainable management of biodiversity and limited “business literacy” amongst poor communities
- lack of local knowledge about natural resource management practice that supports sustainable livelihoods and biodiversity conservation.

(200 words)

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 – repeat from Stage 1 with changes highlighted)

The project will support biodiversity conservation in the Wof Washa forest and surrounding landscapes whilst at the same time increasing the incomes of those poor communities who rely on the forest resource for their livelihoods. It will do this:

1. By helping forest users better organise themselves, secure their rights to use the forest and clarify responsibilities for forest and landscape management, with relevant government agencies. Consequently poor communities will be more willing to make the long-term investments required for sustainable management and conservation of biodiversity.

The project plots pathways to sustainability for informal groupings of farmers and forest users established through initiatives that support and mentor them in organizational development and conflict resolution. It will facilitate formal recognition of FUGs in the form of FDP&M) cooperatives, and unite them under a FDP&MCU structure. This will coordinate their work and act as the main point of contact for government agencies regarding formal Participatory Forest Management PFM arrangements.

Possibilities for generating PES will be explored to help move FDP&MCs towards greater financial self-sufficiency.

2. By providing forest users with technical skills and know-how to sustainably manage forest biodiversity, soils and water. Both government agencies, with a mandate for environment management, and forest users themselves must feel confident in their own capacity to deliver on sustainable natural resource management.

Participatory development of agro-forestry prescriptions, fodder tree management, compost production and the integration of permanent vegetation in SWC measures will enhance biodiversity in the agricultural landscape. FUGs will lead on extensive forest restoration activities– all agreed and committed to through signed PFM plans.

Farmer Field Schools will undertake action research to customize new technologies - combining traditional and modern knowledge. Awareness raising, exposure visits and pilot examples will promote community adaptation measures - such as SWC techniques - to extreme weather events and climate change.

3. By supporting the set-up of viable, operational enterprises based on tree and forest products, established and managed by poor rural households. These enterprises will serve to alleviate poverty, diversify household income against shocks and stresses including those linked to climate change, and motivate long-term, investment in the forest.

Enterprise development will be catalysed through application of the MA&D methodology, with appropriate follow up technical support. Enterprises based on tree fruit production,

apiculture, woodlots and forest herbs & spices will be supported, targeting the poorest and most disadvantaged (land-poor farmers, women and landless youth). These groups are most likely to exploit the natural forest to compensate for lack of alternative livelihood opportunities. Producers will be coached through development of their own 'bankable' enterprise development plans.

The project will support the creation of profitable private tree nurseries to create a sustainable supply of indigenous trees. Such enterprises will take up the role of producing indigenous tree seedlings for forest restoration as well as grafted fruit tree seedlings.

14. Outcome

Detail what the expected outcomes of this work will be. The outcome should identify what will change and who will benefit. The outcome should refer to how the project will contribute to reducing poverty while contributing to sustainable development and management of biodiversity and its products. A summary statement of this outcome should be provided in question 4 and 24.

(Max 250 words)

53 villages (Gotts), in and around Wof Washa forest, representing 13,841 households and 57,400 people, will have:

- legally recognised rights to access and control forest and biodiversity resources, with concomitant responsibilities for protecting and conserving these resources ;
- the skills and technical knowledge to manage these resources;
- the material incentives to sustainably manage these resources through profitable tree product enterprises and PES.

Well governed, accountable, legally recognised community structures (in the form of FDP&MCs) will facilitate community engagement, internal conflict resolution and external negotiation on natural resource management. This, in turn, will enable communities to make wise decisions on forest management and follow through on these to deliver a positive outcome in terms of reducing poverty through sustainable management of biodiversity.

All community members will benefit in the medium term by transition from over-exploitation to rational, sustainable management of biodiversity with consequent improvements in environmental security including protection of forest resources as well as the water supplies, soil fertility and biological cycles on which their livelihoods depend.

For members of FUGs/FDP&MCs, Enterprise groups and farmer field schools (approximately 6,000 people) there will be direct benefits as they diversify and increase income from tree and forest products. They and their dependents, will be better insulated against economic shocks & trends and better able to cope with climate change. The most disadvantaged sections of communities (women, youth and land-poor farmers) will be empowered through targeted inclusion in FUGs, enterprise groups and PFM activities.

(247 words)

15a. Is this a new initiative or a development of existing work (funded through any source)? Please give details (Max 200 words):

Our local partner SUNARMA Ethiopia has been leading interventions to promote sustainable management of Wof Washa forest and surrounding areas since 2002. Their current Wof Washa Forest and Land Use Management Project (completing Dec '12) promoted replanting of natural forest, agricultural production improvements, diversified economic opportunities, strengthening community and local government capacity in participatory forest management and promoting inclusive dialogue on forest policy. It has already engaged forest users on rational management of natural resources and diversification of livelihood options, to which end it has supported the initial formation of youth groups, elders groups, and 18 FUGs. The establishment of

representative community groups with the understanding and motivation to take control of their biodiversity / forest resources is the most important outcome of this earlier work. This provides an ideal platform on which to build institutional capacity and engage with Regional State and Woreda authorities to implement PFM plans.

In March 2012 SUNARMA invited TREE AID to participate in an external review of achievements to date. The formulation of this project proposal is a direct consequence of this review, drawing on the lessons and experiences captured to date and the analysis of future support emerging from the review.

(200 words)

15b. Are you aware of any other individuals/organisations/ projects carrying out or applying for funding for similar work? Yes No

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

The Government Ministry of Agriculture and decentralised Agricultural Services have a major ongoing programme to implement SWC on agricultural and degraded communal lands through physical erosion control structures (bunds, banks ditches etc.) and enclosure & planting (largely with exotic species) on eroded land. However, there is very limited external funding to deliver this programme on the ground, where work depends on the labour of local communities and tree seedlings raised in nurseries operated by NGOs.

The Ministry of Agriculture is implementing an EC funded "Scaling Up Participatory Forest Management" Project promoting the introduction of PFM across the country. This is a large project (\$8 million) with components promoting extension of a PFM approach and development of forest based livelihood activities, but such is the need nation-wide that project coverage in Amhara Regional State is limited and excludes Wof Washa forest.

15c. Are you applying for funding relating to the proposed project from other sources? Yes No

If yes, please give brief details including when you expect to hear the result. Please ensure you include the figures requested in the spreadsheet as Unconfirmed funding.

TREE AID has confirmed funding for year one of the Enterprise Development component from Vitof Foundation (US\$ 94,824). Vitof Foundation part funded SUNARMA's earlier work at Wof Washa over several years and they have indicated that they would be interested in receiving proposals for follow up funding for subsequent years.

A project concept note has been submitted to the recent EC Environment & Natural Resources Thematic Programme call, with an indicative budget of €900,000 over 5 years. A decision on an invitation to submit a full proposal is expected early 2013. Notification of results of the evaluation of the Full Application Forms is scheduled for 15 Apr 2013.

Methodist Relief & Development Foundation have also provided multi year part funding for SUNARMA's earlier work at Wof Washa and they have indicated that they are interested in extending their support, at a limited level, into this phase of the work, possibly with a focus on the Watershed Management and Livelihoods Improvement component..

16. Value for money

Please describe why you consider your application to be good value for money including justification of why the measures you will adopt will secure value for money?

Key to delivering value for money is the project approach of ensuring that poor people have:

- the incentive to invest in conservation through the development of pro-poor small businesses dependent on protecting the forest;
- the institutional security to make their investment in protecting and enhancing the

natural resource base worthwhile through formal management and access agreements; and,

- the knowledge to deliver natural resource management by building their understanding of effective conservation practice;

Costs for effective “policing” of Wof Washa forest by government officials are prohibitive. To date, because of lack of resources, the Ethiopian Government through the Woreda Agricultural Office has not been able to enforce prohibitions on use by poor communities surrounding Wof Washa or to stop forest degradation.

This project provides the incentive, the institutional framework and the local know-how to enable local people to deliver sustainable forest management and conservation for themselves. Past government investment in forest protection has proved less than fully effective. This project will deliver significant improvements in results for the same level of annual recurrent cost increasing the effectiveness of current government investment.

In terms of poverty reduction, the project will reach 53 Gotts, 6,127 direct beneficiaries and 57,400 indirect beneficiaries. This equates to a cost of £10,452 per Gott, £90 per direct beneficiary and £9 per indirect beneficiary. By building sustainable small enterprises, poor communities will have a long-term source of income that they will be able to use to invest in food security, health and education.

(249 words)

17. Ethics

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

(Max 300 words)

In order to enhance the chances that the perspectives, interests and wellbeing of those directly affected by specific projects are properly addressed, all projects will include strong leadership and participation from developing countries and the communities directly involved;

Local NGO SUNARMA initiated project development and jointly conceived the design with TREE AID, building on a participatory review of earlier work with inputs from existing FUG members and government stakeholders. SUNARMA consulted with communities in the target area on project design and communities will be closely involved in delivery and in annual participatory monitoring of PFM plans, forest restoration activities and farmer field school initiatives. The project will support FDP&MC’s to grow into self-financing, autonomous institutions accountable to their members and their communities.

The potential value and relevance of traditional knowledge should be recognised, considered and utilised where appropriate, alongside international scientific approaches and methods;

Participatory surveying, mapping and recording by FUGs in tandem with remote sensing and scientific sampling techniques will be employed for the biodiversity baseline mapping and repeat forest inventory. Ground truthing, re-classification and forest sampling by project staff and FUG members will combine traditional and modern knowledge. Local knowledge of historical species distribution and population trends will complement external expertise in analysing changes and trends informing the development of detailed management prescriptions for restoration of the natural forest.

The rights, privacy, and safety of people who are the subject of research and other project activities or other intended beneficiaries, whether direct or indirect, are of paramount importance and should be reflected in the design and execution of all projects. Free and Prior Informed Consent of partner communities will be expected;

SUNARMA have earned the trust of beneficiary communities with whom they have worked for 10 years. During the external review (Annex 4) local communities indicated their strong interest

and commitment to deliver this project. The project does not include extractive research.

Project Leaders and their host organisation are responsible for the health and safety of all staff working full and part time on their project and Project Leaders should ensure that the same rigorous standards for assessing health and safety risks are applied to all staff on the project, regardless of nationality;

TREE AID has a comprehensive Health and Safety at Work Policy which requires us, and our project partners to ensure suitable and sufficient assessments and mitigation of risk are made before any work is undertaken that might expose members of the public to health or safety hazards.

To uphold the credibility of any research and other findings, any project staff involved in the design or conducting of research should maintain the independence and integrity of the research process and ensure that they maintain an intellectual detachment from any personal convictions relating to the topic of their research;

Verification of project findings will be triangulated between TREE AID, SUNARMA and RBG Kew. Project partners have recognised track records in producing, contributing to and commissioning independent, quality research.

All work, including research, conducted within the Darwin Initiative should be in the context of both poverty reduction and biodiversity conservation and it's sustainable use.

Project includes a number of research areas including REDD+, PES, and PFM approaches in delivering both socio-economic improvements and biodiversity conservation/sustainable management.

(Total Words:300)

PATHWAY TO IMPACT

18. Legacy

Please describe what you expect will change as a result of this project with regards to biodiversity conservation/sustainable use and poverty alleviation. For example, what will be the long term benefits (particularly for biodiversity and poor people) of the project in the host country or region and have you identified any potential problems to achieving these benefits?

(Max 300 words)

We would expect the following long term changes as a legacy of this project:

- Wider understanding of how cost effective participatory forest governance structures and approaches can be in delivering both conservation and poverty reduction goals. This would have particular – although not exclusive - relevance for working with poor communities bordering biodiversity/natural resource reserves where government agencies have traditionally sought to “police” or exclude poor communities to little effect;
- Replication of this local forest governance approach in other reserves in Ethiopia and internationally, drawing on insights from the participatory forest governance aspects of this project;
- Greater recognition of the need to diversify livelihoods of poor communities bordering reserves and where possible, to integrate these livelihoods with sustainable conservation goals giving local people clear incentives not only to protect but to enhance the threatened resource.
- Replication, in Ethiopia and beyond, of the project approach to diversifying local livelihoods, increasing incomes and decreasing under-employment for poor communities around conservation reserves, through the development of sustainable community enterprises.

- More attention to non-timber forest products as a sustainable income source for poor people and a way of securing community investment in areas where the tree resource and associated biodiversity are threatened.
- Stronger partnerships between organisations currently focusing separately on poverty reduction and biodiversity conservation, with a common recognition of the relationship between poverty and biodiversity conservation threats.

Potential challenges in delivering these changes:

- Building project relationships with central as well as local government authorities, to ensure acceptance and adoption of new approaches;
- A lack of focus and understanding of markets for non timber forest products;
- The need for clearly explained, well disseminated, third party assessment of project results to build understanding and deliver replication.

(289 words)

19. Pathway to poverty alleviation

Please describe how your project will benefit poor people living in low-income countries. Projects are required to show how positive impact on poverty alleviation will be generated from your project in low-income countries. All projects funded under the Darwin Initiative in Round 19 must be compliant with the Overseas Development Assistance criteria as set out by the OECD. The outcomes of your research must at the very least provide insight into issues of importance in achieving poverty alleviation.

(Max 300 words)

The Ethiopian Government's Growth & Transformation Plan (2010/11-2014/15) prioritises three areas for delivery on its commitment to poverty eradication:

- Good Governance & Democratization;
- Agriculture and Rural Development;
- Social and Human Development.

Our project is closely aligned with this poverty alleviation plan by:

- creating a more secure institutional environment in which poor, rural smallholders can invest their time and resource with confidence;
- establishing new opportunities to diversify livelihoods for those farmers, and
- building capacity, to ensure poor communities are able to take up those opportunities with confidence and skill, making informed choices and delivering better life chances.

At the heart of the project is support for participation of poor people in decision-making and sustainable access to the natural resources on which they depend for their livelihoods. Membership of the 40 forest user groups to be supported by the project will include the socially disadvantaged - landless youth, "land-poor" farmers and women. Achieving legal status as FDP&M Cooperatives unified under a formally recognised FDP&MC union, will give them a direct role in negotiating forest wide management agreements.

Through these same groups the project will establish 140+ village enterprises, directly benefiting more than 2,000 poor people. Using a proven MA&D approach the project will build business literacy and create sustainable pro-poor, small businesses. These will deliver increased and diversified incomes for poor households. A recent 5-year EC-funded TREE AID programme across Mali and Burkina Faso, using the same community enterprise approach, found such enterprises increased household income for poor rural households by an average of 62% (SECAM, 2012).

The project will also build the technical capacity of rural smallholders, giving them the skills to manage land, forests and other natural resources on a sustainable basis.

20. 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)

Fully functional FUGs are a critical project output and a key part of our exit strategy. These will be:

- formally registered as FDP&M cooperatives,
- inclusive and representative of rural communities in and around the Wof Washa Forest,
- well governed,
- recognised by and able to operate as the contact point for Woreda and Zonal Agricultural Offices and the ANRSFE.

Once fully established, we envisage them taking over support roles previously covered by the project and its implementing partners. They will represent forest user needs and interests, committing to deliver biodiversity conservation objectives through signed management agreements with ANRSFE and Woreda administrations.

TREE AID, with its project partners, plans to provide additional support to FDP&M cooperatives for two further years after this project has finished. However, this support will be specifically focused on:

- follow up business development support adapted to reflect the performance of cooperatives and geared to ensure mutual experience sharing;
- supporting cooperatives in marketing carbon credits using pro-poor accreditation schemes e.g. Plan Vivo, which TREE AID is delivering in West Africa;
- undertaking a repeat biodiversity inventory in 2018-19, 5 years beyond the project start date.

(200 words)

HIGHLY DESIRABLE

21. Raising awareness of the potential worth of biodiversity

If your project contains an element of communications, knowledge sharing and/or dissemination please provide a description of your intended audience, how you intend to engage them, what the expected products/materials there will be and what you expect to achieve as a result. For example, are you expecting to directly influence policy in your host country or is your project a community advocacy project to support better management of biodiversity?

(Max 300 words)

Project design builds on experience of participatory forest management in Ethiopia but also draws on TREE AID's experience in decentralised forest governance in West Africa. This cross fertilisation of project strategies should provide a fresh perspective on the scaling up on PFM for biodiversity conservation in Ethiopia. The PFM concept is the subject of a current Ministry of Agriculture initiative (see 15b above). The Ministry of Agriculture and other development agencies with an interest in PFM will be key audiences for TREE AID efforts to share experience and lessons learned from this project. The Ministry recently published a useful 'Guidelines on PFM in Ethiopia', but at the same time released a 'Gap Assessment and Analysis on PFM in Ethiopia', recognising that substantial challenges remain and improvements needed in the application of the PFM concept. This is an opportune moment to shape the development of PFM for pro-poor biodiversity management. This project will

enrich discussions on this topic, informing national policy development in the process.

The project will also build on experience on forest carbon payments in Ethiopia, notably from the Humbo Assisted Natural Regeneration Project. As on PFM, the project will maintain a dialogue to share learning with Farm Africa and the World Bank funded REDD+ scheme at Bale Mountain.

Principle means of engaging in policy dialogues will be through membership of the national 'PFM taskforce', networking with relevant development agencies, collaboration with academic institutions on evaluation & thematic studies and dissemination of study reports. Already CIFOR and TREE AID have been discussing collaboration in Ethiopia outside the scope of this project for action research on PFM and watershed management to inform relevant national policies.

There will also be opportunities for peer to peer awareness raising between communities, with cross visits planned at various levels, promoting dissemination and horizontal advocacy.

(300 words)

22. Importance of subject focus for this project

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 250 words)

TREE AID programme work elsewhere in sub Saharan Africa demonstrates the crucial link between the perceived economic value of forest & biological resources and decisions at local and national level on their utilisation and sustainable management.

This project will generate primary data to enhance understanding of such links. Specifically, the project will develop, in partnership with local forest users and smallholder farmers, detailed management prescriptions for the restoration of the natural forest and its sustainable use for community development. This will test options for more diverse and sustainably productive agricultural techniques, supporting biodiversity whilst also improving yield, such as from fruit tree nurseries, apiculture and mixed woodlots. The project will also explore optimal silvicultural prescriptions for Juniper, Olea, Hagenia abyssinica and Ilex mitis and research new approaches for the natural regeneration of these species.

The project will facilitate the tested and refined MA&D methodology which takes forest users through the stages of identifying their local resources, assessing and developing enterprise opportunities based on their resources, and agreeing plans to protect the natural resources on which their enterprises will then rely.

The inclusion of participatory technology development (to refine local agro-forestry prescriptions, fodder tree management and compost production) is a distinctive feature of this project. Such technology draws on the symbiotic relationships between sustainable biodiversity and poverty alleviation and will support community adaptation measures to climate change.

(223 words)

23. Leverage

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:

VITOL Foundation : Output 3 – Enterprise Support component year 1 costs – US\$ 80,000

b) Unsecured

Provide details of any matched funding where an application has been submitted, or that you intend applying for during the course of the project. This could include matched funding from the private sector, charitable organisations or other public sector schemes.

Date applied for	Donor organisation	Amount	Comments
Sep 2012	EC Environment & Natural Resource Thematic Programme call	€ XX	Project concept note under consideration
Under discussion	Methodist Relief Development Fund	c. £XX/annum	Current cycle of MRDF funding to SUNARMA concludes in March 2013 but they have indicated they are interested in extending support over coming years

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. Further detail is provided in Annex x of the guidance notes which you are encouraged to refer to. The information provided here will be transposed into a logframe should your project be successful in gaining funding from the Darwin Initiative. The use of the logframe is sometimes described in terms of the Logical Framework Approach, which is about applying clear, logical thought when seeking to tackle the complex and ever-changing challenges of poverty and need. In other words, it is about sensible planning.

Impact

The Impact is not intended to be achieved solely by the project. This is a higher-level situation that the project will contribute towards achieving. All Darwin projects are expected to contribute to poverty alleviation and sustainable use of biodiversity and its products.

(Max 100 words)

Resilient, diversified livelihoods for 53 communities living in and around Wof Washa natural forest supported by a secure, sustainable supply of forest products and environmental services arising from improved management and restored biodiversity of the forest.

This supply of products and services will provide material incentives for these communities to continue their investment in the sustainable, participatory management of the forest.

(61 words)

Outcome

There can only be one Outcome for the project. The Outcome should identify what will change, and who will benefit. The Outcome should refer to how the project will contribute to reducing poverty and contribute to the sustainable use/conservation of biodiversity and its products. This should be a summary statement derived from the answer given to question 14.

53 Communities living in and around Wof Washa forest (representing 13,841 households / 57,400 people) will have:

- legally recognised rights & responsibilities to access and control forest resources;
- the skills and technical knowledge to sustainably manage these biologically diverse resources;
- the material incentives to do so through profitable tree product enterprises and payments for environmental services.

Measuring outcomes - indicators

Provide detail of what you will measure to assess your progress towards achieving this outcome. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure the outcome – if you have more than 3 indicators please just insert a row(s).

Indicator 1	40 functional FUGs (established as FDP&M cooperatives) with legally recognised rights & responsibilities by Qtr 3 Yr 2
Indicator 2	40 FUGs have the capacity to plan and execute sustainable management of the natural forest by Qtr 3 Yr 2
Indicator 3	Average household income increased by 35% from year 1 levels and diversified to include 2-3 or more sources by end Yr 3
Indicator 4	Area of natural forest (as defined in year 1 baseline inventory) maintained <u>and</u> quality of biodiversity within forest (as defined in year 1 baseline inventory) increased,(at time of repeat forest inventory in Yr 5)

Verifying outcomes

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	Signed PFM agreements between FDP&M cooperatives (FUGs) and relevant government agencies (ANRSFE and the Woreda Administrations).
Indicator 2	Forest management plans and records of annual participatory review of these plans.
Indicator 3	Household livelihood monitoring surveys to be undertaken at years 1, 3, and 5.
Indicator 4	2012 floristic composition survey, plus new mapping & inventory to be undertaken in year 1, will serve as baseline. Repeat mapping & inventory will be done in year 5. Monitoring reports to be prepared and submitted as part of PES systems by FUGs with support of project staff and Woreda technicians will serve to measure change consequent to this project intervention.

Outcome risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the *outcome and impact* of the project. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	References to co-management of state forest resources in National and Regional policy statements are retained, expanded on and translated into practice.
Assumption 2	Support of government agencies with a mandate for environmental management and rural development at National, Regional, Zonal and Woreda level is maintained or increased.
Assumption 3	Stable national, regional and international markets for tree products, environmental services and forest carbon respectively
Assumption 4	Frequency and intensity of extreme climatic events does not increase to the point that local agricultural based livelihoods are completely undermined

Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the Outcome. The logic of the chain from Output to Outcome therefore needs to be clear. If you have more than 3 outputs insert a row(s). It is advised to have less than 6 outputs since this level of detail can be provided at the activity level.

Output 1	<p>FUGs established as strong, durable institutions</p> <p>Complete network of FUGs established with formal recognition from relevant government agencies. These FUGs will encircle the natural forest and extend to communities downstream who also benefit from catchment management and forest products</p> <p>40 FUGs federated within a legally registered and officially recognised FUGUO which is capable of;</p> <ul style="list-style-type: none"> ○ Negotiating PFM agreements with relevant government agencies, ○ leading the participatory development of common by-laws, ○ Developing an overall forest management strategy and work plans to implement this strategy, ○ Coordinating the implementation of these plans and by-laws ○ Eventually taking over full responsibility for managing the network of FUGs and their relations with relevant government agencies
Output 2	<p>Natural Forest Management by FUGs</p> <p>Baseline forest inventory supported by remote sensing, vegetation classification and participatory mapping & biodiversity inventory on the ground</p> <p>FUGs develop skills and knowledge on natural forest management, based on a sound understanding of forest ecosystems and biological cycles</p> <p>FUGs use this capacity to undertake forest restoration activities</p>
Output 3	<p>Viable, operational enterprises based on tree and forest products established and managed by poor rural households</p>

	<ul style="list-style-type: none"> Improved organisation of existing groups of producers of tree products, notably Honey, Highland Fruit and building poles Business development skills/MA&D for Village VTE development Improved technical knowledge and skills for VTEs working on; <ul style="list-style-type: none"> establishing fruit tree nursery and management services enterprise development apiculture optimum management of woodlots Improved access to credit through revolving savings & credit schemes and external micro-finance institutions <p>Potential explored for setting up of a Forest Carbon/REDD+ scheme and a PES scheme based on benefits to downstream users of water resources</p>
Output 4	<p>Integrated Watershed Management and Application of Improved Agro-forestry Techniques for Livelihoods Improvement Integration of permanent vegetation into SWC measures</p> <p>Rights and responsibilities for management of such trees, shrubs or grasses agreed between communities and local government, with structures put in place to support the implementation of such agreements</p> <p>Best practice in agro-forestry, fodder tree management and composting systems refined through participatory technology development</p>

Measuring outputs

Provide detail of what you will measure to assess your progress towards achieving these outputs. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure each output – if you have more than 3 indicators please just insert a row(s).

Output 1: FUGs established as strong, durable institutions	
Indicator 1	40 FUGs legally registered as FDP&M Cooperatives with a leadership that is gender balanced and accountable, and a membership that is representative of all forest users, by Qtr 3 Yr 2.
Indicator 2	FUGs federated within a legally registered and officially recognised FDP&M Cooperative Union by Qtr 4 Yr 2.
Indicator 3	Formal PFM agreements and general management plans agreed between FDP&M Cooperative Union + constituent FDP&M Cooperatives and ANRSFE + Woreda Administrations by Qtr 4 Yr 2 .
Indicator 4	Recorded infringements of common by-laws agreed and implemented by FDP&M Cooperatives
Indicator 5	Financial independence of FDP&M Cooperative Union + constituent FDP&M Cooperatives increases annually as from Year 4.

Output 2: Natural Forest Management by FUGs	
Indicator 1	Development of detailed management prescriptions for restoration of the natural forest by Qtr 4 Yr 1
Indicator 2	Results from remote sensing and participatory mapping with FUGs combined and cross checked through ground truthing, re-classification and forest sampling in Year 1.
Indicator 3	Development of local training curriculum and programme by Year 2.
Indicator 4	Forest restoration activities are planned, implemented and reviewed by FUGs as from Year 2.

Output 3: Viable, operational enterprises based on tree and forest products established and managed by poor rural households	
Indicator 1	>50 VTE groups formed by Qtr 3 Yr 1 and produce draft business plans by end of Yr 1.
Indicator 2	>140 VTE groups formed by Qtr 2 Yr 2, with operational business plans by Qtr 1 Yr 3
Indicator 3	Access to microfinance and revolving loans secured at a community level by Year 2.
Indicator 4	>140 VTEs generating a working profit by end of Yr 3
Indicator 5	Carbon credits successfully marketed, in Years 4 and 5.
Indicator 8	Poorest 20% of households (as defined in baseline livelihoods survey) have income increased by 20% by year 5.

Output 4: Integrated Watershed Management and Application of Improved Agro-forestry Techniques for Livelihoods Improvement	
Indicator 1	Examples of integration of permanent vegetation into agricultural land in all 14 Kebeles by end of Year 3.
Indicator 2	Local conventions on management of permanent vegetation integrated into SWC measures in all 14 Kebeles by end of Year 2.
Indicator 3	Network of Lead Farmers and Farmer Field Schools established by Qtr 2 Yr3

Verifying outputs

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Verifying Indicator 1	Copies of FUG/FDP&MC & FDP&MCU constitutions and meeting minutes.
Verifying Indicator 2	Kebele, Woreda and Zonal cooperative registration records.
Verifying Indicator 3	Regional and Woreda level PFM agreements and general management plans.
Verifying Indicator 4	FDP&MC and FDP&MCU financial accounts.
Verifying Indicator 5	VTE business records
Verifying Indicator 6	Project Management narrative reports.
Verifying Indicator 7	Forest survey and inventory reports and maps

Output risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the achievement of your outputs. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	No inconsistencies between Federal and State legislation and policies pertaining to PFM
Assumption 2	ANRSFE competent and capable of negotiating practical agreements with FDP&MCU on PFM and Forest Carbon/PES benefit sharing
Assumption 3	Option for FUGs to register as cooperatives remains the most practical and effective route to official recognition and legal status. In fact there are some drawbacks to this designation and some stakeholders are currently arguing that other options should be explored, but it remains the option recommended at present
Assumption 4	Federal legislation on NGO operations does not prevent SUNARMA committing the required resources for good management of project field operations

Activities

Define the tasks to be undertaken by the research team to produce the outputs. Activities should be designed in a way that their completion should be sufficient and indicators should not be necessary. Any risks and assumptions should also be taken into account during project design.

Output 1: Institutional Development for Forest User Groups (FUGs)	
Activity 1.1	Complete establishment of FUGs (extending coverage to include lowland communities)
Activity 1.2	Ongoing mentoring and organisational development of FUGs,
Activity 1.3	Research govt policies and guidelines for establishing Forest Users Institution - FDP&MCU at Woreda and Zonal levels
Activity 1.4	Review relevant policies, guidelines and byelaws of similar organisations, in consultation with stakeholders
Activity 1.5	Support FDP&MCU in participatory development of by-laws, forest management plans and work plans
Activity 1.6	Legal registration of FDP&MCUs
Activity 1.7	Support/accompany FDP&MCU in implementing their plans and by-laws
Activity 1.8	Handover the management of project to FDP&MCU

Output 2: Natural Forest Management by FUGs	
Activity 2.1	Capacity development of FUGs on natural forest management
Activity 2.2	Baseline & repeat forest inventory
Activity 2.3	Accompany FUGs (and other stakeholders) on forest restoration activities

Output 3: Viable, operational enterprises based on tree and forest products established and managed by poor rural households	
Activity 3.1	Organisational development for producer groups
Activity 3.2	Business development skills/MA&D for VTE development
Activity 3.3	Technical support for VTEs establishing fruit tree nursery and management services enterprise development

Activity 3.4	Technical support for VTEs on apiculture
Activity 3.5	Technical support for VTEs on optimum management of woodlots
Activity 3.6	Facilitate revolving savings and credit schemes and access to external microfinance
Activity 3.7	Set up of Forest Carbon/REDD+ scheme
Activity 3.8	Explore potential for establishment of PES scheme based on benefits to downstream users of water resources

Output 4: Integrated Watershed Management and Application of Improved Agro-forestry Techniques for Livelihoods Improvement	
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Activity 4.1	Technical advice on integrating permanent vegetation into SWC measure
Activity 4.2	Institutional development at sub-kebele level to share rights & responsibilities for mgt of such trees, shrubs or grasses
Activity 4.3	Participatory technology development to refine; <ul style="list-style-type: none"> - agro-forestry prescriptions, - fodder tree management - compost production

Output 5: Monitoring & Evaluation	
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Activity 5.1	Detailed design of methodology for impact evaluation
Activity 5.2	Livelihoods baseline survey
Activity 5.3	Annual stakeholder review meetings/workshops
Activity 5.4	Specific thematic studies
Activity 5.5	Mid term evaluation
Activity 5.5	End of project evaluation

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.

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
				50 VTE groups formed	VTE groups produce draft business plans. Development of detailed management prescriptions for restoration of the natural forest		140 VTE groups formed	40 functional FUGs with legally recognised rights and responsibilities as well as the capacity to plan and execute sustainable management of the natural forest	FUGs federated within a legally registered and officially recognised FDP&MCU. Formal PFM agreement and general management plans agreed between FDP&MCU, constituent FDP&MCs, ANRSFE and Woreda Administrations	140 VTE groups with operational business plans	Network of lead farmers and Farmer Field Schools established		140 VTEs generating a working profit. Average household income increased by 35% from year 1 levels and diversified to include 2-3 or more sources
Output 1 Institutional Development													
1.1 Complete establishment of FUGs (extending coverage to include lowland communities)													
1.2 Ongoing mentoring and organisational development of FUGs,													
1.3 Research govt policies and guidelines for establishing Forest Users Institution - FDP&M Coop Unions (FDP&MCU) at Woreda and Zonal levels													
1.4 Review relevant policies, guidelines and byelaws of similar organisations, in consultation with stakeholders													
1.5 Support FDP&MCU in participatory development of by-laws, forest mgt													

4.1	Technical advice on integrating permanent vegetation into SWC measure													
4.2	Institutional development at sub-kebele level to share rights & responsibilities for mgt of such trees, shrubs or grasses													
4.3	Participatory technology development to refine; - agro-forestry prescriptions, - fodder tree management - compost production													
Output 5	M&E													
5.1	Detailed design of methodology for impact evaluation													
5.2	Livelihoods baseline survey													
5.3	Annual stakeholder review meetings/workshops													
5.4	Specific thematic studies													
5.5	Mid term evaluation													
5.6	End of project evaluation													

26. Project based monitoring and evaluation

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 projects monitoring and evaluation.

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. Monitoring and evaluation 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)

SUNARMA will be responsible for day to day monitoring project progress in the field, compiling narrative and financial reports on a 6 monthly cycle. These reports will record important steps in the organisational development of FUGs, the adoption of PFM plans, agreements, local conventions and other relevant output indicators. TREE AID staff will undertake project monitoring missions on a cycle of not more than 6 months, to verify progress, discuss challenges and opportunities and support detailed planning of project activities. In addition to frequent informal meetings with Woreda and Zonal Agricultural Office staff, which are a normal feature of SUNARMA's modus operandi, formal annual meetings will be staged at Woreda level with forest user representatives to review progress. These will be followed up by a review and planning workshop with all stakeholders at Zonal level.

FPD&MC's and VTEs will be supported to maintain their own meeting records and financial accounts, which will serve as a means of verification for several indicators under outputs 1 & 3. SUNARMA field staff will maintain close relationships with forest user organisations and government offices, throughout (and quite probably beyond) the project cycle, which will facilitate collection of information on cooperative registrations, trading activities, business service provision and signature of local agreements.

TREE AID has good experience of working with academic institutions to develop appropriate methodology to evaluate project impact on local livelihoods. TREE AID is currently working with Bristol University, Reading University and SOAS on testing programme theories and action research of various project themes. Staff time is available throughout the project cycle for collaboration with academic institutions to support PhD studies.

A livelihoods baseline survey is anticipated, with a repeat survey in year 3, to assess changes in assets, income and expenditure patterns. Results from the baseline survey will inform the targeting of project support to reach the poorest households. It will also facilitate collection of information on secondary indicators such as food security and coping strategies, but interpretation of impact will also require commissioning of some specific thematic studies. These will include both PhD studies and some commissioning of professional research, notably to explore options for overcoming barriers to natural regeneration of key forest species.

At the end of year 3 an external project review study will be commissioned. In year 5 (with match funding outside the scope of this Darwin Initiative funding proposal) TREE AID will support a further repeat of the livelihood survey, contract a second external project review study, hold a stakeholder review workshop to consolidate learning and publish project learning for dissemination to national audiences.

(429 words)

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.

NB: Please state all costs by financial year (1 April to 31 March) and in GBP. **Budgets submitted in other currencies will not be accepted.** Use current prices – and include anticipated inflation, as appropriate, up to 3% per annum. 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)

Based on the Project Activity Gantt chart the requirement for TREE AID and partner staff time input is calculated, and costed using current Full Cost Recovery charge rates, and for each activity the direct cost units are identified and costed. This provides the detailed budget over the life of the project.

The budget is subdivided between staff cost and overhead, direct costs, and partner costs to provide project managers with detailed budgets to be adhered to. This controls total expenditure and provides guidance over unit costs.

Control over budgets is exercised by monthly reports against budget and activity progress from project leaders. Project leaders compare actual costs against their budget, and in turn provide commentary on activity progress and actions to be taken. This provides a regular operational and financial report for monitoring by senior staff.

TREE AID's procurement policy and procedures ensure that procurement achieves value for money and ensures good procurement practice is applied consistently across the organisation.

To achieve value for money the principal procedural steps:

- ensure that the goods and services are required before any commitment to purchase is made,
- make the best choice to achieve value for money, and
- make sure that whatever is contracted to be purchased is "fit for purpose".

Detailed procedures cover practical instructions for staff on authorisation to place orders, segregation of duties where practicable, how to choose goods/services, how to agree contracts with a supplier, how to place an order, how to check goods/services received for quality, quantity and price.

The principal assumptions contained within the budget are:

1. that inflation in the UK and host country will be 3% pa.
2. our best estimates are used on the necessary staff time input and the unit costs of direct costs.

(293 words)

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

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

CERTIFICATION 2013/14

On behalf of the trustees of TREE AID


I apply for a grant of **£ 302,333** 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 lead institution to submit applications and sign contracts on their behalf.)*

I enclose CVs for project principals and letters of support. Our most recent audited/independently verified accounts and annual report are also enclosed/can be found at *(delete as appropriate)*:

Name (block capitals)	Tony Hill
Position in the organisation	Programme Director

Signed



Tony Hill

Date:

3 Dec 2012

Stage 2 Application - Checklist for submission

	Check
Have you provided actual start and end dates for your project?	✓
Have you provided your budget based on UK government financial years i.e. 1 April – 31 March and in GBP?	✓
Have you checked that your budget is complete , correctly adds up and that you have included the correct final total on the top page of the application?	✓
Has your application been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable in the email)	✓
Have you included a 1 page CV for all the Principals identified at Question 7?	✓
Have you included a letter of support from the <u>main</u> partner(s) organisations identified at Question 10?	✓
Have you checked with the FCO in the project country/ies and have you included any evidence of this?	✓
Have you included a copy of the last 2 years annual report and accounts for the lead organisation? An electronic link to a website is acceptable.	✓
Have you read the Guidance Notes?	✓
Have you checked the Darwin website immediately prior to submission to ensure there are no late updates?	✓

Once you have answered the questions above, please submit the application, not later than midnight GMT on Monday 3 December 2012 to Darwin-Applications@ltsi.co.uk using the application number (from your Stage 1 feedback letter) and the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (eg whether the e-mail is 1 of 2, 2 of 3 etc). You are not required to send a hard copy.

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.