DARWIN
INITIATIVE

Department
for Environment
Food & Rural Affairs

Submit by Tuesday 1 December 2015

DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 22: STAGE 2

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

Information to be extracted to the database is highlighted blue. Blank cells may render your application ineligible

ELIGIBILITY

1. Name and address of organisation

(NB: Notification of results will be by email to the Project Leader in Question 6)

Applicant Organisation Name:	Botanic Gardens Conservation International
Address:	Descanso House, 199 Kew Road
City and Postcode:	Richmond, TW9 3BW
Country:	UK
Email:	
Phone:	

2. Stage 1 reference and Project title

Stage 1 Ref: 3319	Title (max 10 words): Promoting the use of plant resources in research and development

3. Project description (not exceeding 50 words)

(max 50 words) Access to plant genetic resources and their utilisation in research and development are subject to control by two ABS legal instruments. This project will examine how these instruments operate and interrelate in Ethiopia, explore utilisation and chains of custody, address bottlenecks, and make recommendations for simplified ABS measures.

4. Country(ies)

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

Country 1: Ethiopia	Country 2:
Country 3:	Country 4:

5. Project dates, and budget summary

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

Darwin request	2016/17 £82,369	2017/18 £89,003	2018/19 £97,103	Total request £268,475
Proposed (confirmed & unconfirmed) matched funding as % of total Project cost				21%
Are you applying for DFID or Defra funding? (Note you **cannot** apply for both)		Defra		

6. Partners in project. Please provide details of the partners in this project and provide a CV for the individuals listed. You may copy and paste this table if necessary.

Details	Project Leader	Project Partner 1	Project Partner 2
Surname	**Sharrock**	**Awas**	**Ayenew**
Forename (s)	**Suzanne**	**Tesfaye**	**Ashenafi**
Post held	**Director of Global Programmes**	**Senior researcher and National Co-ordinator of ABS and Medicinal Plants Project**	**Director of Genetic Resource Access and Benefit Sharing Directorate and** **ABS NFP**
Organisation (if different to above)	**Botanic Gardens Conservation International**	**Ethiopian Biodiversity Institute (EBI)**	**Ethiopian Biodiversity Institute (EBI)**
Department		**Forest and Rangeland Biodiversity Directorate**	**Genetic Resource Access and Benefit Sharing Directorate**
Telephone			
Email			

7. Has your organisation been awarded a Darwin Initiative award before (for the purposes of this question, being a partner does not count**)? If so, please provide details of the most recent awards (up to 6 examples).**

Reference No	Project Leader	Title
10002	Julia Willison	People and plants – training Darwin mentors in India
7085	Peter Wyse Jackson	Plant conservation and information management for botanic gardens in Colombia

8a. If you answered 'NO' to Question 7 please complete Question 8a, b and c.

If you answered 'YES', please go to Question 9 (and delete the boxes for Q8a, 8b and 8c)

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

Lead institution and website:	Details (including roles and responsibilities and capacity to lead the project): (max 200 words)
Botanic Gardens Conservation International www.bgci.org	BGCI is an international networking organisation linking botanic gardens and arboreta around the world. BGCI provides a wide range of tools, resources and guidelines to support the work of botanic institutions, with a focus on plant conservation, sustainable use and environmental education. BGCI has an agreement with the Secretariat of the Convention on Biological Diversity to support the implementation of the CBD at local, national and regional levels, with a particular focus on the Global Strategy for Plant Conservation. BGCI regularly organises capacity building workshops and training courses and manages a number of community-based conservation projects. During 2014, BGCI, with the Royal Botanic Gardens, Kew developed a series of training modules on the Nagoya Protocol and continues to provide support and advice to collection holders on ABS implementation. BGCI is ideally placed to work with stakeholders to build their capacity to understand and implement the Nagoya Protocol. BGCI has developed this project from its conception and will be the lead institution, managing the activities through agreements with the partner institution. BGCI will be responsible for ensuring all activities are carried out in a timely and cost-effective way and will monitor and evaluate activities as an on-going process throughout the project.
Have you included a Letter of Support from this institution?	Yes

Partner Name and website where available: **Ethiopian Biodiversity Institute (EBI)** **www.ibc.gov.et**	Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)
	The Mission of the Ethiopian Biodiversity Institute is to: Undertake study and research on the proper conservation of Ethiopia's Biodiversity and associated indigenous knowledge; Establish participatory conservation mechanisms; Ensure fair and equitable Access and Benefit Sharing; Promote sustainable utilization of biodiversity for sustainable development
	The Ethiopian Biodiversity Institute (EBI) consists of five Technical Directorates namely: (1) Field and Horticultural crops Biodiversity Directorate, (2) Forest and rangeland Plant Biodiversity Directorate, (3) Animal Biodiversity Directorate, (4) Microbial Biodiversity Directorate and (5) Access and Benefit Sharing Directorate, and five support processes, namely: Public Relations and Communication Directorate, Finance, Procurement and Property Administration Directorate, Internal Audit Directorate, Plan &Program Directorate, and Human Resources Development and Administration Directorate.
	The key processes strive to fulfill the vision and mission of the institute by carrying out conservation, sustainable use and access and benefit sharing of biological resources. The support processes assist the key processes in achieving the goals.
	The EBI is the national focal point for the CBD and will be responsible for project coordination, implementation and monitoring in Ethiopia. EBI has been involved in the development of the project since its conception.
Have you included a Letter of Support from this institution?	Yes

The ABS Capacity Development Initiative www.abs-initiative.info/	**Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)**
	The ABS Capacity Development Initiative will be one of the members of the Expert Steering Committee (ECS). They will assist in project initiation activities and will remain in frequent contact with project scientists. They will provide links and feedback from the existing Darwin Project "Mutually supportive implementation of the Nagoya Protocol and Plant Treaty" ensuring that this project benefits from lessons learnt. They will also review products and outcomes, and provide feedback, as appropriate and required depending on project needs. The ABS Capacity Development Initiative has been involved in the development of the project and has provided advice on project design and management.

Have you included a Letter of Support from this institution?	Yes

CBD Secretariat www.cbd.int/secretariat	**Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)**
	The CBD Secretariat will be one of the members of the Expert Steering Committee (ESC). As such, it will provide high level guidance on yearly project plans and reports for the project, addressing challenges encountered and technical questions that arise in association with the project activities.
	The CBD Secretariat will inform the ESC about useful resources, ongoing developments and projects related to the implementation of the Nagoya Protocol; it will facilitate linkages, as appropriate, between the project and CBD bodies and process, and other organisations, activities, and projects.
	The ESC will communicate regularly through skype, phone and email. It will meet face-to-face three times.
	The CBD Secretariat has been involved in project development since conception and has provided advice and support during the development process.

Have you included a Letter of Support from this institution?	Yes

10. Key Project personnel

Please identify the key project personnel on this project, their role and what % of their time they will be working on the project. Please provide 1 page CVs for these staff, or a 1 page job description or Terms of Reference for roles yet to be filled. Please include more rows where necessary.

Name (First name, surname)	Role	Organisation	% time on project	1 page CV or job description attached?
Suzanne Sharrock	Project Leader	BGCI	25	Yes
Kate Davis	Project Coordinator	BGCI	25	Yes
Tesaye Awas	Local Coordinator	EBI	25	Yes
Ashenafi Ayenew	Local coordinator	EBI	10	To be sent later

11. Problem the project is trying to address

Please describe the problem your project is trying to address in terms of biodiversity and (essential for DFID projects) its relationship with poverty. For example, what are the drivers of loss of biodiversity that the project will attempt to address? Why are they relevant, for whom? How did you identify these problems?

If your project is working on an area of biodiversity or biodiversity-development linkages that has had limited attention (both in the Darwin Initiative portfolio and in conservation in general) please give details.

(Max 300 words)

At a time of global environmental change, population growth and economic development there is an increasing demand for genetic resources, both for local exploitation and for research and development. The utilisation of plant genetic material is governed by two international treaties: the Nagoya Protocol (NP), which operates on a bilateral basis through individually negotiated contracts, and the International Treaty on Plant Genetic Resources of Food and Agriculture (ITPGRFA), which takes a multilateral approach using a standard contract. While the aim of these two agreements is to promote the conservation and sustainable use of genetic resources and equitable sharing of benefits derived through their utilisation, many countries have yet to put in place functional mechanisms to effectively operationalise these agreements. Ethiopia has a framework in place but has identified as a priority the need to further promote and increase the amount of genetic material available for research, development and subsequent commercialisation. There are a wide range of stakeholders involved in the chain of custody and use of plant resources, and a growing range of institutions that acquire, hold and supply resources as intermediaries. Differences in ABS understanding between these groups and the lack of a common 'language' leads to mistrust, misunderstandings and bottlenecks in the flow of genetic resources and the generation of benefits that can be shared with providers. Of particular concern to this project is the lack of guidance to support the access to plant genetic resources for research purposes and the general lack of awareness amongst collection holders of both the NP and the ITPGRFA. The project will aim to build the capacity of plant collection holders to act as trusted intermediaries between the providers and users of plant resources and develop widely applicable recommendations for simplified measures to facilitate research on plant resources.

12. Biodiversity Conventions, Treaties and Agreements

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

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

12b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the convention(s), treaties and agreements your project is targeting. You may wish to refer to Articles or Programmes of Work here. Note: No additional significance will be ascribed for projects that report contributions to more than one convention

(Max 200 words)

The project will specifically address the Nagoya Protocol and the ITPGRFA. In relation to the NP, the project will contribute to core provisions on benefit sharing (Article 5) and will identify opportunities to implement Article 8a (Special Considerations) regarding non-commercial research, evaluate guidance on best practices and model ABS agreements (Articles 20 and 19), and contribute to awareness-raising (Article 21) and capacity-building (Article 22). The focus of the project is directly on reviewing existing Codes of Conduct, Best Practices and model agreements, identifying gaps and providing recommendations for their use both in Ethiopia, and more widely in other countries, for the generation and sharing of benefits and to support development of simplified access procedures for non-commercial research. The project will also raise awareness and promote the Protocol amongst a wide range of stakeholders, with a focus on *ex situ* collection holders, and will aim to build capacity to implement the Protocol amongst these groups. With regard to the ITPGRFA, the project will assess and make recommendations on how this and the Nagoya Protocol can be implemented in a mutually supportive manner, gathering and analysing case studies and examples, drawing particularly on experiences developed by Bioversity International and the CBD Secretariat.

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

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

The project will be led in-country by the Ethiopian Biodiversity Institute, which provides the focal point for both the CBD and the ITPGRFA. We will ensure that individuals responsible for ABS and ITPGRFA are involved in all aspects of the project.

13. Methodology

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on how you will undertake the work (materials and methods) and how you will manage the work (roles and responsibilities, project management tools etc.).

(Max 500 words – this may be a repeat from Stage 1, but you may update or refine as necessary. Tracked changes are **not** required.)

The project work will be overseen and guided by an Expert Steering Committee (ESC) including representatives from the CBD Secretariat, the ABS Capacity Development Initiative, members of the Global Partnership for Plant Conservation and other expert bodies.

The project will be led in-country by the Ethiopian Biodiversity Institute, which provides the focal point for both the CBD and the ITPGRFA. BGCI will provide overall project management, building on existing partnership activities with the Ethiopian Biodiversity Institute, its close working relationship with the CBD Secretariat and its international network of partner institutions implementing ABS practice.

The project will include the following key activities:

- Establishment of an Expert Steering Committee and initial meeting to agree overall methodology and approach.

- Identification of and consultations with key stakeholders in the chain of custody and utilisation of plant genetic resources (including local communities, collection holders, researchers (internal and external) and private sector (internal and external), to review the existing ABS framework, gain examples of its application and understand the Ethiopian ABS context for research.

- Focus group discussions with collection holders and researchers to examine their utilisation of genetic resources, level of understanding of ABS issues and use of ABS tools relating to the Nagoya Protocol and the ITPGRFA, and to identify key issues and bottlenecks.

- A global review of best practice examples and case studies that support practical implementation of ABS and build trust for the development of simplified measures for access for non-commercial research, with focus on examples that are practical in the regional context.

- Training for collection holders to enable the use (or appropriate modification) of best practices, including model ABS agreements, to support the development of simplified access measures for non-commercial research.

- The development of options that would allow the incorporation of appropriate best practice examples into the current ABS framework to address identified bottlenecks.

- Identification of opportunities for stakeholder development of non-commercial and commercial ABS agreements and participation in the ITPGRFA multilateral system

- Development of a policy brief making recommendations to policy makers for the development of simplified measures for access for non-commercial research, addressing changes in intent, and the inclusion of appropriate best practices for researchers in the Ethiopian ABS framework.

- Dissemination of project findings via publications, website, side events at relevant meetings etc.

A project plan with time-bound activities and expected outputs will be developed in collaboration between BGCI and the local project leader.

BGCI and EBI will work together to identify expert teams including local and international specialists to assist in each stage of the project. BGCI will be responsible for the coordination of these teams and the compilation of reports etc. BGCI will ensure that the project meets all of the Darwin Initiative's key principles for research ethics.

EBI will be responsible for all local arrangements, providing translation services as necessary, and facilitating activities on the ground.

14. Change Expected

Detail the expected changes this work will deliver. You should identify what will change and who will benefit a) in the short-term and b) in the long-term.

- If you are applying for Defra funding this should specifically focus on the changes expected for biodiversity conservation and its sustainable use.
- If you are applying for DFID funding you should in addition refer to how the project will contribute to reducing poverty. Q15 provides more space for elaboration on this.

(Max 300 words)

The project will identify the stakeholders involved in utilisation of plant resources and investigate the role of plant collection holders in the chain of custody of such resources in Ethiopia, and will work with these stakeholders to raise ABS awareness. Collection holders (botanic gardens, genebanks etc.), are increasing in number in Ethiopia and are the main intermediaries between the providers and users of plant materials; the project will help these stakeholders to understand what realistic and achievable ABS agreements should look like and will build capacity amongst these stakeholders to negotiate these. The project will identify best practice examples and case studies on the use of plant collections as a source of materials for research and potential development from around the world. The project will develop a methodology for carrying out *ex situ* (plant collection) ABS reviews at the national level, which will be transferable to other countries in the region and beyond. By overcoming research bottlenecks and introducing best practice procedures, access to genetic resources held in collections will be facilitated and benefit sharing partnerships will be stimulated. In this framework, the main beneficiaries in the short term will be scientists and researchers (both in-country and outside), who will have greater access to biodiversity for research and development projects. The result of such access will be an increased number of research partnerships focused on the conservation and sustainable use of biodiversity, which will have a positive impact on biodiversity and development. Scientific benefit sharing (joint research, training, publications etc.) will help to build capacity of local researchers and also build knowledge of local biodiversity and its potential value. The increased likelihood of benefit sharing will incentivise local communities to participate in ABS agreements and will stimulate investment in conservation and value-added activities related to local genetic resources.

15. Pathway to poverty alleviation – ESSENTIAL FOR DFID PROJECTS, OPTIONAL FOR DEFRA PROJECTS

Please describe how your project will benefit poor people living in low-income countries. Give details of who will benefit and the number of beneficiaries expected to be impacted by your project. The number of communities is insufficient detail – number of households should be the largest unit used. If possible, indicate the number of women who will be impacted.

(Max 300 words)

16. Exit strategy

State whether or not the project will reach a stable and sustainable end point. If the project is not discrete, but is part of a progressive approach, give details of the exit strategy and show how relevant activities will be continued to secure the benefits from the project. Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

The development of the *ex situ* ABS review methodology will reach its end-point within the project period. The aim is to develop a methodology that can be used by collections holders and biodiversity policymakers without a high level of previous training. The issue of lack of capacity once trained project staff move on is therefore unlikely to occur. While the project is co-designed and co-led by the national institution that has the mandate to implement ABS policies, national policy processes are difficult to predict, and therefore the project focusses on making recommendations to drive policy change. A key element of the project is to build trust between the various stakeholders and develop communication channels that will persist beyond the period of the project. We have a particular focus on building the capacity of collection holders to act as intermediaries between the providers and users of plant resources. At the international level, project partners, including the CBD Secretariat and the ABS Capacity Building Initiative, have a long-term commitment to taking forward methodologies and processes that support national ABS implementation. Lessons learnt and recommendations from the project will therefore be taken up by these partners and transferred to other countries.

17a. Harmonisation

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

This is a new initiative, but builds on existing work by BGCI to develop training materials on the Nagoya Protocol under an agreement between BGCI and the CBD Secretariat and to deliver policy-related training to botanic gardens. The entry into force of the Nagoya Protocol is of great importance to BGCI's core constituency, botanic gardens, which are holders, users and suppliers of genetic resources. This project is extremely important to BGCI as it will provide the opportunity for us to work with a range of partners and stakeholders to help them understand the implications of the Protocol. While it will help to build capacity in the partner country, It will also allow us to build our understanding and help us to be able to provide constructive, practical support more widely to the international biodiversity research sector. By working through the issues associated with ABS with our partners in Ethiopia, we will be well-placed to support stakeholders in other countries as they address similar issues.

17b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?   Yes

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

Bioversity International, in partnership with the ABS Capacity Development Initiative and the CBD and ITPGRFA Secretariats, is implementing a project supported by the Darwin Initiative on mutually supportive implementation of the Nagoya Protocol and the Plant Treaty (ITPGRFA) in Madagascar and Benin. Through this project and other initiatives, work is ongoing to develop a decision-making tool to help national policy actors address cases where there is uncertainty about which law to apply. Our project will make use of this tool and assess how it can be applied to assist in the promotion and support of research and benefit sharing. Partners in the Bioversity-led project will be included in the Expert Steering Committee to ensure that the projects are mutually supportive and synergistic. In looking at access to genetic resources for research use, our project is addressing an area considered to be a gap by the project partners.

18. Ethics

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

(Max 300 words)
- The project will ensure that all relevant legal and ethical obligations of the UK and Ethiopia are met.
- In particular, the project will focus on compliance with national, international and regional legislation related to the collecting and use of biodiversity – the Nagoya Protocol on Access and Benefit Sharing and the ITPGRFA.
- The project involves local leadership and strong participation from the partner country. The partner will nominate a local 'project leader' who will be responsible for the organisation of national workshops and will coordinate training and capacity building across the range of stakeholders.
- Appropriate expertise will be included in project teams to ensure that gender issues are addressed within the project, with special attention being given to ensuring that women are fully involved and consulted during stakeholder workshops and any follow-up activities.
- The development of project workplans will be led by the in-country partner with expectations clearly articulated and outputs agreed between all partners at the start of the project.
- The project will put in place systems to ensure that the value of traditional knowledge associated with any plants is recognised and that such knowledge is conserved.
- The project will ensure that all participants are fully trained in the principles of Prior Informed Consent and that PIC is used whenever necessary.
- All partner organisations will follow their own institutional Health and Safety processes relating to overseas travel and safe working practices. BGCI will ensure that all workshop attendees are aware of such policies and practices.
- All results of the project will be shared openly and due credit given to the project participants.

19. Raising awareness of the potential worth of biodiversity

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

(Max 300 words)

The project includes a significant element of communication and dissemination as it is focused on working with all levels of stakeholders with an interest in the access and use of plant resources. Audiences for the project include:

- Collection holders, including private and public sector, who will need to communicate with local communities, policymakers, scientists and other potential users of their materials. The aim is for these stakeholders to understand their roles and responsibilities as 'intermediaries' between providers and users of plant resources.
- Users of plant resources – both private and public sector – who need to understand and be able to communicate with the 'providers'.
- Policy makers – as represented by EBI, who will be involved in all aspects of project implementation and will be supported by the project to use the results to influence national ABS policy.

The very success of the project lies in building lines of communication between all stakeholders and using these to manage expectations and build trust. A key role for the Expert Steering Committee will be to advise on methodologies to develop such communications and ensure that they develop in a way that is sustainable beyond the life of the project.

A key output of the project will be a policy brief making recommendations on how the findings of the project provide models that can be used across countries. The project will develop a communications strategy to disseminate this and will draw on the strengths of the Expert Committee to design and implement this strategy. Both BGCI and the CBD Secretariat will be key players in this as they will promote and disseminate the project results at key events and meetings, including the Global Botanic Gardens Congress in 2017 and side events at relevant CBD meetings.

20. Capacity building

If your project will support capacity building at institutional or individual levels, please provide details of what form this will take and how this capacity will be secured for the future.

(Max 300 words)

Capacity building within the project is focussed at the level of collection holders and researchers. A key element of this work will address compliance measures and help researchers and collection holders to understand the definition of utilisation within the framework of the Nagoya Protocol. Capacity building will also address the differences between the NP and the ITPGRFA and help to build understanding of when and how each treaty is relevant and what measures and tools are necessary for implementation. Capacity building activities will be based on a thorough needs assessment, carried out as part of the stakeholder consultations in the first part of the project. Training materials will be developed to address the specific needs identified, building on resources already developed by BGCI to support botanic garden staff. Capacity building will take a 'blended learning' approach, combining hands-on, face-to-face training courses with supplementary on-line and printed training resources. A key feature of the training courses will be the use of participatory 'case studies'. This approach was used to good effect in a recent ABS training course organised by BGCI in Southeast Asia.

Training courses will be tailored to the needs of different stakeholder groups (collection holders, researchers, policy makers), and materials specific to each of these groups will be made available on-line for later consultation.

Each group will receive two training sessions – with the second session aimed as a 'refresher' course to reinforce learning, address specific needs that have arisen and share experiences of ABS implementation gained since the first session.

21. Access to project information

Please describe the project's open access plan and detail any specific costs you are seeking from Darwin to fund this.

(Max 250 words)

All technical reports from the project will be made available to Defra for publication on the Darwin Initiative website as appropriate. These reports will also be published on BGCI's website on specific project pages that will be developed by BGCI (through co-funding).

Any peer-reviewed publications resulting from the project will be published in open-access journals.

Policy-relevant information will be widely disseminated with the support of the project partners (CBD Secretariat and the ABS Capacity Development Initiative).

BGCI will also use its global network to disseminate information of specific relevance to collection holders, and will also use this network to increase uptake and use of findings from the project.

22. Match funding (co-finance)

a) Secured

Provide details of all funding successfully levered (and identified in the Budget) towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity.

Confirmed:

Funds from the Ashden Trust (£XXX) will be used to support the involvement of BGCI's African regional office. This office will provide logistic and administrative support to the project

Staff from the CBD Secretariat and the ABS Capacity Development Initiative have agreed to serve on the Expert Steering Committee. The cost of the time they commit to the project will be an in-kind contribution.

The Ethiopian Biodiversity Institute will provide in-kind support to the project in the form of staff salaries and fieldwork costs.

22b) Unsecured

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

Date applied for	Donor organisation	Amount	Comments

22c) None

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

(max 100 words)

PROJECT MONITORING AND EVALUATION

MEASURING IMPACT

23. LOGICAL FRAMEWORK

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

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Impact: Plant genetic resources are being used in research and development and such activities enable the generation and sharing of benefits thus helping to achieve the ABS provisions of the CBD (Max 30 words)			
Outcome: (Max 30 words) Collection holders, researchers and policy makers will have a 'road map' to guide decision-making and policy development to facilitate access to and utilisation of plant resources for research and development.	0.1 By year 3, a tested methodology to identify research and benefit sharing bottlenecks in national ABS frameworks at collection holder/researcher level and options for addressing these will be available. 0.2 By the end of the project, recommendations on simplified measures for access to materials for non-commercial research will be available. 0.3. By the end of the project, stakeholders in Ethiopia will have a better understanding of, and involvement in, ABS issues. 0.4 By the end of the project, new ABS agreements are being developed by a greater range of stakeholders.	1.1 Methodology available on CBD and BGCI websites. 1.2 Relevant text in Ethiopian ABS reports. 1.3 New ABS agreements initiated involving greater range of stakeholders.	There is political will to implement ABS agreements in Ethiopia. Stakeholders understand that utilisation is necessary for benefit sharing. Simplified access measures are acceptable to stakeholders and policy makers. Lead agency will actively promote supportive policies to relevant decision makers.
Outputs: **1.** A methodology for reviewing and identifying ABS bottlenecks for research and benefit sharing and options for overcoming these published.	1.1 By September 2017, at least 8 stakeholder consultations completed and major ABS bottlenecks for research identified. 1.2. By September 2018, options for overcoming bottlenecks reviewed and recommendations provided to Ethiopian	1.1 Reports from stakeholder consultations including information on key ABS bottlenecks. 1.2 Project reports including information on draft methodology and mechanisms for finalising. 1.3. Methodology available.	Stakeholder groups are representative of the wider community. Methodology developed in Ethiopian context is applicable in other country contexts.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
	partners. 1.3 By December 2018, a report detailing the methodology used to identify and overcome bottlenecks available on CBD and BGCI websites.		Stakeholders are willing to participate in the process.
2. Capacity built amongst collection holders and researchers to enable the use or appropriate modification of best practices and model ABS agreements, to support the development of simplified access measures for non-commercial research.	2.1 By April 2017, capacity gaps amongst collection holders identified and training strategy developed. 2.2 By October 2018, training materials developed, 4 national training courses held and at least 20 staff trained. 2.3 By March 2019, training resources available on-line to support capacity building more widely.	Training course reports.	Full participation of collection holders in the consultation and training process. Collection holders remain in post. Existing best practices and model agreements are appropriate or can be modified to fit the Ethiopian context.
3. Recommendations on adopting, or modifying as appropriate, best practices for collections and researchers into the existing Ethiopian ABS framework, based on a global review of best practices and case studies and consideration of national and regional context.	3.1 By April 2017, examples of best practice and case studies on simplified measures for access from around the world compiled and made available on the CBD and BGCI websites. 3.2. Recommendations on adopting these provided to Ethiopian partner by December 2017. 3.3 Continuing addition of cases studies to websites until March 2019.	Project reports. Information on CBD and BGCI websites.	Suitable case studies and examples are available and can be accessed.
4. A widely-disseminated policy brief making recommendations for the development of simplified measures for access for non-commercial research and use of best practices.	4.1. By August 2018, policy brief drafted based on examples and case studies and on field experience in Ethiopia. 4.2 By December 2018, policy brief reviewed and finalised and disseminated via BGCI and CBD channels. 4.3 Final results of the project reported at final project meeting in March 2019.	Project report. Policy brief available. Documentation for final project meeting.	Policy makers are interested in adopting new policies that facilitate research.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Activities (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1) 1.1 Establish Steering Committee 1.2 Identify key stakeholder groups 1.3 Develop guidelines and process for stakeholder consultations 1.4 Carry out stakeholder consultations 1.5 Analyse results of stakeholder consultations, identify capacity gaps and research and benefit sharing bottlenecks 1.6 Review examples of best practice including model agreements and make recommendations for their use in existing frameworks 1.7 Publish report on methodology used to carry out review 1.8. Disseminate results of stakeholder consultations 2.1 Use results of consultations with collection holders to identify capacity gaps (see Activity 1.5) 2.2 Prepare training strategy and training materials 2.3 Work with EBI to deliver ABS training at national level 2.4 Adapt training materials to self-learning modules and make available on-line. 3.1 Compile examples and case studies of best practice, 3.2 Analyse, review and make recommendations for adopting these into existing Ethiopian framework (see Activity 1.6) 3.3 Make cases studies etc. available on-line and continue updating. 4.1 Draft policy brief based on field experience in Ethiopia and using examples of best practice (see Activity 3.1) 4.2 Carry out peer review of policy brief. 4.3 Develop strategy for communicating policy brief 4.4 Launch final version at final project meeting and disseminate according to strategy			

24. Provide a project implementation timetable that shows the key milestones in project activities. Complete the following table as appropriate to describe the intended workplan for your project (Q1 starting April 2016)

	Activity	No of months	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1														
1.1	Establish Steering Committee	1	x											
1.2	Identify key stakeholder groups	2	x	x										
1.3	Develop guidelines and process for stakeholder consultations	1		x										
1.4	Carry out stakeholder consultations	12			x	x	x	x						
1.5	Analyse results of stakeholder consultations, identify capacity gaps and bottlenecks	4							x	x				
1.6	Review examples of best practice and make recommendations for their use in existing frameworks	9								x	x	x		
1.7	Publish report on methodology used to carry out review	3										x	x	
1.8	Disseminate results of stakeholder consultations	1												x
Output 2														
2.1	Use results of stakeholder consultations to identify capacity gaps amongst collection holders	3					x	x						
2.2	Prepare training strategy and training materials	3						x	x					
2.3	Deliver training courses	12							x	x	x	x		
2.4	Adapt training materials to self-learning modules and make available on-line												x	x
Output 3														
3.1	Compile examples and case studies of best practice	3			x	x	x	x						
3.2	Analyse, review and make recommendations for their use in existing Ethiopian framework	9							x	x	x			
3.3	Make cases studies etc. available on-line and continue updating	12								x	x	x	x	x
Output 4														
4.1	Draft policy brief based on field experience in Ethiopia and using examples of best practice	6									x	x		

4.2	Carry out peer review of policy brief	4										x	x	
4.3	Develop strategy for communicating policy brief	2											x	
4.4	Launch final version at final project meeting	1												x
	Monitoring and evaluation			x		x		x		x		x		x

25. Project based monitoring and evaluation (M&E)

Describe, referring to the Indicators above, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the project's M&E. Darwin Initiative projects are expected to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. M&E is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact.

(Max 500 words)
The Expert Steering Committee will be responsible for monitoring and evaluation.
Based on the indicators identified in the logframe, 'performance standards' for each output will be identified. For example, for a stakeholder consultation, this might include standards for the degree of representativeness achieved during the consultation, the number of people involved and the ways in which gender issues are addressed. These standards will provide the baseline against which performance will be measured.

The Expert Steering Committee will review progress at six-monthly meetings. During the meeting the following will be reviewed:
 	
• Progress against the project implementation timetable
    o If delays have occurred, steps will be identified to ensure such delays do not occur again and activities re-scheduled accordingly within the overall project framework
• Comparison of ongoing and completed activities against 'performance standards'
    o If standards are not being met, the reasons for this will be investigated and remedial action taken.
• Expenditure against project budget
    o If there is an under- or over-spend against the project budget, the reasons for this will be understood and if necessary steps taken to address the issues.

A report will be prepared after each meeting to provide documentary evidence of project progress and to record any steps taken (adaptive management), or changes made to the implementation timetable.

Total budget for M&E	£12,000
Percentage of total budget set aside for M&E	4%

FUNDING AND BUDGET

Please complete the separate Excel spreadsheet which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet. You should also ensure you have read the 'Finance for Darwin' document and considered the implications of payment points for cashflow purposes.

NB: The Darwin Initiative cannot agree any increase in grants once awarded.

26. Value for Money

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

> (max 300 words)
>
> The budget has been compiled from the detailed plan of activities costed in consultation with partners.
>
> **Cost Effectiveness**
>
> To ensure value for money BGCI standard finance procedures will be applied. This includes, but it is not limited to
>
> • Maintaining time sheets to track input to the project against the time allocated for tasks.
>
> • Consultancy contracts will be put in place before work commences. Payment will be dependent on the timely provision of deliverables to the proscribed quality.
>
> • BGCI will request that their members supplying expertise to this project do so on a cost-recovery basis only, i.e. do not charge full consultancy rates.
>
> • Each individual event/workshop will have a detailed budget prepared in advance in line with this budget. More than one quote will be obtained for any material items. Costs will be monitored against the detailed budget.
>
> • Quarterly finance report from Ethiopian partner reviewed by BGCI staff
>
> In line with current BGCI practice the Project Manager will have quarterly review meetings with the Head of Finance. In these meetings the management accounts for the quarter are reviewed, variations against budget investigated and any remedial steps agreed. 'Costs to complete' are also considered to identify any project variations or potential overspends as soon as possible so that the appropriate action can be taken.
>
> **Efficiency**
>
> BGCI has a reputation as an efficient organisation, achieving a high impact for its size. Part of this comes from a flat management structure with swift decision making, while maintaining an appropriate level of controls.
>
> **Budget Assumptions**
>
> The budget has been prepared using a 2% inflation factor for year 2 and year 3 for UK salaries, but no other inflation factor has been included.
>
> The budget assumes that Sterling/US Dollar will not lose value against the Ethiopian Bira throughout the project period.

27. Capital items

If you plan to purchase capital items with Darwin funding, please indicate what you anticipate will happen to the items following project end.

> (max 150 words)

FCO NOTIFICATIONS

Please check the box if you think that there are sensitivities that the Foreign and Commonwealth Office will need to be aware of should they want to publicise the project's success in the Darwin competition in the host country.

Please indicate whether you have contacted your Foreign Ministry or the local embassy or High Commission (or equivalent) directly to discuss security issues (see Guidance Notes) and attach details of any advice you have received from them.

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

CERTIFICATION

On behalf of the trustees of   Botanic Gardens Conservation International

(*delete as appropriate)

I apply for a grant of £268,475   in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

I certify that, to the best of our knowledge and belief, the statements made by us in this application are true and the information provided is correct. I am aware that this application form will form the basis of the project schedule should this application be successful.

(*This form should be signed by an individual authorised by the applicant institution to submit applications and sign contracts on their behalf.*)

- I enclose CVs for key project personnel and letters of support.
- I enclose our most recent signed audited/independently verified accounts and annual reports (if appropriate)

Name (block capitals)	SUZANNE SHARROCK
Position in the organisation	Director of Global Programmes

Signed**		**Date:**	1st December, 2015

If this section is incomplete or not completed correctly the entire application will be rejected. You must provide a real (not typed) signature. You may include a pdf of the signature page for security reasons if you wish. Please write PDF in the signature section above if you do so.

Stage 2 Application – Checklist for submission

	Check
Have you **read the Guidance Notes**?	Yes
Have you provided **actual start and end dates** for your project?	yes
Have you indicated whether you are applying for DFID or Defra funding? **NB: you cannot apply for both**	**yes**
Have you provided your **budget based on UK government financial years** i.e. 1 April – 31 March and in GBP?	yes
Have you checked that your **budget is complete**, correctly adds up and that you have included the correct final total on the top page of the application?	yes
Has your application been **signed by a suitably authorised individual**? (clear electronic or scanned signatures are acceptable)	**Yes**
Have you included a **1 page CV for all the key project personnel** identified at Question 10?	Yes (one to come later)
Have you included a **letter of support from the main partner organisations** identified at Question 9?	yes
Have you **been in contact with the FCO** in the project country/ies and have you included any evidence of this?	Yes / No
Have you included a **signed copy of the last 2 years annual report and accounts** for the lead organisation?	Yes
Have you **checked the Darwin website** immediately prior to submission to ensure there are no late updates?	**Yes**

Once you have answered the questions above, please submit the application, not later than 2359 GMT on Tuesday 1 December 2015 to Darwin-Applications@ltsi.co.uk using the application number (from your Stage 1 feedback letter) and the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (eg whether the e-mail is 1 of 2, 2 of 3 etc). You are not required to send a hard copy.