



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:	Burung Indonesia
Address:	Jl. Dadali 32
City and Postcode:	Bogor, 16161
Country:	Indonesia
Email:	
Phone:	

2. Stage 1 reference and Project title

Stage 1 Ref: 3229	Title (max 10 words): Investing in agroforestry options for forest restoration in Indonesia
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3. Project description (not exceeding 50 words)

(max 50 words)

Indonesia has >80Mha of exhausted logging concessions. Restoration of these forests is a high priority for biodiversity conservation, but is undermined by smallholder encroachment. Working in Harapan Rainforest, an Ecosystem Restoration Concession, Sumatra, we will develop and implement agroforestry options to reconcile restoration goals and livelihood aspirations of local communities.

4. Country(ies)

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

Country 1: INDONESIA	Country 2:
Country 3:	Country 4:

5. Project dates, and budget summary

Start date: April 2016		End date: March 2019		Duration: 3 yrs	
Darwin request	2016/17 £ 84,281	2017/18 £ 89,775	2018/19 £ 124,840	Total request £ 298,896	
Proposed (confirmed & unconfirmed) matched funding as % of total Project cost				Confirmed: 18 Unconfirmed: 28	
Are you applying for DFID or Defra funding? (Note you cannot apply for both)			DFID		



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	Silalahi	Suwito	Swinfield
Forename (s)	Mangara	Toto	Tom
Post held	Senior Conservation Officer	Business Development Manager	Conservation Scientist, International division
Organisation (if different to above)		PT REKI	RSPB
Department	Conservation & Development	Business Development	Centre for Conservation Science
Telephone			
Email			

Details	Project Partner 3	Project Partner 4	Project Partner 5
Surname	Harrison	St John	Keane
Forename (s)	Rhett D.	Freya	Aidan
Post held	Senior researcher	Lecturer, Conservation Social Science	Chancellor's Fellow
Organisation (if different to above)	World Agroforestry Centre (ICRAF)	University of Kent (UK)	University of Edinburgh (UE)
Department	East & Central Asia Region	Durrell Institute of Conservation & Ecology, School of Anthropology & Conservation	School of GeoSciences
Telephone			
Email			

7. Has your organisation been awarded a Darwin Initiative award - No

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

What year was your organisation established/ incorporated/ registered?	2002
What is the legal status of your organisation?	NGO
How is your organisation currently funded?	(Max 100 words) Mostly through grants funded by bilateral and multilateral donors, as well as charity organisation. As member of BirdLife International global partnership, Burung Indonesia is also supported by other BirdLife International partners.
Have you provided the requested signed audited/independently examined accounts?	Yes

8b. DO NOT COMPLETE IF YOU ANSWERED 'YES' TO QUESTION 7.

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

1. Title	Ecosystem Restoration Concession (ERC) in Indonesia
Value	5,416,000 EUR
Duration	12/2013 – 11/2018
Role of organisation in project	Implementing agency
Brief summary of the aims, objectives and outcomes of the contract/award.	Establishment of a new ERC in Gorontalo, Sulawesi and advocacy works to strengthen ERC policies. The Outcome of the project is the conservation and restoration of endangered forests through the creation of an ERC and other appropriate land-use management strategies in selected pilot areas, i.e. the Popayato-Paguat Forest Block, for maintaining important carbon stocks, protecting exceptional biodiversity, and improving livelihoods of local communities. The project will strengthen the communities' adaption capacities and ecosystem resilience by investing in a sustainable landscape management strategy.
Client/ independent reference contact details (Name, e-mail, address, phone number).	International Climate Initiative (IKI)/German Development Bank (KfW) See KfW website Dr. Marcus Stewen Principal Project Manager KfW Development Bank Climate and Natural Resources Asia

2. Title	Danida Support to Harapan Rainforest
Value	6,300,000 EUR (probable extension of DDK21million for 3 yrs)
Duration	07/2011 – 12/2015 (probable extension from April 2016 – April 19)
Role of organisation in project	Implementing agency
Brief summary of the aims, objectives and outcomes of the contract/award.	Forest restoration, stakeholders engagement, research and policy advocacy works on ERC The Danida Support to Harapan Rainforest (DSHRF) project is designed to support and strengthen the Harapan Rainforest (HRF). HRF is the first Ecosystem Restoration Concession in Indonesia. The DSHRF will make a vital difference to the project. The scale of the work required returning this forest to its former state, saving its globally threatened biodiversity, preventing the emission of millions of tonnes of carbon and retaining support from local people is enormous but manageable. Danida funding will significantly enhance the rate of progress, contribute new and innovative elements to the existing work programme, and strengthen the sustainability of the project. The outcome of the project is Harapan Rainforest is managed sustainably and serves as a model for ecosystem restoration and REDD+ in Indonesia and elsewhere
Client/ independent reference contact	DANIDA The Project is summarised on this DANIDA website

details	http://www.esp3.org/index.php/en/ LARS MØLLER Manggala Wanabakti Building Block IV, 3rd floor, wing C, room 319-320 Jl. Jend. Gatot Subroto Senayan, Jakarta 10270
3. Title	Regional Implementation Team-Critical Ecosystem Partnership Fund (CEPF) Wallace
Value	1.499.389 USD
Duration	03/2015 – 11/2019
Role of organisation in project	Implementing agency
Brief summary of the aims, objectives and outcomes of the contract/award.	The projects specific purpose ‘to support a diversity of civil society organizations with varying levels of capacity to archives conservation outcome and environmental sustainability within the increasingly important national agendas of economic growth’. Project components : <ol style="list-style-type: none"> 1. Coordinate CEPF investment in the hotspot 2. Support the mainstreaming of biodiversity into public policies and private sector business practices 3. Built the capacity of local civil society 4. Establish and coordinate a process for large grant (.\$20,000) proposal solicitation and review 5. Manage a program of small grants 6. Monitor and evaluate impact of CEEPF’s large and small grants The project will continue the role of previous National Advisory Committee (NAC) which will provide valuable advice on how effectively integrated CEPF investment into public and private sector policy.
Client/independent reference contact details	Conservation International Foundation (CI) Oliver Langrand 211 Crystal Drive, Suite 500 Arlington, VA 22202 USA

8c. DO NOT COMPLETE IF YOU ANSWERED ‘YES’ TO QUESTION 7.

Describe briefly the aims, activities and achievements of your organisation. (Large organisations please note that this should describe your unit or department)

<p>Aims (50 words)</p> <p>Burung Indonesia’s vision statement is, “To be the leading bird conservation organization in Indonesia and with the aim to conserve all Indonesian birds and their habitats through the support of the Indonesian people”.</p>
<p>Activities (50 words)</p> <p>Burung Indonesia performs its conservation approach through three programs: protected areas; sustainable management of productive landscapes and ecosystem restoration in production forests. Community empowerment is a key component which ensures that communities participate in the management of the natural resource base and benefit from the sustainable use of natural resources through livelihoods improvement.</p>
<p>Achievements (50 words)</p> <p>Management of large-scale conservation projects: Gorontalo (Sulawesi), Harapan (Sumatra), facilitated collaborative management agreements in ketajawe-Lolobata National Park, North Maluku.</p> <p>Drove policy review allowing creation of ERC licences in Indonesia. Leads national ERC policy review process.</p> <p>Currently leads the Regional Implementation Team for the CEPF grants for the Wallacea Biodiversity Hotspot</p>

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

<p>Lead institution and website:</p> <p>Burung Indonesia (BI) (www.burung.org)</p>	<p>Details (including roles and responsibilities and capacity to lead the project): (max 200 words)</p> <p>BI is a local conservation NGO and the BirdLife International Partner for Indonesia. As noted above, BI is represented on the board of PT REKI, the company managing Harapan Rainforest, and has direct oversight of restoration activities. BI was responsible for the policy developments that lead to a change in the forest law in 2004 to allow the creation of Ecosystem Restoration Concession (ERC) licences in Indonesia, and continues to coordinate an ERC policy review process.</p> <p>Roles and responsibilities BI will be responsible for (i) all coordination of project activities among project partners, (ii) oversight of M&E and reporting on project progress to Darwin Initiative and other stakeholders.</p> <p>Capacity BI has extensive experience in leading conservation and development projects across the country with grants from the International Climate Initiative, the EU and DANIDA. As noted above, BI also leads the regional implementation team for the CEPF grants for the Wallacea Biodiversity Hotspot. Currently BI works closely with the Forestry Research Development Agency (FORDA) and the Director General Sustainable Production Forest Management in MoEF to advocate for ERC policy change. BI is therefore well positioned to lead this project.</p>	
Have you included a Letter of Support from this institution?		Yes

<p>Partner Name and website where available:</p> <p>PT-REKI (Restorasi Ekosistem Indonesia)</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>PT-REKI is the company that holds the Harapan Rainforest (HRF) ERC license. PT-REKI is 95% owned by a non-profit foundation that is a partnership between BI, RSPB and BirdLife International. PT-REKI's work in managing HRF has frequently identified the need to develop livelihood options that reconcile farmers aspirations with restoration goals. PT-REKI employs a staff of 160 divided among six departments; Community Development, Business Development, Forest Security, Restoration, Research and Administration.</p> <p>Roles and responsibilities PT-REKI will conduct the surveys and negotiate the agreements with households under the supervision of BI. The heads of department for Community Development, Restoration and Research will be most directly involved with the project. PT-REKI will appoint existing and recruit new staff to deliver this piece of work.</p> <p>Capacity PT-REKI brings an intimate understanding of the forest and the forest communities having worked with them for over 10 years, and is best placed to lead on this aspect. Critical is the careful dealing with communities and the building of their trust and ownership of the project.</p>	
Have you included a Letter of Support from this institution?		Yes

<p>Partner Name and website where available:</p> <p>Royal Society for Protection of Birds (RSPB)</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>The RSPB is the UK partner of BirdLife International – a global partnership of national conservation organisations. By working with BirdLife we have a greater impact worldwide, helping to stem the loss of global biodiversity and achieve a more sustainable world. The RSPB is represented on the board of PT-REKI and has worked previously with BI and Ministry of Environment and Forestry in Indonesia.</p> <p>Roles and responsibilities The RSPB will design the biodiversity assessment and monitoring protocols, supervise their implementation by PT-REKI, and analyse and report on the data derived.</p> <p>Capacity The RSPB has implemented many successful Darwin projects globally, and the RSPB's Centre for Conservation Science is a well established leader in biodiversity and conservation research. The RSPB has been providing research support to Harapan Rainforest since its inception in 2007.</p>
Have you included a Letter of Support from this institution?	Yes

<p>Partner Name and website where available:</p> <p>World Agroforestry Centre (ICRAF), SE Asia office, Indonesia.</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>ICRAF is a Consultative Group on International Agricultural Research (CGIAR) institution specialising on agroforestry and landscape management. ICRAF has extensive experience in development research in Indonesia, including research on landscape restoration and rubber agroforestry systems, and has provide advice on restoration research to HRF since 2012.</p> <p>Roles and responsibilities ICRAF will lead on the design and modelling of agroforestry options. In addition, ICRAF will coordinate with University of Kent (UK)/Edinburgh (UE) on the design of the household livelihood surveys and the farms system analysis, and use the information derived from these surveys to design the on-farm agroforestry trials through a participatory process with farmers. ICRAF will develop a monitoring protocol to measure the success of agroforestry treatments in terms of plant growth and projected revenues.</p> <p>ICRAF is a world leader in its field and had more than adequate capacity to engage with the project.</p>
Have you included a Letter of Support from this institution?	Yes

<p>Partner Name and website where available:</p> <p>Durrell Institute of Conservation and Ecology (DICE), School of Anthropology & Conservation, University of Kent</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Mission: The University of Kent mission is a forward-thinking research institution committed to the transformative power of education and research. Situated in the School of Anthropology and Conservation the Durrell Institute of Conservation and Ecology sets itself apart from more traditionally-minded academic institutions by conducting applied research that breaks down the barriers between the natural and the social sciences. It has a clear mission: To conserve biodiversity and the ecological processes that support ecosystems and people, by developing capacity and improving conservation management and policy through high-impact research.</p> <p>Responsibilities In collaboration with partners, Dr. Freya St John will contribute to the monitoring and evaluation of project impact. Freya's principle responsibility will be to design and implement the socio-economic surveys used to monitor the status of households in and around Hutan Harapan. Monitoring will incorporate measures of involvement in sensitive activities such as illegal hunting or habitat clearing.</p> <p>Capacity Working in Indonesia, Taiwan and Guinea, Freya's research focuses on understanding human behaviour in the context of conservation and natural resource management. She is an expert in using specialised methods for asking people about their involvement in illegal activities and brings experience of designing, implementing and analysing large social science surveys.</p>
Have you included a Letter of Support from this institution?	Yes

<p>Partner Name and website where available:</p> <p>University of Edinburgh, School of GeoSciences</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>The University of Edinburgh is a world-leading centre of academic excellence whose mission is the creation, dissemination and curation of knowledge for the benefit of society. The School of GeoSciences is the largest of its kind in the UK, with over 400 academics, researchers and research students. The interdisciplinary research carried out within the School seeks to understand the processes that shape our planet, with a particular focus on interactions between humans and the environment.</p> <p>Roles and responsibilities: Dr. Aidan Keane will contribute to the monitoring and evaluation of project impact, in close collaboration with the other project partners. Aidan will take primary responsibility for the design and implementation of sampling protocols for household-livelihood surveys and experimental economic games, and for the statistical analysis of the data collected.</p> <p>Capacity: Aidan has conducted research into the effects of conservation actions on resource use by local people for that past eight years, and has worked in Tanzania, Kenya and Madagascar. He brings experience of: designing and implementing quasi-experimental impact evaluations of conservation; using experimental economic approaches to investigate drivers of human behaviour; and technical expertise in the analysis of sensitive survey data collected using specialised questioning techniques.</p>
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?
Mangara, Silalahi	Project Leader	BI	25	Yes
Jomi Suhendri	Implementation of socio-economic surveys, design and negotiation of management agreements with farmers, supervision of participatory selection and design of agroforestry options, implementation of surveys assessing project impacts on livelihoods	PT REKI (HOD Community development)	50	Yes
Toto Suwito	Head of business development at HRF. Will support the Project Leader to coordinate the project at the site level and advise on business development of Agroforestry options.	PT-REKI	10	Yes
Tom, Swinfield	Design and supervision of biodiversity monitoring. Supervision of remote sensing.	RSPB	20	Yes
Rhett, Harrison	Design and modelling of rubber agroforestry options. Design and supervision of on-farm agroforestry trials and protocols for measuring their success.	ICRAF	17	Yes
Freya, St John	Design of household surveys, farm system analysis and protocols for monitoring project socio-economic impact, supervision of implementation of these components and analysis of data arising and feedback to project stakeholders	UK	10	Yes
Aidan, Keane	Design of experimental economic approaches to guide design of agroforestry options, supervision of implementation of this component and feedback to project stakeholders, especially ICRAF, in the design of agroforestry options.	UE	10	Yes

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)

Indonesia has the largest population and highest rate of contemporary deforestation of any tropical country. More than 80M ha of exhausted logging concessions exist and studies have shown these forests harbour high levels of biodiversity and supply valuable ecosystem services. Hence, their conservation is a priority. However, 49 million people, among the poorest in the country, live on forest margins. With limited livelihood options, many depend on illegally clearing forests for agriculture, including oil palm, with the uncertain hope of attaining land tenure in future. This accounts for ~1M ha of deforestation per year.

Harapan Rainforest (HRF), an Ecosystem Restoration Concession (ERC) in Sumatra, Indonesia is a 98,000 ha formerly logged, highly diverse, natural forest, where these problems are epitomised. Over 2,000 households have settled illegally within the concession since 2005 and have cleared 18,256 ha for agriculture. However, following forest clearance, land preparation and planting are often delayed by limited capital and labour resources.

Agroforestry is one of very few land management alternatives that has the potential to provide valuable livelihood opportunities consistent with restoration and biodiversity objectives. Moreover, the appropriate provision of capital or labour resources, value added processing, access to markets, and the possibility of obtaining land tenure security through management agreements provide a powerful incentives for the uptake of agroforestry and enable the brokering of agreements to halt forest loss. However, agroforestry options need to be designed to meet the aspirations of local farmers, maximise economic resilience and enhance biodiversity. The technologies developed and lessons learned could be applied across Indonesia with huge potential gains for some of the world's most threatened biodiversity and poorest people.

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)	No
International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)	No
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)

In-situ Conservation (articles 8c/8f/8i/8j). The project will promote management of biological resources for sustainable use, through rehabilitating and restoring degraded ecosystems across 100,000ha of lowland forest.

Sustainable Use of Components of Biological Diversity (article 10a-e). Customary uses of the forest resources will be incorporated into the design of agroforestry options. The experiences gained at HRF will be advocated to **national decision makers** through the national ERC forum.

Research and Training (article 12b/c). The project will contribute to research on livelihoods, agroforestry and conservation. Staff at BI and PT-REKI will be trained in the design and implementation of research components.

Technical and Scientific Cooperation (articles 5,18). Cooperation between the UK (RSPB, UK and UE) and Indonesian partners, and through the ERC policy review process and ERC Association, will result in **improved capacity** and **policy**.

Aichi Biodiversity Targets. The project will contribute to the following Aichi targets: 1(people aware of biodiversity values), 4(sustainable natural resource exploitation), 5(reduce habitat loss), 14(ecosystems contribute to livelihoods), 15(ecosystem resilience through restoration), 18(traditional knowledge for biodiversity conservation).

The project contributes to the illustrative goal #9 'Manage Natural Resource Assets Sustainably' of the **High-level Panel on the Post-2015 Development Agenda**, which the UK, Indonesia (and Liberia) co-chaired.

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

Yes if yes, please give details:

BI has good, established relations with the **CBD focal point**. A recent example being a HRF case studied being used in Governments 5th National Report to the CBD (see Box 2, page 33 of the report [here](#)). Indeed HRF is being watched closely by the government as the test case for ecosystem restoration. Through this project we will continue to use and nurture these excellent relations and ensure that they are kept informed of any exciting and noteworthy updates from the project and support the Government in reporting to the CBD.

It was noted in the stage 2 letter from Darwin that the link to CITES should be strengthened due to Agarwood (Gaharu) being a focus species for the project. Gaharu is a CITES (Appendix II) species as a result of over-harvesting of wild populations. However we do not feel that close liaison is required with the **CITES focal point** due to the following reasons (also listed in the Assumptions in the Logical Framework):

- Licenses are required for harvesting and the proponent must show that the trees are derived from sustainably managed populations. As the gaharu in our agroforestry systems will be grown from seed this will not be difficult to demonstrate.
- If stocks are derived from planted material the MoEF (the CITES Focal Point) usually approves licenses without further requirements.
- PT-REKI collaborates with FORDA in inoculation trials of wild gaharu, a common species in HRF.

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)

The project comprises four work packages:

WP1: Livelihoods and farm systems analysis

A baseline socio-economic survey of 500 households will be conducted in year 1. Data will be gathered on livelihood indicators including farm yields, capital and labour efficiency, income, economic resilience, food security, gender equality, school attendance and health service access. Specialised questioning techniques will gather data on involvement in illegal activities. A full farm systems analysis with 50% of households to capture the objectives of farmers and their capital and labour constraints. Experimental economic approaches will assess future management options and identify routes for PT REKI to incentivise agroforestry uptake and meet livelihood goals, including improved gender equality. Surveys designed by UK/UE, implemented by BI/PT-REKI and analysed by UK/UE.

WP2: Participatory development of agroforestry options

Rubber will be the primary commodity crop due to its capacity to maintain yields equivalent to monoculture when intercropped. Exact options for interplanting will be determined by the socio-economic survey results but will include high value native timber and non-timber forest products (NTFPs), especially gaharu (*Aquilaria* spp.), which yields a valuable essential oil. ICRAF will design options, using computer models to assess potential performance, and refined through participatory processes with farmers to produce ~4 replicable agroforestry options; equal gender representation will be sought to ensure crops desired by women are included. BI/PT-REKI will develop/negotiate management agreements, mandating the cessation of forest clearance¹, and implement on-farm trials with a target of 500 households. A randomised block design, produced by ICRAF, will experimentally test livelihood and biodiversity outcomes. Spatially cohesive blocks will be formed in which all options are present and treatment area sizes will be varied so outcomes can be examined at different scales.

WP3: Impacts on livelihoods and biodiversity

Changes in livelihoods and biodiversity will be assessed against baselines for 150+ participating (agroforestry) and 150 non-participating (current practice) households, selected from the initial 500 households. The socio-economic survey at project start will be repeated at EOP to assess impact of transitioning to agroforestry on livelihoods. Because the majority of agroforestry benefits will not be realised by EOP, modelling will be used to estimate long-term yields and incomes. Crop growth and survival will be measured for model parameterisation within the different options. Biodiversity will be assessed at two scales; (i) diversity of plants, soil organisms (measurable change by EOP) and birds (measurable once forest canopy closes), ecosystem structural diversity; and (ii) impact of the project on forest loss rates within trial areas and across HRF through remote sensing. RSPB will design biodiversity monitoring protocols. PT-REKI will implement monitoring and re-measure impact five and ten years after project completion.

WP4: Policy and governance development

PT REKI and BI will host a workshop and visits to trial farms, showcasing lessons learned to ERC licensees, Ministry of Forestry, and Universities. An active policy review process will be hosted by BI and FORDA who collaborate through an MoU.

1 In exchange for startup investment of high quality planting stock, agroforestry designs, access to value chain processing and marketing.

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).

Our Theory of Change is that by developing and implementing agroforestry options the livelihood aspirations of encroacher and forest edge communities will be reconciled with HRFs restoration goals. Currently, forest edge communities are establishing monoculture agricultural systems, including oil palm, which leave them heavily dependent on fertilisers and vulnerable to fluctuations in global markets. Lack of knowledge of suitable alternatives, inability to add value to products and poor access to markets perpetuate this pattern. Carefully designing agroforestry systems through a participatory process, including the use of financial instruments for their implementation (e.g. high quality planting stock, agroforestry designs, access to value chain processing and marketing), will provide strong incentives to participate in agroforestry development as an alternative. By formalising this concept into management agreements providing land tenure security in exchange for participation we will generate a workable solution to the forest protection and poverty crisis faced by HRF.

The selection of appropriate and diversified native intercrops, are expected to improve economic resilience and long-term incomes (benefits from agroforestry systems are inherently long-term). In particular, total farm incomes from agroforestry may exceed those from oil palm, if NTFP and timber harvests are achieved in addition to near monoculture levels of rubber production. By including crops specifically desired by women, new opportunities will arise for them to control household income streams, improving gender equity.

Biodiversity in agroforestry areas will be enhanced through increased structural complexity both within and between farms. Native tree species and analogous structure will enhance biodiversity to levels comparable to secondary forest. An increase in diversity will be measurable by EOP but will continue to accrue for decades. Biodiversity will be further enhanced as forest loss will be reduced through incorporating commitments to cease forest clearance into management agreements and the establishment of a social fence through enhanced cooperation.

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)

In the short-term, the project approach outlined above will directly benefit the livelihoods of 500 households involved in the project, through land tenure security and crop diversification, leading to improved economic resilience and stabilised long-term incomes. In particular, households will access revenues from rubber equivalent to those from monoculture plantations but intercrops, such as high value NTFPs and fast growing timber will boost household incomes. These additional revenues will not be realised during the project but accrual of capital assets will demonstrate additional income streams from 5 years after establishment. Gender equity will be improved by household task diversification and targeted training for women in 500 participating households.

Reconciling household aspirations with restoration goals will enhance biodiversity across 500 ha of community managed land and reduce forest clearance by c. 80% within these areas.

On-farm trials are the most efficient mechanism for the transfer of new technologies to smallholders. Using this experience to develop new methodologies will enable PT REKI to scale-up in the long-term to all HRF communities which could provide sustainable livelihoods for >2000 households, enhance the biodiversity value of ~20,000ha of encroached land and curtail forest clearance within HRF.

Knowledge communicated by partners to the broader restoration community, through trial-farm visits/workshops/conferences and the production of international public goods, may benefit the millions of people living on forest margins in Indonesia. This is particularly true of those living on >400,000 ha of ERCs² and ~8,000 households³ where similar approaches could help reduce land-conflict. If agroforestry really gains momentum as a mechanism for reconciling livelihoods and biodiversity in Indonesia it could accelerate the granting of ERC licences across 2.7M ha proposed for ERC and potentially to the >39Mha of exhausted logging concession without active management.

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)

In 2014 a business plan for rubber and gaharu was developed for HRF. Building on this, the project will develop rubber and gaharu management plans with clear guidelines for further development of cultivation, processing and marketing within HRF. Business plans will also be developed for each of the intercrop products, including timber and NTFPs. Plans will be integrated into the HRF management plan and structures and standard operating procedures will be developed for each agroforestry option and community development.

The technologies developed, lessons learned and trust developed will enable PT-REKI to roll out agroforestry approaches to other forest edge and encroacher communities at HRF, increasing incomes, providing tenure security, restoring degraded forest and gaining their support for forest protection. PT-REKI staff will have developed the capacity to do this as a result of their central participation in all aspects of the project.

Once participating households/communities have received training and other inputs to

² Areas already in possession of government issued licenses.

³ Based upon household densities at HRF.

understand agroforestry management, the income generated from processing and selling on will ultimately enable PT-REKI to manage the programme as a self financing activity.

Once improved policies are in place and technologies publicized, the need for externally financed projects to develop the agroforestry potential in ERC's will be reduced.

17a. Harmonisation

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

This initiative is new but is intrinsically linked to the sustainability and success of the HRF. HRF is a project that has been restoring (through protection, planting and assisted natural regeneration) 98,550 ha of rainforest under an ecosystem restoration license since 2009.

As part of this ambitious initiative, HRF is exploring ways in which to meaningfully engage local communities, protect the forest biodiversity and restore the forests in a financially viable and sustainable way. This project is therefore considered a critical component of the future sustainability of the HRF. BI together with MoEF and FORDA pioneered the ERC approach and legislation and this project will build on this by developing ways of engaging forest dependent and encroacher communities in conservation whilst generating livelihood benefits.

Agroforestry is also well established in Indonesia and is already recognised as an approach compatible with restoration goals. ICRAF has been working in Indonesia since the 1970s and conducted early research on rubber agroforestry and jungle rubber systems. Thus the research builds on an existing knowledge base and will contribute to extending this knowledge base for the benefit of conservation and restoration initiatives through out Indonesia and beyond.

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 tis work and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits.

Sumatra Sustainable Support is local NGO which works in South Sumatra. They previously completed a market analysis of small-scale rubber production in one of the communities bordering HRF. This study will help to inform the project baseline. We will engage with it and build on its successes, in particular by communication developments in rubber agroforestry systems which typically provide greater economic resilience to rubber smallholders than rubber alone.

Many NTFPs are sold in informal markets, often with value-added processing. Income from NTFPs provides a small but crucial source of income as well as 'green social security'. Indonesia has a vibrant 'hidden economy' of informal NTFP producers and traders. Unrecognized in official statistics, the informal NTFP sector is a significant source of income for millions of rural households. Studies demonstrate that NTFPs hold significant potential for rural households, because although current trade volumes are small there is high growth potential, the production of NTFPs is flexible in terms of livelihoods' systems, and is much less capital intensive than the mainstream crops (such as coffee, cocoa and citrus). Through the participatory process to develop rubber agroforestry options many NTFPs may be considered for intercropping.

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)

PT-REKI and BI staff will **lead** the on-the-ground implementation of the project and project outcomes will inform the future community interactions and business development at HRF. Critical to project success is the participation of local communities in the design and implementation of agroforestry options. Participation of communities will be based on **free, prior and informed consent** through an initial consultative process. Communities will be involved in key project decisions and **traditional ecological knowledge**, including the management of NTFPs, incorporated into the development of the agroforestry options. Regular feedback from project partners to the communities is integral to the development of the project. Thus participating households/communities will be informed of the results of each project component, including the baseline surveys, workshops on developing agroforestry options and modelling results, before the implementation of the next step.

All socioeconomic **research** will be done to the highest international standards, after approval by the School of Anthrology & Conservation Ethics Committee at UK. This will be led by UK and UE with BI and PT-REKI inputs. Support will therefore be **credible** and carried out with **integrity**. Key outputs will be communicated to participating households and communities around HRF, presented to the ERC policy review forum and ERC Association, published in open-access journals as far as possible and discussed at an end-of-project conference in Indonesia.

The project has **poverty reduction and biodiversity conservation** at the heart of its design, since the protection of HRF is intrinsically linked to the communities living in its immediate surroundings. Many inhabitants of these villages are dependent HRF for their subsistence and thus the sustainable management of the HRF requires excellent cooperation with communities.

BI and HRF have carefully monitored and regularly updated **health and safety policies** and practices and these will be applied across all work and partners.

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)

Audience – Government Policy Makers. As noted in the methods (WP4), the project, led by BI, will engage with policy makers through the ERC Policy Review Forum. Hosted by FORDA, the forum members include conservation NGOs, prominent local academics and representatives from Ministry of Environment and Forestry. Through the forum BI will communicate findings of research carried out on livelihoods, community development, agroforestry options and NTFP markets and the potential relevance for the development of improved ERC policy to protect and restore biodiversity. The final product will be appropriate changes in ERC policy that incentivise biodiversity supportive agroforestry as an option for community development.

Audience – Other ERC concession holders. BI and PT-REKI will communicate experiences and share-results with other ERC managers through the ERC Association. This will enrich discussion on best-practices in ERC community development and specifically on the use of agroforestry as means to enhancing livelihoods and protecting biodiversity. BI will develop a guidelines for community development and agroforestry for the association.

Audience – Policy think tanks, academia, conservation professionals. Results, demonstrating the private and public benefits of agroforestry over plantations or swidden

farming, will be communicated through peer-reviewed papers, policy briefs and presentations at meetings and conferences.

Audience – Forest edge and encroacher communities. As the project develops, awareness of agroforestry as an alternative to monoculture plantations will be communicated to forest edge and encroacher communities, both directly through project activities and indirectly as a consequence of the on-farm trials and farmer-to-farmer communication. Thus, initially this will involve the 500 households participating in the trials, but through a combination of word-of-mouth and PT-REKI's efforts to upscale eventually all communities around HRF will be made familiar with agroforestry.

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)

The 500 households involved in the on-farm trials will be introduced to the concept of agroforestry and trained in the cultivation of rubber, gaharu, timber and other NTFPs. This training carefully developed to ensure gender equity will include transfer of specific technologies, such as nursery management and plant husbandry, rubber tapping and latex management, inoculation of gaharu, and management of light competition within agroforestry systems, which is critical to their success. Following the principle of practice-by-doing ICRAF and PT-REKI will supervise farmers in the planting of agroforestry options, survey planting success quarterly and supervise farmers in weeding or other plant husbandry activities. Under ICRAF's supervision, PT-REKI will produce a series of simple manuals on specific cultivation and management techniques to communicate best practices to farmers by EOP. Participating farmers will also be critical to the scaling up of interventions post-project through farmer-to-farmer transfer of information and experiences.

Through the project **BI** and **PT-REKI** will gain knowledge and practical experience in the design and conduct of livelihood and farm systems surveys, in the design and negotiation of management agreements with farmers, and in the implementation and supervision of agroforestry plantings and their subsequent management. While PT-REKI already conducts a comprehensive biodiversity monitoring programme at HRF, their capacity in the design of protocols and analysis will be enhanced through exchange with RSPB.

The project's **participatory approach** will, in addition, build capacity among all partners engaged to reach negotiated outcomes, favourable to each party, through the increased communication and enhanced trust established.

PT-REKI's representation in the ERC Association will enhance the capacity of other ERC managers through the transfer of information and experiences on best practices.

BI's active participation in the ERC forum will enable lessons learned to be communicated to policy makers thus increasing their capacity to make informed policy decisions.

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)

The project will make project results available through [HRF's website](#), open access publications, online data archives, such as www.dryad.org, and by posting reports online. Both the RSPB and ICRAF have publication and data access policies in place.

BI will make any publication resulted from the project open access to public. BI will use its website and social media to spread project results.

RSPB policy states that, wherever needed, data from the project will be supplied in INSPIRE-compliant format. Except where the sensitivity of data is very great access to the data will be unrestricted, with data normally available either via the NBN Gateway, GBIF (Global Biodiversity Information Facility) or the RSPB's online Data Zone, or on request to the RSPB's Conservation Data Management Unit.

ICRAF adheres to the principle of unrestricted public access to its final research outputs,

including datasets and publications, and will seek to make such outputs widely available, unless some other arrangement would clearly lead to greater benefit and impact for ICRAF's mission. ICRAF regularly disseminates research findings and technologies through novel tools, such as phone apps and games.

Accordingly project reports will be downloadable from the HRF website. Scholarly publications will be made open access and a budget of £4000 for these has been included. All datasets will be appropriately archived and available from the RSPB or ICRAF in-house data depositories or, if associated with a publication, an appropriate online archiving service.

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:

Burung	£XXX
RSPB	£XXX
ICRAF	£XXX

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
In preparation now. Submission imminent	DANIDA	DOK 21million over 3 yrs	We have been managing a DANIDA support grant in HRF between 07/2011 and 12/2015 (See section 8b) We are in the process of developing project documents for a further 3 year phase of support. This is being done in close cooperation with DANIDA and we are confident of funding success.
In preparation now. Submission imminent	IKI/KfW	€7 million over 5 yrs	The RSPB has been managing a IKI/KfW support grant in HRF between 2009 and 2013 that complements the DANIDA support. We have been told our stage 1 application has been successful and we are in the process of setting up a series of review meetings and donor 'missions' to develop the full proposal for implementation mid 2016 for 5 yrs.

22c) None

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

(max 100 words)

n/a

PROJECT MONITORING AND EVALUATION - MEASURING IMPACT

23. LOGICAL FRAMEWORK

Acronyms: EOP –End of Project, HRF –Harapan Rainforest, ERC – Ecosystem Restoration Concession. EOM – end of Month

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Impact (Max 30 words) Agroforestry options reconcile livelihood development with restoration and biodiversity goals across the 100,000-ha Harapan Rainforest, 2.7mha of ERCs and across a further >39mha Mha of logged over forests in Indonesia.			
Outcome: (Max 30 words) Agroforestry systems are developed and trialled at HRF, resulting in improved livelihoods, enhanced biodiversity in cultivated areas and reduced rates of deforestation, and are incorporated into national ERC policy and best-practise.	0.1, 90% of 500 households express an improvement in household economic resilience to stresses and shocks (a more stable income stream with less fluctuation) as a result of diversified agroforestry by end of project. The income from each agroforestry option will be recorded to demonstrate that a more balanced portfolio is achieved by the end of project. 0.2, 90% of the 500 project households have increased security of tenure to the land as a result of management agreements, linked to conservation outcomes, signed though the project by year 3. 0.3, 80% of the 500 project households indicate an improvement in household incomes as a result of the project within 3 years of the project end. 0.4, Women across the 500 households express positive improvements in equity as a result of focus group discussions, training and extension support by end of project. 0.5 Biodiversity across 500 ha of community managed land is enhanced (increase diversity of plants, birds and soil organisms and shift in community composition towards forest dependent	0.1.1 Analyses / report of impact of project on livelihoods 0.1.2. Livelihoods impact (incl. gender disaggregated data) published in peer review journals. 0.2.1. Signed household tenure agreements. 0.2.2. Report on adherence to conservation outcomes in tenure agreements. 0.3.1. Analyses / report of impact of project on livelihoods 0.4.1. Focal group discussion report comparing gender equity baseline and end of project perceptions. 0.5.1 Biodiversity survey data from before-and-after implementation of agroforestry trials. 0.6.1 Remote sensing report 0.7.1 HRF management plan and Standard Operating Procedures 0.8.1 Policy forum reports,	<i>Livelihood benefits can be detected by EOP.</i> We will focus primarily on analysis of benefits that can be measured in the short term such as security of tenure (via management agreements, perceived gender equity, skills transfer, etc.) and on modelling outcomes for long-term benefits. <i>Biodiversity benefits can be detected by end of project.</i> Most of the project area is crop land or early fallow that is regularly re-cut. Thus, even over a relatively short time positive biodiversity benefits can be realised. Additionally, we will focus analyses on identifying the trajectory of change (i.e. towards more forest dependent biotas). We will also use proxy indicators such as the impact of the project in further encroachment into the forest As benefits will continue to accrue beyond the life of the project PT REKI has committed to continuing support for the interventions and under-taking additional impact surveys of livelihoods and biodiversity 5 yrs and 10 yrs after completion of the project.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
	<p>species) through agroforestry interventions by EOP.</p> <p>0.6 Forest clearance reduced by 80% in project focal areas and by 30% across HRF by EOP against baseline rate at start of project as a result of the 'social fence'.</p> <p>0.7 By EOP, HRF management adopts agroforestry as a central tenant of its community development programme and rolls out an agroforestry programme across all encroached areas.</p> <p>0.8 By EOP, ERC policy is adapted to facilitate agroforestry in community development</p> <p>0.9. At least 3 other ERC license holders incorporate agroforestry into their community development programmes.</p>	<p>white papers and legal changes to ERC licenses. ERC Association meeting minutes and documented management commitments</p> <p>0.9.1. Other ERC license holder reports, websites, press releases.</p>	
<p>Outputs:</p> <p>1. Enhanced understanding of the household and farm systems level economics in communities at HRF and the potential contribution of locally developed agroforestry options to enhancing livelihoods</p>	<p>1.1. Gender disaggregated household economic survey designed and carried out on 500 farms by EOM6</p> <p>1.2. Farm systems analysis survey designed and implemented on 250 sample farms by EOM9</p> <p>1.3. Experimental economic games designed and carried out in 8 focal groups by EOM9 to assess impediments to agroforestry uptake.</p> <p>1.4. Household economic, farm system and economic games data analysed by EOM12 and analysis used to inform the collaborative design of agroforestry options in output 2.</p> <p>1.5. Develop and conduct livelihoods impact survey of 150 participating and 150 non-participating families by EOM33 to measure impact of project interventions.</p>	<p>1.1.1 Household systems survey report.</p> <p>1.1.2 Household systems survey tools and data archived on open access platform.</p> <p>1.2.1 Farm systems survey report</p> <p>1.2.2 Farms systems survey tools and data archived on open access platform</p> <p>1.3.1 Experimental economic games tool and data archived on open access platform</p> <p>1.3.2 Report on experimental economic games</p> <p>1.4.1 Publication of up to 3 peer reviewed papers.</p>	<p><i>Farmers from communities at HRF are willing to collaborate with the project and participate in agroforestry trials</i></p> <p>BI and PT-REKI's ongoing dialogue with encroacher groups and the activities of the community development department at HRF (e.g. the project has provided primary schooling, a health clinic, sanitation, and livelihood support for the Batin Sembilan) are continually building trust. Moreover, the potential of encroacher communities to secure tenure through management agreements with PT-REKI is likely to be a strong motive for collaboration. Through providing novel and appropriate technologies, skills training and planting material for agroforestry, as well as security of tenure and other incentives through management agreements, BI and PT-REKI will be enabling alternatives to current practices.</p>



Project summary	Measurable Indicators	Means of verification	Important Assumptions
		1.4.2. Agroforestry option models 1.4.3 Stakeholder agreement on agroforestry options. 1.5.1. Analyses / report of impact of project on livelihoods	
<p>2. Agroforestry options, based on rubber, gaharu and native timber species, are designed, through a participatory process, to meet livelihood and restoration goals, and are trialled in focal communities in HRF.</p>	<p>2.1 Models for jungle rubber, gaharu and native timber species developed by EOM12</p> <p>2.2 Stakeholder workshops involving all 500 Households to refine proposed agroforestry options across 500 ha and agree an implementation plan by EOM15</p> <p>2.3 Agreements with 500 families for the development of agroforestry systems covering 500 ha of their land (1+ha for each family) is signed by EOM18.</p> <p>2.4 On farm trials established on 500 ha in focal areas (in 2.3) by EOM24 and monitored every 3 months.</p> <p>2.5 Biodiversity surveys designed and carried out on a subset of agroforestry trials (stratified for distance to forest and other key environmental variables) at start and end of project.</p> <p>2.6 Baseline and endline remote sensing analysis of on farm trial area (500ha+) and HH as a whole carried out by EOM3 and 36.</p> <p>2.7. Ten REKI and 2 BI staff have been trained in livelihood surveys, farm system analysis and economic games by EOM6 and are involved in the implementation of surveys and analysis of data.</p>	<p>2.1.1 Models outputs for rubber, gaharu and native timber agroforestry systems made available through open access platform</p> <p>2.1.2 Publication of agroforestry modelling results in peer-reviewed journal</p> <p>2.2.1 Photographs, minutes and implementation plan from stakeholder workshops</p> <p>2.3.1 Copies of signed management agreements</p> <p>2.4.1 Monitoring reports of implementation of agroforestry trials on farms.</p> <p>2.4.2 Training manuals archived</p> <p>2.5.1 Analysis and report of before-and-after biodiversity surveys.</p> <p>2.5.2 Publication of before-and-after biodiversity surveys in peer reviewed journal.</p> <p>2.6.1 Report of forest cover change.</p> <p>2.7.1 Training reports (by survey leaders) and trainers</p>	<p><i>Locally designed agroforestry options benefit biodiversity</i></p> <p>Mature jungle rubber, an indigenous rubber agroforestry system in Indonesia, has similar biodiversity values to advanced secondary forest regrowth. The agroforestry options we will design will enhance structural diversity and species diversity, through diversification of inter-rows. At maturity, a rubber or high value timber agroforestry system with natural regeneration between rows is expected to form an analogue forest similar in diversity to jungle rubber.</p> <p><i>Locally developed agroforestry options benefit livelihoods</i></p> <p>Communities at HRF have limited livelihood options, usually depending on subsistence crops and artisanal rubber or oil palm. Lack of capital to invest in inputs and vulnerability to global market fluctuations combine to reduce the profitability and suitability of even relatively lucrative crops, such as oil palm. Agroforestry, through diversification of income sources, will provide enhanced economic resilience and, when including gaharu and high value timber species, potentially much higher income in the long-term. Diversification and focus on low labour demanding crops, also potentially benefits other aspects of livelihoods, such as off-farm income, health, school attendance and gender equality.</p> <p><i>Licenses for harvesting of Gaharu are forthcoming</i></p> <p>Gaharu is a CITES (Appendix II) listed species. Licenses are required for harvesting for the trees that are derived from sustainably managed populations. As the gaharu in our agroforestry systems will be grown from seed this will</p>

Project summary	Measurable Indicators	Means of verification	Important Assumptions
		assessment of individual performances on each survey.	not be difficult to demonstrate. If stocks are derived from planted material the MoEF usually approves licenses without further requirements. Additionally, PT-REKI collaborates with FORDA in inoculation trials of wild gaharu, which is common in HRF.
3. Agroforestry is recognised as an important tool in reconciling restoration goals with local livelihoods within the ERC policy forum and ERC Association.	<p>3.1. ERC policy recommendations and lessons learnt submitted by BI and FORDA to MoEF by EOP</p> <p>3.2. Lessons shared with the ERC Association and other key stakeholders (government ministries, NGOs, rights groups) via papers and 2 workshops during Year 3</p> <p>3.3. Guidelines on community development in ERCs developed and circulated to ERC practitioners by EOP.</p>	<p>3.1.1 ERC policy forum workshop report.</p> <p>3.2.1 FORDA ERC white paper on community development in ERCs</p> <p>3.2.1 Workshop reports and meeting minutes, and other papers and media outputs.</p> <p>3.3.1 Guidelines for community development in ERC concessions published</p>	<p><i>MoEF and other members of the ERC Association are receptive to the idea of adopting agroforestry for community developments.</i></p> <p>BI together with FORDA host the ERC policy review process and regularly contribute to white papers, and PT-REKI chairs the ERC Association. BI and PT-REKI have established themselves as leaders in ERC policy and practical implementation. They have established good working relationships with FORDA and MoEF, and other stakeholders through hosting the ERC policy forum. Agroforestry has a long history in Indonesia and has been identified as a potentially important tool in Indonesia's REDD+ commitments.</p>
<p>Activities</p> <p>1.1 Develop gender disaggregated baseline household livelihoods survey instrument and train enumerators from PT-REKI.</p> <p>1.2 Conduct household economic survey of 500 households</p> <p>1.3 Conduct analysis of household data</p> <p>1.4 Develop a farms systems analysis survey instrument and train enumerators from PT-REKI.</p> <p>1.5 Conduct farms system analysis for 250 farms</p> <p>1.6 Analysis of farm systems data</p> <p>1.7 Design experimental economic games to assess impediments to agroforestry uptake and train REKI staff to implement</p> <p>1.8 Conduct experimental economic games in at least 8 focal group sessions</p> <p>1.9 Analyse and write up results of experimental economic games</p> <p>1.10 Develop gender disaggregated livelihoods impact survey instrument to be utilised throughout project to monitor impacts.</p> <p>1.11 Conduct economic survey of 150 participating and 150 non-participating families</p> <p>1.12 Analyse livelihoods impact of project interventions against baseline.</p> <p>2.1 Develop models for rubber, gaharu and native timber species agroforestry options</p> <p>2.2 Conduct stakeholder workshops in communities ensuring gender balance is considered in design, to refine proposed options and agree an implementation plan</p> <p>2.3 Assess attitudes to and understanding of forest clearance and illegal activity drivers using randomised response techniques.</p> <p>2.4 Develop and sign agreements with 500 families for the development of agroforestry systems on 500 ha</p> <p>2.5 Establish on-farm trials on 500 ha in focal area and train farmers including women and monitor throughout project</p>			

Project summary	Measurable Indicators	Means of verification	Important Assumptions
			<p>2.6 Develop manuals for agroforestry management, rubber tapping etc and distribute to participating farmers as appropriate and encourage farmer to farmer sharing through community meetings and workshops.</p> <p>2.7 Develop biodiversity survey protocols</p> <p>2.8 Conduct before agroforestry trial biodiversity surveys in project focal areas</p> <p>2.9 Conduct after agroforestry trial biodiversity surveys in project focal areas and analyse findings.</p> <p>2.10 Analysis of biodiversity data from trials</p> <p>2.11 Baseline and endline remote sensing analysis of focal areas and HRF as a whole</p> <p>2.12 Develop business plans and Standard operating procedures for each focal species.</p> <p>3.1 ERC policy forum workshop on livelihood development in ERCs</p> <p>3.2 ERC policy recommendations and lessons learnt developed and submitted by BI and FORDA to MoEF</p> <p>3.3 Lessons shared with ERC Association and other key stakeholders via papers and workshops</p> <p>3.4 Guidelines on community development in ERCs developed and circulated to key stakeholders.</p>



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.	Develop gender disaggregated baseline household livelihoods survey instrument and train enumerators from PT-REKI.	1												
1.2.	Conduct household economic survey of 500 households	0.5												
1.3.	Conduct analysis of household data	0.5												
1.4.	Develop a farms systems analysis survey instrument and train enumerators from PT-REKI.	1												
1.5.	Conduct farms system analysis for 250 farms	1												
1.6.	Analysis of farm systems data	0.5												
1.7.	Design experimental economic games to assess impediments to agroforestry uptake and train REKI staff to implement	0.5												
1.8.	Conduct experimental economic games in at least 8 focal group sessions	0.5												
1.9.	Analyse and write up results of experimental economic games	1												
1.10.	Develop gender disaggregated livelihoods impact survey instrument to be utilised throughout project to monitor impacts.	0.5												
1.11.	Conduct economic survey of 150 participating and 150 non-participating families	0.5												
1.12.	Analyse livelihoods impact of project interventions against baseline.	0.5												
Output 2														
2.1.	Develop models for rubber, gaharu and native timber species agroforestry options	2												
2.2.	Conduct stakeholder workshops in communities ensuring gender balance is considered in design, to refine proposed options and agree an implementation plan	0.5												
2.3.	Assess attitudes to and understanding of forest clearance and illegal activity drivers using	0.5												



	Activity	No of months	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	randomised response techniques.													
2.4.	Develop and sign agreements with 500 families for the development of agroforestry systems on 500 ha	3												
2.5.	Establish on-farm trials on 500 ha in focal area and train farmers including women and monitor throughout project	4												
2.6.	Develop manuals for agroforestry management, rubber tapping etc and distribute to participating farmers as appropriate and encourage farmer to farmer sharing through community meetings and workshops.	0.5												
2.7.	Develop biodiversity survey protocols	0.5												
2.8.	Conduct before agroforestry trial biodiversity surveys in project focal areas	1												
2.9	Conduct after agroforestry trial biodiversity surveys in project focal areas and analyse findings.	1												
2.10.	Analysis of biodiversity data from trials	1												
2.11.	Baseline and endline remote sensing analysis of focal areas and HRF as a whole	1												
2.12.	Develop business plans and Standard operating procedures for each focal species.	0.5												
Output 3														
3.1.	ERC policy forum workshop on livelihood development in ERCs	1												
3.2.	ERC policy recommendations and lessons learnt developed and submitted by BI and FORDA to MoEF	1												
3.3.	Lessons shared with ERC Association and other key stakeholders via papers and workshops	1												
3.4.	Guidelines on community development in ERCs developed and circulated to key stakeholders.	1												



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)

A robust **M&E plan** has been established through the proposal, based on a comprehensive Theory of Change. As demonstrated through the logframe, tracking of progress in project implementation will be achieved through the documentation of outputs and indicators for each activity. **Qualitative indicators** will be documented through the submission of an activity report with supporting information on the specific indicators (e.g. model outputs for modelling of agroforestry options). **Quantitative indicators** will be documented using **independently verifiable measures** (e.g. photocopies of agreement documents, Unmanned Aerial Vehicle images of agroforestry plantings). The logframe details the means of verification for each indicator. **BI will be responsible for tracking and documenting progress on outputs and indicators.** At start of project (SOP) and at annual meetings, each partner will submit short (12 mo) and long term (to EOP) **implementation plans**, including dates of activities, and any adjustments among partners required will be discussed within an **adaptive project management framework**. Modifications to activities will be documented along with revised outputs and indicators for that activity. Partners will be required to submit six monthly progress reports on activities, outputs and performance against indicators.

Measurement of the impact of the project on smallholders livelihoods and biodiversity is integral to the project design. Baseline socio-economic surveys will assess livelihood variables at the SOP. In YR3 surveys on participating and non-participating (i.e. the counterfactual) households will establish the impact of the project on livelihoods. Because the duration of the project is limited to three years, which is too short for the full benefits of the project on livelihoods to be assessed, we will employ **Predictive Performance Indicators (PPIs)**. These are "higher level" indicators of longer term outcomes of project activities and include parameters such as, the number of tenure agreements signed, number of people trained in restoration technologies and the extent of land planted (for restoration related projects).

Assessment of the project impact on biodiversity outcomes will be monitored at two scales. The baseline rate of deforestation, both in the encroached areas and across the entire concession, will be measured at SOP and EOP through remote sensing. Regular remote sensing assessments are conducted by PT-REKI at 5 yr intervals, and specific assessment of the impact of agroforestry interventions will be incorporated into their standard operating procedures at EOP. The impact of agroforestry treatments on biodiversity at the plot scale will be assessed by comparing before-and-after measurements of bird, plant and soil biodiversity and vegetation structural complexity, a widely used biodiversity indicator. These will be compared across treatments (agroforestry options) as well as through time. This M&E framework is **appropriate for detecting possible negative outcomes** on either livelihoods or biodiversity, although these are unlikely. The livelihood assessments will also enable **impacts to be assessed with respect to gender and marginalised groups**, such as the indigenous Batin Sembilan.

Total budget for M&E	The budget presented in the budget worksheet suggests a total of £49,480, however the actual cost will be higher as M&E costs are also captured in staff salaries. M&E is core to the agroforestry trials and biodiversity monitoring.
Percentage of total budget set aside for M&E	9%, but see above note.



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 was **initially developed** by the BI and RSPB, from their many years of experience in the HRF programme. Both organisations employ staff at HRF and have managed donor grants there in the past. The budget was then circulated to partners for comment and adjustment at both stage 1 and stage 2 of the application process.

The **Darwin grant** will leverage a large amount of matching funding, in particular through PT-REKI's commitments to support community development and specifically to provide planting material and planting costs for the agroforestry trials. Thus, Darwin funds are allocated to developing technologies and tools for agroforestry, building capacity and monitoring and evaluation, and hence represent excellent **Value for Money**. In addition, the project will benefit from the establish HR structures in all the partner organisation and through the established PT-REKI procurement systems, which have been developed and tested through the robust accountability demanded by current and past donors such as DANIDA, KfW and others.

In preparing the budget we have **assumed** annual inflation of 3% across all salaries, fuel and some travel costs.

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)

We do not intend to purchase any large (>£2000) capital items.

Smaller items such as computers or environmental monitoring equipment will become the property of PT-REKI and used for the continued implementation and upscaling of the work beyond the life of the project.

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.

No

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)

Yes, advice attached

No

CERTIFICATION

On behalf of the trustees of

Burung Indonesia/ BirdLife Indonesia Association

I apply for a grant of £298.896 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)	DIAN AGISTA
Position in the organisation	HEAD OF CONSERVATION AND DEVELOPMENT

Signed**

Date:30th November 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 ?	Y
Have you provided actual start and end dates for your project?	Y
Have you indicated whether you are applying for DFID or Defra funding? NB: you cannot apply for both	Y
Have you provided your budget based on UK government financial years i.e. 1 April – 31 March and in GBP?	Y
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?	Y
Has your application been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable)	Y
Have you included a 1 page CV for all the key project personnel identified at Question 10?	Y
Have you included a letter of support from the <u>main</u> partner organisations identified at Question 9?	Y
Have you been in contact with the FCO in the project country/ies and have you included any evidence of this?	Y
Have you included a signed copy of the last 2 years annual report and accounts for the lead organisation?	Y
Have you checked the Darwin website immediately prior to submission to ensure there are no late updates?	y

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.

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.

