



2/3876

Department
for Environment
Food & Rural Affairs

Submit by Monday 5 December 2016

DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 23: STAGE 2

Please read the [Guidance](#) 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

2/3876

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:	University of Cape Town
Address:	Department of Environmental and Geographical Science, University of Cape Town, Private Bag, Rondebosch
City and Postcode:	Cape Town, 7700
Country:	South Africa
Email:	
Phone:	

2. Stage 1 reference and Project title

Stage 1 Ref: 3876	Title (max 10 words): Access and Benefit Sharing in Policy and Practice
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3. Project description (not exceeding 50 words)

A Community of Practice will be developed around access and benefit sharing (ABS) to provide advice, act as a conduit for voices currently under-represented in ABS policy processes, and develop conceptual and practical tools to help governments, researchers, and local communities deal with challenges and more effectively engage with ABS.

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: South Africa	Country 2: Cameroon
Country 3: Namibia	Country 4:

5. Project dates, and budget summary

Start date: 1 April 2017	End date: 31 March 2020			Duration: 3 years	
Darwin funding request (Apr – Mar)	2017/18 £106 760	2018/19 £114 080	2019/20 £104 410	2020/2021 £	Total £325 250
Proposed (confirmed & unconfirmed) matched funding as % of total Project cost					35%

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	Wynberg	Laird	Nott
Forename (s)	Rachel	Sarah	Karen
Post held	Bio-economy Research Chair	Director	Coordinator: High Value Plant Programmes
Organisation (if different to above)	University of Cape Town (UCT)	People and Plants International (PPI)	Integrated Rural Development and Nature Conservation (IRDNC)
Department	Environmental and Geographical Science	N/A	N/A
Telephone			
Email			

Details	Project Partner 3	Project Partner 4	Project Partner 5
Surname	Asaha	Dutfield	Oettle
Forename (s)	Stella	Graham	Noel
Post held	Project manager	Professor	Programme Manager
Organisation	Forests, Resources, and People (FOREP)	Leeds University	Environmental Monitoring Group
Department	N/A	School of Law	N/A
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). NO**

Reference No	Project Leader	Title

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)

What year was your organisation established/ incorporated/ registered?	1829
What is the legal status of your organisation?	NGO <u>Yes/No</u> Government <u>Yes/No</u> University <u>Yes/No</u> Other (explain)
How is your organisation currently funded?	(Max 100 words) The University of Cape Town relies on a combination of government subsidies, student fees, external funding, and contracts as

	streams of revenue.
Have you provided the requested signed audited/independently examined accounts?	<u>Yes</u> /No

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	The Seed and Knowledge Initiative (SKI)
Value	GBP 300,000
Duration	4 years
Role of organisation in project	Partner
Brief summary of the aims, objectives and outcomes of the contract/award.	<p>Funded by the Swiss Agency for Development and Cooperation (SDC), SKI is a close collaboration between two NGOs and UCT. SKI aims to revive and enhance traditional seed and knowledge systems and to deepen understanding about their functioning, within the context of supportive agricultural, cultural and ecological practices.</p> <p>Its focus includes the following inter-related objectives:</p> <ul style="list-style-type: none"> - Enabling farmers and communities to revive and enhance traditional seed and agricultural knowledge systems. - Strengthening networks on seed and agro-ecology. - Influencing decision-makers to support evidence-based positions that strengthen seed diversity and local control of seed. - Promoting socially responsive research on seed and knowledge systems. <p>Some of the proposed SKI outcomes are: building a research platform that stimulates critical thinking on traditional seed and knowledge, grooming a new generation of researchers, and advocating for research approaches that benefit smallholder farmers and target their needs.</p>
Client/ independent reference contact details (Name, e-mail, address, phone number).	SDC / Biowatch South Africa

2. Title	Building African Capacity in Access and Benefit Sharing
Value	Euro 412,523
Duration	3 years (preceded by a similar 2 year contract)
Role of organisation in project	UCT (at the time established as the Environmental Evaluation Unit), was the lead organisation. It conceptualised, directed and implemented a series of training courses on access and benefit sharing (ABS).
Brief summary of the aims, objectives and outcomes of the contract/award.	Between 2010 and 2015, in partnership with the ABS Capacity Building Initiative, a total of five short courses were held around the African continent – reaching more than 200 participants, between 40 and 50% of whom were female, from different sectors involved in ABS. The overarching aim of the project was to help overcome ABS

	<p>capacity constraints in Africa. The project was funded by the ABS Capacity Development Initiative.</p> <p>Specific objectives were:</p> <ol style="list-style-type: none"> 1. To strengthen the knowledge base of those implementing ABS in Africa, including policy-makers, parliamentarians, legislators, governmental officials, NGOs, CBOs, national and international research institutions, and the private sector. 2. To expose this group to practical experiences with bioprospecting and the diversity of sectors involved in ABS. 3. To provide participants with a suite of tools that can be used inter alia to negotiate, develop and implement ABS agreements, policies and laws in their respective countries and track and monitor the use of genetic resources and traditional knowledge. 4. To contribute towards the development of an African ABS network and strengthened regional cooperation on ABS issues.
Client/independent reference contact details	Dr Andreas Drews;

3. Title	TRUST (creating and enhancing TRUSTworthy, responsible and equitable partnerships in international research)
Value	Euro 168,358 for 3 years
Duration	3 years
Role of organisation in project	Partner
Brief summary of the aims, objectives and outcomes of the contract/award.	<p>The aim of the TRUST Project is to catalyse a global collaborative effort to improve adherence to high ethical standards around the world. The project is funded by the European Community's Horizon 2020 Programme.</p> <p>The TRUST objectives are to:</p> <ul style="list-style-type: none"> - Create an international network on global research ethics governance with relevant key actors to identify generic risks of exporting non-ethical practices. - Identify paradigmatic case studies of exporting non-ethical practices and report on lessons learnt. - Develop a global code of conduct that can be used by the European Commission and funders world-wide to foster ethical research and equitable partnerships. - Develop a tool that gives power to vulnerable populations under non-ideal conditions (fair research contract). - Develop a compliance and ethics follow-up tool for conditions of high vulnerability. - Develop a strategy for fostering the convergence of global ethical research governance to improve adherence to high ethical standards in the longer term. <p>The Bio-economy Chair plays a role in each of the objectives listed, taking the lead on developing the sustainability roadmap.</p>
Client/independent reference contact details.	Prof. Doris Schroeder; Centre for Professional Ethics, University of Central Lancashire College of Health; Brook 424, Preston, PR1 2HE,

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)

Aims (50 words)

The Bio-Economy Research Chair aims to improve understanding of approaches within the bio-economy that facilitate poverty reduction in a manner that is socially just and environmentally sustainable, and to stimulate a community of practice with regard to these approaches.

Activities (50 words)

The focus is on building a critical mass of intellectual capacity, developing a cohort of skilled postgraduate students, and informing policy and public debate. The Chair has a strong focus on engagement with communities, indigenous knowledge holders, and policy-makers, embedding within it a practice of engaged scholarship and action research

Achievements (50 words)

Conceptualised and directed 5 courses on ABS; production of ABS policy briefs and infographics on a range of industries for the CBD Secretariat; ongoing advice on ABS policy and law to developing country governments; well-recognised hub of ABS expertise; numerous peer-reviewed and popular ABS publications; growing pool of skilled postgraduates.

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)
Bio-economy Research Chair, University of Cape Town www.bio-economy.org.za	<p>The Bio-economy Chair at UCT, under the leadership of Professor Rachel Wynberg, has wide experience of working on biodiversity use, access and benefit sharing, spanning a period of over twenty years. Since 2010, projects to the value of about ZAR 24.3 million have been managed by the Chair for a range of international and national groups (see CV).</p> <p>UCT and PPI have worked together on ABS for more than twenty years. UCT has also collaborated closely with IRDNC in Namibia. As a founding member in 1990, Rachel Wynberg has been closely involved in the development of EMG, and continues to provide strategic input. Professor Dufield is a long-time collaborator on ABS of both Rachel Wynberg and Sarah Laird.</p> <p>UCT will coordinate the project, bringing together the different partners into a coherent whole. UCT will also take overall responsibility for financial management, reporting and administration. Together with PPI, UCT will oversee the development of the Community of Practice, and will conceptualise the technical input from experts. UCT will also play a role in the rooibos case study in South Africa, providing research capacity and leadership to the establishment of a forum. Supervision of postgraduate students will also fall within UCT's responsibilities.</p>
Have you included a Letter of Support from this institution?	Yes/No

<p>Partner Name and website where available:</p> <p>People and Plants International (PPI)</p> <p>http://peopleandplants.org/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Founded in 2004, People and Plants International (PPI) grew from a 12-year partnership between WWF, The Royal Botanic Gardens, Kew and UNESCO. It is a 501(C)3 non-profit organization now registered in the USA, and dedicated to the conservation of biocultural diversity. PPI works in varied and complementary ways, including applied ethnobotany, sustainable trade, and improved national and international policy.</p> <p>Sarah Laird, the Co-Director of PPI (along with Miguel Alexiades of the University of Kent), has worked for more than 20 years on ABS issues both within Cameroon and internationally, and with numerous partners including the CBD Secretariat, GIZ, the United Nations University, FOREP, and UCT.</p> <p>Sarah will bring her experience of managing ABS projects; working with rural communities, traders and producers; and developing unique “knowledge exchange” tools to this project. She will partner with UCT in managing the ABS Strategy and Advisory Group in order to build conceptual and practical tools for local communities, researchers, and government officials, as well as with FOREP to provide advice and help direct research and field activities, and hold policy workshops in Cameroon. Sarah has a long-standing relationship with FOREP, was based in Cameroon for four years, and has worked there consistently since 1994.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>Leeds University</p> <p>http://www.law.leeds.ac.uk/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>Professor Graham Dutfield has researched and published on international law of biodiversity, genetic resources and traditional knowledge for more than twenty years. He is one of the world’s foremost experts on these issues and will bring this capacity to the project through technical advice to host countries, involvement in regular Webinars, contributions and leadership to the Strategy and Advisory Group, and involvement in a book publication.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p><u>Yes/No</u></p>

<p>Partner Name and website where available:</p> <p>Integrated Rural Development and Nature Conservation (IRDNC)</p> <p>http://www.irdnc.org.na/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>IRDNC is a Namibian NGO that has been providing local level technical support for the past 30 years to rural communities in the Kunene and Zambezi regions to access resource rights and associated benefits. One of the ways of doing this has been to facilitate the registration of conservancies and community forests and more recently by investigating possibilities with regard to group land rights.</p> <p>The new ABS legislation and regulations will add another layer of complexity to an existing body of laws, which conservancies and community forest committees and members will be required to integrate into their existing management systems.</p> <p>IRDNC will facilitate a process to ensure that local institutions in Kunene and Zambezi access relevant information about ABS. Strategies will be developed to optimise the implementation of the ABS regulations as well as other components of CBNRM to ensure equitable benefit sharing.</p> <p>IRDNC will manage local workshops, liaise with policy-makers, and support the development and dissemination of ABS policy and communication tools in Namibia.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p><u>Yes/No</u></p>

<p>Partner Name and website where available:</p> <p>Forests, Resources, and People (FOREP)</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p> <p>FOREP is a legally-authorized organisation based in Limbe, Cameroon (registration 322/G.37/d.14/1/ VOL.8/100/OAPP of 17th Oct 2004). FOREP operates as a network, working in close collaboration with international organizations (e.g. CIFOR, WCS, and People and Plants International), the government of Cameroon, and local institutions and organizations including the Limbe Botanic Garden and Mt Cameroon National Park. Three out of the four managers are women, and gender issues are of particular interest to the organization.</p> <p>FOREP's mission is to contribute to ecologically sound, socially equitable and economically viable strategies for the wise management of forest resources in ways that improve the livelihoods of rural and urban people.</p> <p>FOREP will serve as the local administrative base for the project in Cameroon, as well as undertake local case study research in partnership with People and Plants International. It will also provide the primary day to day oversight of the two graduate student associates from the University of Buea working on this project. FOREP will coordinate extension workshops with local communities, and will support the development and dissemination of ABS policy and communication tools in Cameroon, including with government officials.</p>
<p>Have you included a Letter of Support from this institution?</p>	<p><u>Yes/No</u></p>

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?
Rachel Wynberg	Project leader	UCT	15%	Yes
Jaci van Niekerk	Project coordination	UCT	20%	Yes
Ngaya Munuo	Post-doctoral researcher	UCT	20%	Yes
Michelle Nott	Masters student	UCT	80%	Yes
Sarah Laird	Co-leader	PPI	20%	Yes
Karen Nott	Project leader, Namibia	IRDNC	11%	Yes
Uda Nakamhela	Legal advisor	Nakamhela Attorneys	5%	Yes
John Hazam	Legal advisor		5%	Yes
Stella Asaha	Project manager, Cameroon	FOREP	20%	Yes
Graham Dutfield	Supporting COP, expert advice	Leeds University	5%	Yes
Allu Uararavi	Field worker	IRDNC	10%	Yes
Noel Oettle	Providing support to small-scale rooibos farmers to engage with project	EMG	5%	Yes

11. Problem the project is trying to address

Please describe the problem your project is trying to address in terms of biodiversity and 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)

Governments have struggled over the last few decades to translate the ambitious objectives of the CBD into practice. Limited benefits have emerged for local communities, only weak connections have been made with biodiversity conservation, and policy-makers have struggled to keep up with rapid advances in science, technologies and markets. Despite increased attention to ABS capacity development, local voices of producer communities have not been adequately incorporated into policy and law, in part due to limited awareness about needs on the ground and the realities of natural product commercialisation. At the same time, conceptual understandings of ABS have also not evolved fast enough to provide an underlying framework for effective ABS policy development. Moreover, despite the fact that ABS is intended to create economic incentives for biodiversity conservation, slowing biodiversity loss driven by the need for income by providing sustainable alternatives that embrace rather than destroy biodiversity, there is little evidence of this result.

ABS policy has not realized these goals in part due to the inherent complexity of the objectives it serves, but also because policy makers, researchers, the private sector, NGOs, conservation managers, and indigenous and local communities need on-going support in the form of accessible and useful information, technical tools and advice, and communication facilitation between stakeholders. Although often at the 'front lines' of ABS partnerships, many local actors

lack hands-on, practical guidance and assistance over time. At a broader level, there is a profound need for more meaningful reflections of ABS, including an adaptive, conceptual re-framing of underlying assumptions in response to changed markets, technologies and demand for access to biodiversity which, in turn, feeds into policy processes.

12. Biodiversity Conventions, Treaties and Agreements

Your project must support the objectives of one or more of the agreements listed below. Please indicate which agreement(s) will be supported and describe which objectives your project will address and how. Note: projects supporting more than one will not achieve a higher score.

Convention On Biological Diversity (CBD)	<u>Yes/No</u>
Nagoya Protocol on Access and Benefit Sharing (ABS)	<u>Yes/No</u>
International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)	<u>Yes/No</u>
Convention on International Trade in Endangered Species (CITES)	<u>Yes/No</u>
Global Goals for Sustainable Development	<u>Yes/No</u>

12b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the agreement(s) your project is targeting and how your project will help to achieve the Global Goals for Sustainable Development (SDGs). You should refer to Articles or Programmes of Work here. Note: No additional significance will be ascribed for projects that report contributions to more than one agreement

(Max 500 words)

This Project seeks to support an ecosystem of laws and policies that benefit local groups, conserve biological and cultural diversity and bring equity to the trade of biodiversity. These are all elements that are strongly embedded in the objectives of the Convention on Biological Diversity (CBD), the Nagoya Protocol and the Sustainable Development Goals (SDGs) (eg **Articles 1, 8j and 10 of the CBD; Article 1 and 12 of Nagoya; SDG Goals 1, 10 and 15**). It responds to the need within the CBD and Nagoya Protocol policy processes for both a conceptual re-evaluation of what we have learned over the last 25 years of ABS, as well as the call in **Articles 12, 19 and 20 of the Nagoya Protocol** for practical tools, approaches and model clauses that support governments in implementation. All policy processes require broad and diverse engagement, but the CBD and Nagoya Protocol straddle an unusually varied range of topics, and require the input of extremely diverse groups, which creates significant challenges. To date, while regulating some of the most scientifically advanced and research-intensive industries in the world, ABS policy processes have also, for example, addressed indigenous peoples' rights, ethics in research, emerging technologies, biodiversity conservation, ethical biotrade, and the promotion of economic incentives for biodiversity conservation.

This Project is an effort to share lessons learned over the last few decades of ABS, fill gaps in information and understanding, and explore conceptually, and share practically, tools and approaches to making ABS work in practice. It strongly supports implementation of **Articles 21 and 22** of the Nagoya Protocol in this regard, which focus on awareness raising and capacity building, and will contribute towards **Article 14**, through use of the ABS Clearing House. It also aims to explicitly explore the linkages between ABS and biodiversity conservation (**Nagoya Article 9**), an area that has received little attention to date, despite its inclusion in the CBD (**Articles 1, 10**) for more than 20 years.

The Strategy and Advisory Group of the Community of Practice will bring together individuals who have worked on ABS over the last few decades and will field test methods and approaches for sharing knowledge and understanding with policy-makers (**CBD Article 17; Nagoya Article 22; SDG 16**), including developing models for low-cost, effective ways to help often marginalized local groups engage with environmental, technology, and other emerging policy

arenas (**CBD Articles 8j; 17; Nagoya Article 22**) that impact them, and over which they often have no control.

While developing models and field testing communication and support approaches, the Project will also provide on-going support to collaborating groups, including local producers, harvesters (**Nagoya Articles 12, 22**), women's groups (**Nagoya Articles 12, 22; SDG 5**), and government departments (**SDG 16**) in South Africa, Namibia, and Cameroon, sharing resources, tools, and advice (**CBD Articles 5, 17**) to help them more effectively engage with the process of implementing the Nagoya Protocol.

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

Yes No if yes, please give details:

In South Africa, we will liaise with the Department of Environmental Affairs (DEA) and Tourism (Chief Directorate: Biodiversity Economy and Sustainable Use), which is the ABS focal point for the Nagoya Protocol and CBD. DEA also has a unit focused on the SDGs with whom we will liaise. Rachel Wynberg has long-established relationships with the DEA, stretching back twenty years, and represents UCT on the National Bioprospecting Forum, which is chaired by DEA. UCT also has working relationships with the South African National Biodiversity Institute, the Western Cape Department of Environmental Affairs and Development as well as Cape Nature, who are responsible for biodiversity-based economies in the Western Cape. An ongoing project in the Cederberg already involves Cape Nature as a partner.

In Namibia, we will liaise with the National Focal Point, in the Office of the Environmental Commissioner in the Ministry of Environment and Tourism. These relationships are already well established with IRDNC and UCT also has a long history of working with the Ministry.

In Cameroon, we will liaise with the CBD National Focal Point within the Ministry of Environment, Protection of Nature, and Sustainable Development, with whom project partners have a long standing working relationship, as well as the ABS Focal Point.

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 will create a Community of Practice that brings voices of local groups into ABS policy-making, provides support and policy tools, and deepens dialogue around the conceptual and practical challenges of ABS implementation.

Although the work is of global relevance, we ground our approach in case studies from three biodiverse regions that illustrate differing socio-economic, commercial, cultural and ecological aspects of ABS. In Namibia, the Project will work with traditional authorities to explore understandings and experiences with ABS and related laws and policies using *Myrothamnus flabellifolius*, a 'resurrection' plant used for a variety of natural products. We will analyse commercialisation processes, and develop policy tools to ensure that it is sustainable and local groups control and benefit from this process. In South Africa, the impact of ABS will be explored in the context of the rooibos industry (*Aspalathus linearis*) and in partnership with historically marginalised producers we will establish an industry-wide forum, and develop tools to create a more holistic, inclusive and environmentally sustainable ABS strategy. In Cameroon, we will work with local communities, traders, and exporters selling *Irviniga gabonensis* (bush mango) to the international botanicals market. The impact of industrial-scale commercialization and ABS measures on a species of great importance regionally will be explored, and policy tools developed to assist local groups and government.

The three parts of the Community of Practice:

Voices of Local Groups

Using professional videos from each country, drawn in large part from the case studies, we will gather and share compelling stories of ABS experiences through the words of affected communities, with a particular focus on women. With support and input from local NGOs, a media team will edit and curate videos that communicate these voices to policy-makers. Videos will be disseminated through electronic media, including a Project website, and national and international policy processes. Simple, visual, supporting written materials will be produced and disseminated.

The project will share lessons across regions, aiming to reach communities, NGOs and local groups in other parts of the world grappling with similar issues.

Tools

The Project will provide advice, assistance, and conceptual and practical tools to those working on Nagoya Protocol implementation, both for case studies, and government ABS processes. An experienced group will provide trouble-shooting, advice and research in host countries, and offer engagement over the project period. We will hold webinars and produce simple explanatory videos and written materials that address areas of confusion or challenges (eg emerging technologies; biotrade; traditional knowledge; commercial sectors; customary law).

Deepening Dialogue

A global Strategy and Advisory Group of 10 well-established ABS scholars and practitioners will convene regularly to engage critically about ABS today and in the future (eg conceptual underpinnings, adaptation to emerging technologies, conservation links). This group will explore ways that ABS and related policies can conserve biodiversity and improve rural livelihoods, and work in a dynamic, flexible way that accommodates changing realities. This process will include collaborations on high-impact journal publications and a book. This group will also be a resource for case study partners.

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.

(Max 300 words)

In the short term, the capacity of local groups to engage with ABS will increase, governments and others working on ABS and linked areas of policy will receive resource materials, listen to local groups in meetings in their countries, watch videos expressing their views and experiences, and will see ABS as part of a wider ecosystem of laws and perspectives. Governments will also better understand the science and industries that ABS seeks to regulate. A dialogue will develop across regions, with local groups sharing experiences and lessons learned, and an international dialogue evaluating the conceptual and practical underpinnings and effectiveness of ABS will be underway and findings shared.

In the long term, these outcomes will support the conservation of biological and cultural diversity, and improve livelihoods for the rural poor, by supporting appropriate policy interventions and by discouraging laws that burden communities, producers, traders and others, and that hinder important biodiversity science.

Governments will also come to see that ABS implementation is in practice interwoven with other areas of law and policy, including those regulating the harvest and trade of medicinal, food, and other resources; forestry; taxation; science and technology; and land tenure and resource rights. The Project will help governments and others weigh the costs and benefits of different regulatory approaches, and will support the development of policies for genetic and biological resources that reflect the complexities and nuance of actual practice, that integrate

customary and statutory law, grow from the active engagement of local groups, reflect current scientific and business realities, and operate with a light but effective touch.

The Project will also create innovative and transferrable approaches to communication at different levels, building capacity and facilitating the direct, substantive, and authentic contributions of local groups to policy design and implementation.

15. Pathway to poverty alleviation

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)

The project is largely focused at a policy level, and beneficiaries at household level are therefore difficult to identify. However, the wider policy implications of the project could have far-reaching impacts on poor people in low-income countries.

Commercial interest in the region's biological diversity is significant, but researchers and companies are reluctant to work in countries with ambiguous ABS measures. Presently, commercial use of genetic resources is a small and marginal activity, much operating outside of ABS frameworks and thus not generating significant economic benefits. Laws often poorly reflect the experiences of local producers, harvesters and traders, including many women, and there is accumulating evidence of ABS triggering over-regulation among producer communities, leading to reduced economic opportunities, gender inequalities and elite capture.

This project will support improved, evidence-based ABS policy regimes that reflect local priorities, and help to raise awareness among government, NGO, industry and community actors involved in ABS implementation. This in turn can help biodiversity-based research and industry grow, can build capacity in research institutions, can strengthen arguments for biodiversity conservation, and can generate benefits for the rural poor by supporting local trade and biodiversity-based marketing.

The countries involved represent a mix from Lower Middle Income (Cameroon) to Upper Middle Income (Namibia and South Africa). Our work in all host countries is focused in regions which remain isolated, extremely poor and highly dependent on biodiversity for livelihoods. Strengthening local voices, developing appropriate tools to support biodiversity-based livelihoods, and making appropriate ABS policy interventions will have high significance in these areas.

At a wider level, emerging lessons will also support neighbouring low-income countries that share biological resources (eg *Myrothamnus* has wide geographic coverage in southern Africa and bush mango is used and traded throughout the Central African region).

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)

This project is designed to work closely with local communities, producer groups, non-profits, and government officials, and contribute to an ABS policy process that pre-dates and will continue after the Project has ended. The activities and project products (training tools, video, reports, articles, workshops) are intended to shift the policy dialogue and approach in specific ways, that – once the project is concluded – will be absorbed into mainstream policy approaches nationally, and internationally.

Almost all of the partners (UCT, IRDNC, FOREP, PPI, EMG) are already involved in initiatives in host countries that are linked to ABS. The products from the project will be taken up actively by these groups in their ongoing programmes, many of which are long-term.

The team comprises senior staff with extensive networks and policy contacts. Outputs from the project will continue to be advocated and promoted after its end.

17a. Harmonisation

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

The bringing together of three countries and a Community of Practice approach to ABS is new and unique, but the case study work builds on that of existing projects.

In South Africa, EMG has long worked with the Heiveld Cooperative, comprising historically disadvantaged rooibos farmers, but the focus has been on Fair Trade, not ABS. UCT has a new Wild Foods project in the Cederberg, which presents useful synergies but does not overlap.

In Namibia, IRDNC has worked for 30 years with indigenous Himba and Herero communities in Kunene, pursuing the commercial development of *Myrothamnus* and other species. Since 1994, IRDNC has supported conservancies and community forests in the Zambezi region, funded by WWF-UK, GIZ, MCA and EED and small grants from government projects. Despite this support, emerging approaches have not been interrogated for their effectiveness at sharing benefits and emerging lessons have yet to be shared.

In Cameroon, the work builds on more than 20 years of ABS policy work, non-timber forest product research, biocultural diversity conservation projects, and knowledge exchange/communications projects around biodiversity. While this project grows from, and builds upon, past work experiences, it is a new and unique project.

17b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work? Yes/No

If yes, please give details explaining similarities and differences 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.

The Department of Environmental Affairs in South Africa has been engaged in a negotiation process between the rooibos industry and indigenous San and Khoi representatives but this is focused on concluding a benefit-sharing agreement rather than approaching ABS in a more holistic manner, and exploring its interface with biodiversity conservation. This negotiation process will however feed into the wider ABS forum on rooibos.

GIZ has provided funding to the Ministry of Environment and Tourism through the project Biodiversity Monitoring and Climate Change, which had a biotrade component. However, this study focused on the Kavango regions. The first phase has been successfully concluded and the second phase which will start in 2017 will have a wider geographic focus. This funding will support supply change development, training and processing with some funding allocated to paying for the development of EU compliance dossiers. However, this technical work is very different from the more analytical and rights-based approach adopted in this proposal.

In Cameroon, GIZ has worked for many years on ABS policy and partnerships, and groups like CIFOR have researched non-timber forest products for more than 20 years. We will seek to collaborate with other groups working on these issues, many with whom we have long histories of collaboration, but this project is distinct in its focus on creating ABS tools, communicating local voices to policy-makers, sharing lessons across regions, and placing case studies within the broader conceptual framework of the international ABS policy process.

18. Ethics

Outline your approach to meeting the Darwin Initiative's key principles for research ethics as outlined in the [Guidance](#).

(Max 300 words)

This project is intended, explicitly, to address ethical issues at a range of levels. It seeks to strengthen the voice and role of local communities in national ABS processes, and so help ensure ABS reduces poverty, addresses the needs of women, and generates benefits for local groups. The project will also provide communities, companies and governments with tools, information, and understanding to develop ABS partnerships that better serve the interests of biodiversity conservation and improved livelihoods.

Project research will be undertaken according to the highest ethical standards, and that with local communities will be done according to the International Society of Ethnobiology's Codes of Ethics (<http://ethnobiology.net/what-we-do/core-programs/ise-ethics-program/code-of-ethics/>). This includes seeking prior informed consent from local groups before commencing research, on-going consultations, and sharing of research results in ways that respond to their priorities and address their needs.

Any research conducted under the auspices of the University of Cape Town will be required to obtain ethical clearance from the relevant committee.

Principles around intellectual property, data use and management, authorship of publications, and prior informed consent will be agreed to between partners at the project's inception meeting and will be formalized through Memoranda of Understanding.

Our approach is to ensure that the research process directly benefits communities with whom research is taking place, builds the capacity of those involved in the research process, and integrates research into local governance and resource management processes where appropriate. Research results will be shared in a format and manner that is relevant and useful to government, civil society, industry and local communities.

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 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 will produce accessible materials for communities, researchers, companies, governments and others working to develop ABS strategies and policies, in order to create the conditions necessary to realize the value of biodiversity and generate benefits for local groups. These will include:

Reports, articles and technical briefs

These will include a review of historical and current use, trade, and policy frameworks for the selected case studies from each region, reflecting local views on different questions. Depending on the case at hand, briefing documents will analyse such issues as economic and non-monetary benefits and their distribution, commercialisation strategies, legal agreements, and approaches to intellectual property.

Community videos and project website

In parallel with support provided by the Christensen Fund, the project will produce a series of high-quality videos expressing the views of local communities on laws and policies in Cameroon, Namibia and South Africa. This component will be overseen by an advisory group of professional film-makers to ensure it is compelling and interesting in today's highly-visual world. A compilation video will also be produced and shown at CBD policy events, and made

available through the project website, which will serve as a home for project resources and knowledge exchange materials.

Policy briefs, recommendations and training tools for governments across Africa

Including accessible language and visuals, policy briefs will be developed from case studies, produced for both national and international policy makers and others working on these issues but preferring shorter, summary materials.

Contributions to the CBD policy process

Informational documents and policy briefs for international ABS and CBD policy processes will be produced to share lessons and findings from the project more widely. Side events and workshops presenting the findings will be held at key CBD meetings to encourage uptake of the project findings and recommendations.

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 project aims to improve capacity within a variety of groups at a range of levels. This includes local producers, traditional knowledge holders, traders, and others at the frontline of ABS measures, through direct advice and provision of ABS tools. The project will also build ABS capacity within NGOs, which will allow them to better serve a wide range and larger number of producer communities, and to articulate the voices of marginalised communities to policy-makers through the use of tools like briefing documents and videos. The involvement of local lawyers, and their mentoring by senior internationally recognised colleagues, will help to build a critical mass of expertise in host countries.

Through webinars and policy briefings on complex and unresolved aspects of ABS, as well as hands-on advice from the Strategy and Advisory Group, the project will build capacity in government, researchers, universities, industry and others to develop effective ABS measures. Governments will improve their understanding of the science and industries that ABS seeks to regulate, will be better able to assess the effectiveness of different regulatory approaches, and will have a deeper understanding of the interface between customary and statutory governance systems.

The involvement of postgraduate students and postdoctoral fellows will help to build research capacity in this under-developed field. At least one Masters student is confirmed from UCT and two graduate assistants from the University of Buea. A postdoctoral legal fellow already appointed under the Bioeconomy Chair will help to grow a new group of young ABS scholars, taking inspiration and mentorship from the Strategy and Advisory Group.

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 project information that is not considered confidential by those interviewed or involved in project activities (see the International Society of Ethnobiology Code of Ethics on this point, for example) will be made publicly available. All reports, articles, training tools, worksheets and other materials will be found on the Project website, and on the websites of project partners. Other groups that collect and disseminate ABS resources will be approached as part of an effort to make the project materials as widely available as possible (e.g. The ABS Initiative, International Society of Ethnobiology, Natural Justice). The intention is to produce information

that is widely available, promote broad understanding of local people's experiences, and provide support widely to communities and others around the world.

Within this context, we will subscribe to UCT's Open Access Policy, which encourages its scholars to make their research and teaching material discoverable, visible and freely available online to anyone who seeks it. The institutional repository is OpenUCT.

We will also aim wherever appropriate to publish our research articles in open-access journals. We have not sought any costs from Darwin for publication charges, but if necessary will seek these through alternative channels at UCT.

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:

The South African Department of Science and Technology and National Research Foundation provide salary support to Rachel Wynberg for the Bio-economy Research Chair, contributing matched funding for her time, for student support and for travel and running expenses for the project - a total of £XXX over the 3 year period.

UCT has secured funding from the National Research Foundation for a Wild Foods project, which takes place in the Cederberg region and thus enables synergy with activities, community groups and postgraduate student research. A total of £XXX is available in matched funding from this project.

The Christensen Fund will provide £XXX for complementary community video production, and to support the Strategy and Advisory Group, and a series of webinars on key unresolved ABS topics.

People and Plants International will contribute £XXX in matched funding, primarily in the form of salary support for Sarah Laird, as well as communications and overhead costs.

Through providing office space and funding for field expenses, IDRNC will contribute approximately \$XXX in matched funding, and EMG £XXX for office rental support.

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)

N/A

23) Risk

Explain how you have considered the risks and threats that may be relevant to the success of this project, including the risks of fraud or bribery.

(max 200 words)

All partners currently have well-established relationships so we do not envisage a high risk of these collaborations breaking down. However, we will set in place Memoranda of Understandings to describe the principles of the collaboration, including arrangements for dispute resolution.

There is a risk that governments will lose interest in ABS, although the fact that all three host countries are parties to the CBD and the Nagoya Protocol suggests that implementation support will continue to be of interest in the coming years.

There is a risk that governments will not be open to accommodating community voices, or changing their views. We aim to set in place a process that encourages the buy-in of all those involved in ABS implementation.

There is a risk that communities will not provide their consent to participate in the video initiative. The project partners will follow clear rules for consulting with communities, receiving prior informed consent, and sharing the final results of filming, and have anticipated in the plan that some individuals and groups will not want to participate in this part of the project.

PROJECT MONITORING AND EVALUATION

MEASURING IMPACT

24. LOGICAL FRAMEWORK

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

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Impact (max 30 words): ABS laws, policies, agreements and approaches shift to become more responsive and inclusive of local needs, enabling economic development and equitable benefit sharing whilst reducing poverty and conserving biological diversity.</p>			
<p>Outcome (max 30 words): An ABS Community of Practice is developed and using tools to support governments, researchers, industry and local communities meet the needs of poor producer communities and biodiversity conservation.</p>	<p>0.1 Text in national ABS laws and policies reflects needs and issues of local communities</p> <p>0.2 Decision making processes incorporate learning and shared best practice approaches</p> <p>0.3 Platform and partnerships for knowledge exchange created and operational at range of levels and places</p> <p>0.4 Tools and approaches that enable communities to better engage with ABS used in different settings and countries</p> <p>0.5 Cross cutting lessons identified and shared with local, national, regional and global audiences</p>	<p>0.1 Minutes of meetings and workshops, parliamentary notes, changes to legal texts and policies</p> <p>0.2 Minutes of meetings to share best practices; participant lists</p> <p>0.3 Webinars convened; list of Strategic and Advisory Group participants; minutes of Group meetings; project website established and populated</p> <p>0.4 Technical reports produced that reflect local community needs; reviews of existing agreements; development of new contracts and model clauses that accommodate poverty and biodiversity concerns;</p>	<p>Government interest in implementing the Nagoya Protocol continues to grow</p> <p>Governments remain open to receiving the input of diverse stakeholders, and building their ABS capacity</p> <p>Stakeholders involved in ABS maintain an interest in learning and sharing experiences.</p>

Project summary	Measurable Indicators	Means of verification	Important Assumptions
		0.5 Policy brief produced with cross-regional ABS lessons learned from case studies; participant lists and reports from workshops and meetings; news clippings; website traffic; information uploaded to CBD ABS Clearing House and partner and collaborator websites.	
<p>Outputs: 1. A set of conceptual and practical tools and approaches that supports ABS role players (local people, community groups, traditional leaders, researchers, NGOs, government and private sector) to more effectively engage with ABS developed and tested</p>	<p>1.1 Country-specific ABS toolkits developed (three)</p> <p>1.2 Capacity and awareness of local ABS actors raised regarding ABS and related policy issues</p> <ul style="list-style-type: none"> • Two workshops with producers and communities in each target country per year • One policy feedback meeting per year in each target country • Production of policy briefs to support meetings in each country <p>1.3 Country specific case studies compiled documenting status, issues and strategies for ABS implementation (three)</p> <ul style="list-style-type: none"> • (Namibia on <i>Myrothamnus</i>; South Africa on Rooibos; Cameroon on bush mango) <p>1.4 Key actors in different value chains demonstrate improved understanding of ABS</p>	<p>1.1 Toolkit documents; workshop and project reports</p> <p>1.2 Workshop/meeting reports and attendance lists; project reports; supporting policy briefs</p> <p>1.3 Published case studies available on project website</p> <p>1.4 Case study documents, project reports</p>	<p>For all outputs:</p> <p>Government interest in implementing the Nagoya Protocol persists, and policy-makers are open to new views and voices</p> <p>Governments remain open to receiving the input of diverse stakeholders, and building their ABS capacity</p> <p>Stakeholders involved in ABS maintain an interest in learning and sharing experiences.</p>
2. Local needs and interests communicated to policy-makers to enable	2.1 Number of video briefs developed and produced featuring local-level voices (one	2.1 Videos and written documents available on	

Project summary	Measurable Indicators	Means of verification	Important Assumptions
better-informed ABS policy in Cameroon, Namibia and South Africa	<p>for each of 3 target countries)</p> <p>2.2 Number of video briefs and supporting resource materials presented at 1 international meeting per year and 1 national meeting per country per year</p> <p>2.3 Videos and other materials are loaded on project websites and linked to other websites</p>	<p>project website</p> <p>2.2. Meeting/workshop report and attendance lists; project reports; supporting resource materials</p> <p>2.3 Videos and written documents available on linked or related websites</p>	
3. ABS support tools, approaches and lessons learned documented and shared across countries	<p>3.1 Series of webinars on challenging ABS topics, and supporting background resources, are produced (three)</p> <p>3.2 Number of viewers download webinars (1000 viewers per webinar)</p> <p>3.3 One peer-reviewed journal article per country case-study published and one peer-reviewed journal article synthesising lessons learned across regions</p> <p>3.4 Two compilation videos produced</p> <p>3.5 Two videos viewed by at least 1000 people</p> <p>3.6 Synthesis policy brief of lessons learned across regions</p> <p>3.7 Policy brief distributed to 5000 stakeholders</p>	<p>3.1 Webinars hosted on website;</p> <p>3.2 Webinar viewing records</p> <p>3.3 Journal publications; project reports</p> <p>3.4 Videos posted on project website</p> <p>3.5 Video viewing records</p> <p>3.6 Policy brief document, project reports</p> <p>3.7 Documents lodged in CBD clearing house</p>	
4. A high-level Strategy and Advisory Group of ABS experts, practitioners and researchers established to explore, document and disseminate lessons learned, best practice and revised approaches for ABS, and to provide support to case study communities	<p>4.1 ABS Community of Practice group (10 practitioners and experts) meets at least 3 times per year (virtually or in person)</p> <p>4.2 Production and acceptance of at least one journal article (reconceptualising ABS)</p> <p>4.3 Production of "ABS in the 21st Century" book in Year 3</p>	<p>4.1 Meeting attendance records, project reports</p> <p>4.2 Journal publication</p> <p>4.3 Draft book</p> <p>4.4 Project reports</p>	

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)			
Output 1 1.1. Hold introductory/scoping meetings with key stakeholders 1.2. Compile a baseline review of potential tools and approaches that are required to support each case study 1.3. Develop appropriate materials to support information sharing and capacity building 1.4. Use materials to support identified stakeholders and processes 1.5. Revise and adapt materials 1.6. Reproduce and disseminate material to relevant stakeholder groups 1.7. Produce a case study on the status, development achievements and challenges of selected resource value chain in each country			
Output 2 2.1. Compile video interviews with harvesters, producers, and communities on ABS and the wider policy context 2.2. Production of video on key ABS and related policy topics, representing community voices 2.3. Disseminate videos to policy-makers, shared at national and international policy events 2.4. Post video on project website			
Output 3 3.1. Develop preparatory webinar material, and background briefing documents 3.2. Develop webinars on key ABS and related policy issues 3.3. Edit all webinars and other materials into instructive videos, placed on project website 3.4. Draft a journal article (each country team) and synthesis/lessons journal article that combines findings across regions 3.5. Produce compilation videos from across countries (2) 3.6. Share compilation and other video at national and international policy events and on website 3.7. Produce synthesis policy brief from case studies for national and international policy-makers 3.8. Policy brief distributed to CBD secretariat, ABS clearing house, national governments, producer groups, industry groups			
Output 4 4.1. Inception meeting held (year 1) 4.2. Project website launched (year 1) 4.3. Meeting of team virtually - 3x per year (year 1, 2, 3) 4.4. Book project launched by team (interest matched to themes) (year 1) 4.5. Meeting of global team to present conceptual papers and practical tools (year 2) 4.6. Produce collaborative, peer-reviewed paper drawing together lessons from case studies and other work by the Group (year 2) 4.7. Book manuscript completed and sent to publisher (year 3)			

25. Provide a project implementation timetable that shows the key milestones in project activities. Complete the following table as appropriate to describe the intended workplan for your project (Q1 starting April 2017)

Please add/remove columns to reflect the length of your project. For each activity (add/remove rows as appropriate) indicate the number of months it will last, and shade only the quarters in which an activity will be carried out. The workplan can span multiple pages if necessary.

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. Hold introductory/scoping meetings with key stakeholders in each country, Yr1			■	■									
1.2. Compile a baseline review of potential tools				■	■	■							
1.3. Develop appropriate materials to support information sharing and capacity building, including case study policy briefs				■	■	■	■	■	■	■	■		
1.4. Apply materials to support identified stakeholders								■	■	■	■		
1.5. Revise and adapt materials											■	■	
1.6. Reproduce and disseminate material to relevant stakeholder groups												■	■
1.7. Produce a case study on the status, development achievements and challenges of selected resource value chain in each country					■	■	■	■					
Output 2													
2.1. Compile video interviews with harvesters, producers, communities on ABS and the wider policy context				■	■	■	■						
2.2. Production of video on key topics, representing community voices								■	■				
2.3. Disseminate videos to policy-makers shared at national and international policy events									■	■	■	■	■

Activity	No. of months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
2.4. Post videos on project website													
Output 3													
3.1. Develop preparatory, and background resource, webinar material													
3.2. Develop webinars on key issues													
3.3. Edit all webinars and other materials into instructive videos, placed on project website													
3.4. Draft 3 journal articles (each country team)													
3.5. Produce compilation videos from across countries (2)													
3.6. Share video at national and international policy events and on website													
3.7. Produce synthesis policy brief from case studies for national and international policy-makers													
3.8. Policy brief distributed to CBD secretariat, ABS clearing house, national governments, producer groups, industry groups													
Output 4													
4.1. Inception meeting held with case study team (year 1)													
4.2. Project website launched (year 1)													
4.3. Meeting of team virtually - 2x per year													
4.4. Book project launched by team (interest matched to themes) (year 1)													
4.5. Meeting of Strategy and Advisory Group to													

Activity	No. of months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
present conceptual papers and practical tools – virtually and in person 2X per year													
4.6. Produce collaborative, peer-reviewed paper drawing together lessons from case studies (yr 2)													
4.7. Book manuscript completed and sent to publisher (year 3)													

26. 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 monitoring and evaluation (M&E) process for this project will take place at several levels and will focus on providing timely evidence of the progress of the project towards achieving outputs and the intended outcome. M&E data collected by the project will be used for reporting processes and for reflection and adaptation (evaluation) during the project life.

Country – level M&E

A core component of this project takes place at the local level in the three target countries. This will require that routine monitoring data is collected in each country by field-based staff on an ongoing basis. Data and other results will be fed up to the Project Leader through project reports and as part of a coordinating team (Karen Nott, Stella Asaha, Rachel Wynberg, Sarah Laird). Data will be coordinated and collated by the Project Leader (Rachel Wynberg).

Case studies

The country case studies present a unique opportunity to test and document the results of the project. They focus on plants that are of significance to mostly poor, rural community members allowing the project to test and document support systems for key stakeholders in the ABS process. Whilst project data will include routine monitoring of events such as participation in training and meetings, the country case studies will be compiled by documenting actual implementation experience in each of the three countries. The case studies will provide both quantitative and qualitative data on the key aspects of ABS. This is particularly relevant for activities in outputs 1 and 2. The case study approach also provides for a situation analysis of the status of ABS in each country, providing a baseline for the project.

Webinars

The webinars provide a unique opportunity to disseminate information, lessons learned and best practice. The uptake of the webinars will be monitored using internet usage tracking methods.

Key focal areas for M&E will include tracking the outcomes of:

- 1 The development, testing and revision of a series of tools, approaches and resources that build capacity and understanding at a range of levels to engage with ABS policy and practice. This will be tracked through measurement of reach (numbers and types of participants) and through lessons learned during application and implementation (case studies).
- 2 Documenting experiences, needs, lessons learned, best practice and strategies gathered during the project to support key stakeholders in managing and responding to ABS policy. This will be tracked using both the case studies and documented publications (journal articles, policy briefs, summary briefs) that emerge from each country and the high-level expert cohort.
- 3 The establishment of a Community of Practice that brings together diverse experience and empirical knowledge is a unique feature of this project and will serve as a reflection and social learning forum in itself. The learning and experience of how such a Community of Practice can be most effective will also be documented and tracked during the life of the project.

All project M&E approaches will be culturally and gender sensitive.

Number of days planned for M&E	30
Total project budget for M&E	£9000 Darwin (£3000 matching)
Percentage of total project budget set aside for M&E	2.8% (2.4% for total including matching funds)

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.

27. Value for Money

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

(max 300 words)

We have made every effort to ensure that the proposed budget is realistic and cost effective. Our budget was calculated by first asking partners to contribute towards an overall vision and approach for the project, and then apportioning estimated amounts per partner, based on planned activities. In some cases, this led to a narrowing of geographical focus, in others we reduced the number of case studies. We have existing working relationships with all of the listed partners, and are thus in a good position to assess the feasibility and cost effectiveness of proposed budgets. Travel and consumable costs were estimated based on the costings of similar work in South Africa, Namibia and Cameroon.

Value for money is achieved because much of the administration costs of each partner organization are covered by the organizations (UCT, PPI, EMG, Leeds, IRDNC) as a contribution, as is a portion of the M&E costs, grant management costs, overhead, staff costs and office expenses. Moreover, the involvement of a wide range of individuals who have worked for decades on these issues means that their engagement is extremely cost-effective, and their time streamlined. Their ongoing involvement at case study sites means that they have well-established relationships and that systems are already set up for project implementation.

Location of the project within UCT’s Bio-economy Chair not only enables the subsidised support of staff but also gives access to postgraduate students who have existing bursaries to contribute to the project. Their time does not need funding.

The lead organisation’s overhead costs were calculated using UCT’s template, which is now a compulsory tool used across South African universities. This led to the estimated 15% of cost recovery, but these funds will support a leading university in one of the most biologically diverse countries of the world.

28. 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)

NA

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) and attach details of any advice you have received from them.

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

CERTIFICATION

On behalf of the

UNIVERSITY OF CAPE TOWN

I apply for a grant of £325,250 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

Name (block capitals)	WARDA SABLAY
Position in the organisation	UCT CONTRACTS MANAGER

Signed**

PDF attached

Date:

5 December 2016

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 ?	Yes
Have you read and can you meet the current Terms and Conditions for this fund?	Yes
Have you provided actual start and end dates for your project?	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
Have you included a letter of support from your key 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?	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 Monday 5 December 2016 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.