



Submit by 2359 GMT on Monday 29 January 2018

Darwin Initiative Application for Grant for Round 24: Stage 2

Before completing this form, please read both the Fair Processing Notice on pages 17 and 18 of this form and the [Guidance](#). 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:	Centre for Sustainability, Responsibility, Governance and Ethics (SURGE), Huddersfield Business School (HBS), University of Huddersfield
Address:	Queensgate
City and Postcode:	Huddersfield, HD1 3DH
Country:	UK
Email:	
Phone:	

2. Stage 1 reference and Project title

Stage 1 Ref:	Title (9/10 words): NTFP micro-enterprises for competitive forests and livelihoods in Ethiopia
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3. Summary of Project

Please provide a brief summary of your project, its aims, and the key activities you plan on undertaking. Please note that if you are successful, this wording may be used by Defra in communications e.g. as a short description of the project on [GOV.UK](#). Please bear this in mind, and write this summary for a non-technical audience.

(80/80 words)

This project tackles a set of connected issues inhibiting community-based enterprise development in southwest Ethiopia. These challenges are linked to biodiversity and the need to provide local communities with livelihoods supported by under-utilised non-timber forest products. The project particularly focuses on developing value chains which enable economically excluded local women to create micro-enterprises targeting new national and international markets. The proposal is underpinned by a commitment to Participatory Forestry Management which promotes local involvement, sustainable economic development opportunities and biodiversity.

4. Country(ies)

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

Country 1: ETHIOPIA	Country 2:
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5. Project dates, and budget summary

Start date: July 2018		End date: March 2021		Duration: 2 years 9 months
Darwin funding request (Apr – Mar)	2018/19 £141,156	2019/20 £87,450	2020/21 £145,814	Total £374,420
Proposed (confirmed & unconfirmed) matched funding as % of total Project cost				51%

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	Wood	Hailu	Melese
Forename (s)	Adrian Paul	Afework	Maryo Selamo
Post held	Professor of Sustainability	Executive Director	Director
Organisation		Ethio-Wetlands & Natural Resources Association	Ethiopian Biodiversity Institute
Telephone			
Email			

Details	Project Partner 3	Project Partner 4	Project Partner 5
Surname	Wolderufael	Kifleyesus-Matschie	A dugna
Forename (s)	Senai	Mistal	Wubishet
Post held	Managing Director	CEO	Managing Director
Organisation	Feed Green Ethiopia	Ecopia	Apinec
Telephone			
Email			

Details	Project Partner 6	Project Partner 7	Project Partner 8
Surname	Desta		
Forename (s)	Woubishet Zenebe		
Post held	Head		
Organisation	Bench Maji Zone Environmental Protection and Forest Office, in SNNPRS		
Telephone			
Email			

7. Has your organisation been awarded a Darwin Initiative award before (for the purposes of this question, being a partner does not count)?

If so, please provide details of the most recent awards (up to 6 examples).

Reference No	Project Leader	Title
19-025	Adrian Wood	Conservation of Ethiopia's Wild Coffee using Participatory Forest Management

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>Huddersfield Business School (HBS), University of Huddersfield www.hud.ac.uk https://research.hud.ac.uk/institutes-centres/csrc/</p> <p>(Note: This proposal is submitted under the auspices of the newly formed Centre for Sustainability, Responsibility, Governance and Ethics (SURGE). A new website is under construction hence use of the CSRC website until the new site is complete.)</p>	<p>Details (including roles and responsibilities and capacity to lead the project): (199/200 words)</p> <p>UoH has 20 years' experience working with Ethiopian institutions on conservation, environment and development issues, particularly in the southwest. UoH has managed four EU funded projects, several British Council links and work for IUCN, Dfid and the World Bank. UoH led a Darwin award for <i>in situ</i> conservation of wild coffee through participatory forest management in southwest Ethiopia (2012-2015).</p> <p>UoH has a longstanding partnership with EWNRA. From 2003 to 2016 a consortium involving UoH, EWNRA and Dutch EEIG, SLA introduced Participatory Forest Management into the southwest reaching over 70 communities in nine districts and covering 100,000 ha of forest. UoH has previously worked with the Ethiopian Biodiversity Institute exploring the potential of PFM for conservation of wild coffee.</p> <p>UoH and EWNRA are currently working on a three-year project on the Community Conservation of Wild Coffee and Natural Forest Management in the southwest. Learning and discussion from this project has led to the development of this proposal.</p> <p>As project lead UoH takes responsibility for the project's strategic direction, overall project management, monitoring and reporting to funders. UoH PI & Research Projects Manager will have regular liaison with project partners, field based project co-ordinator, technical staff and national and international consultants.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	
<p>Yes</p>	

<p>Partner Name and website where available:</p> <p>Ethio-wetlands & Natural Resources Association (EWNRA)</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (198/200 words)</p> <p>EWNRA is the lead local partner for UoH projects in Ethiopia and the two organisations work closely on project development and implementation. EWNRA is responsible for registering the project with the local government. It employs and manages Ethiopian project staff, including annual appraisals, and provides additional support to the Project Co-ordinator. EWNRA also provides office accommodation in Addis Ababa for visiting UoH staff and international consultants, and maintains relationships with Ministry of Environment and Forests and Regional Government contacts in the Bureau of Agriculture, alerting the PI to forthcoming developments and initiatives.</p> <p>Established as an Ethiopian NGO in 2000 EWNRA has eighteen years' experience in southwest Ethiopia. EWNRA is involved in all aspects of project design, development and implementation, especially consultation with local communities and government offices.</p> <p>EWNRA operates out of nine field offices, in addition to the head office and employs 100 staff working across six projects including two projects in Participatory Forest Management. Funders include Menschen für Menschen Switzerland, NORAD/Development Fund of Norway, Catholic Relief Service, PHE Ethiopia Consortium and the Finnish Embassy in Ethiopia. Previous funders include EU, Darwin Initiative and the Netherlands Government. EWNRA and UoH have worked collaboratively as project partners since 2001.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>Ethiopian Biodiversity Institute (EBI) http://www.ebi.gov.et/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (165/200 words)</p> <p>EBI have been involved in the development of this proposal. UoH has longstanding links with EBI as a partner in a previous Darwin funded project in this area which involved in the <i>in situ</i> conservation of wild coffee through participatory forest management. EBI is the national coordinator for <i>in situ</i> and <i>ex situ</i> biodiversity conservation.</p> <p>EBI provides local technical input as well as policy development and dissemination. EBI is also a beneficiary of the lessons from this work in terms of new methods for <i>in situ</i> conservation and policy discussion with the parts of government responsible for development policy. Lessons learnt will be disseminated and links made to other community based conservation activities through EBI, its projects and network of links to other organisations concerned with biodiversity conservation.</p> <p>EBI has responsibilities for the national biodiversity database and international biodiversity reporting, as well as being the national focal point for CBD/Nagoya Protocol and the ITPGRFG Treaty. As such it helps Ethiopia to meet its international commitments.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>Ecopia http://www.ecopia.de/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (199/200 words)</p> <p>Ecological Products of Ethiopia (Ecopia) P.L.C was founded in 2006 and is a social enterprise for profit on consumer goods company in the organic goods sector (organic food and natural cosmetics), working throughout its value chains with the so-called base of the pyramid, which represents the low-income group of people within Ethiopian society. The project selected Ecopia because it is one of a few organizations that follows the on hand training and inclusive business model approach with the poorest people in the country which is integrated into the company's activities not only as supplier but also as producer.</p> <p>Ecopia activities start with training the Communities and the youth in order to provide them the opportunities to establish a processing facilities with Ecopia plc, to work as independent and supply for Ecopia Plc or provide them the needed knowledge and certificate to join to the growing food and cosmetic cottage industries within the country. This is pro-poor and pro-youth development approach in this project will help address the youth need of job, training and certification as well as the practical knowledge for youth's job issues by engaging them in small-scale income generation schemes and improving household income and nutritional status.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>Yes</p>

<p>Partner Name and website where available:</p> <p>Feed Green Ethiopia http://www.fgeexports.com/</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (182/200 words)</p> <p>Feed Green Ethiopia Exports plc is based in Addis Ababa. It was established in 2012 and is registered and licensed by the Ministry of Trade and Industry.</p> <p>Feed Green Ethiopia Exports plc is engaged in the production, packing and export of Ethiopian food items such as fresh injera, blended Ethiopian spices and individual spices which are used in different cuisines. It exports primarily to markets in the USA, Europe, the Middle East, India and China providing both high quality products and shipping services. Its blended spice range includes berbere, mitmita and mitten shero, while individual spices include Ethiopian cardamom, cumin, thyme, rosemary and fenugreek.</p> <p>It ships spice orders within 15-20 days using air cargo. Customers are able to track their order using the champ cargo spot system and Airway Bill.</p> <p>Feed Green Ethiopia has stations throughout Ethiopia. Its staff will provide training in the harvest, drying and storage of spices for sale on international markets. Their expertise will be crucial in ensuring spices are dried and stored in ways that will prevent them perishing in the humid tropical climate of SW Ethiopia.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>No. Feed Green Ethiopia has committed to this project and held meetings in Addis Ababa with the Ethiopia Project Manager. A letter will be forthcoming but was unavailable at the time of submission due to communication problems.</p>

<p>Partner Name and website where available:</p> <p>Apinec No website</p>	<p>Details (including roles and responsibilities and capacity to engage with the project): (139/200 words)</p> <p>Apinec Agro-Industry Plc. is based in Addis Ababa and Bonga. It was established in 2005. Its objective is the production, processing and marketing of apicultural products (especially honey and bees wax). With support from Honey International, it has modernised production methods, trained workers and developed an international marketing strategy. Apinec is Organic certified and produces honey in accordance with international standards.</p> <p>Apinec, Huddersfield Business School (HBS) and EWNRA have worked together in the neighbouring Sheka Zone, also in SNNPRS. They successfully improved the quality and volumes of honey from Sheka Zone, exporting over 50 tonnes to the UK, specifically to The Body Shop for use in cosmetic products.</p> <p>Building on the existing relationship, Apinec will support HBS and its partners to improve honey production in the Bench Maji Zone, where the focus has to date been on forest coffee.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>Yes</p>

Partner Name and website available: Bench Maji Zone Environmental Protection and Forest Office, in SNNPRS http://www.ethiopia.gov.et/web/guest/snp-regional-state	Details (including roles and responsibilities and capacity to engage with the project): (171/200 words) The regional government has worked with HBS, EWNRA and EBI in a previous Darwin project and is currently working with HBS and EWNRA on the Community Conservation of Wild Coffee and Natural Forest Management in the southwest. The government field staff (Development Agents) and district level technical experts in the Agricultural Office, Cooperative Development Office, Women's and Children's Office and Office for Environmental Protection and Forests will work with the project's field staff to implement the project. The involvement of the regional government of SNNPRS in policy development with earlier HBS projects demonstrates that policy development through interaction with projects such as this is possible. Attached are letters of support from the Sheko Wereda (District) administration; the Bench Maji Zonal Office for Environment and Forest Protection (and from the three wereda (District) level offices of Sheko, Guefereda and North Bench sited within Bench Maji Zone). In addition, a letter of support is attached from Yeki Agriculture and Natural Resource Office, sited in the fourth wereda, the project will work in (Yeki).
Have you included a Letter of Support from this institution? If not, why not?	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. These should match the names and roles in the budget spreadsheet.

Name (First name, surname)	Role	Organisation	% time on project	1 page CV or job description attached*?
Prof Adrian Wood	Principal Investigator	Uni of Huddersfield	10	Yes
Matt Snell	UK Project Manager	Uni of Huddersfield	8	Yes
Afewerk Hailu	Ethiopia Coordinator	EWNRA	5	Yes
Kassahun Adelo	Ethiopia Project Manager	EWNRA	100	Yes
Ms Frehiwot Mekonnen	Finance Controller	EWNRA	100	Yes
Dr Motuma Tolero	Biodiversity monitoring & policy linkage	Consultant	10	Yes
Dr Mulugeta Lemineh	Monitoring & Evaluation of Livelihood Impacts	Consultant	5	Yes
To be appointed	NTFP Facilitator	EWNRA	100	Yes
To be appointed	NTFP Facilitator	EWNRA	100	Yes

Dr Walter Mswaka	Trainer for coops	Uni of Huddersfield	4	Yes
Ms Janet Lowere	Adviser African Honey Production	Bees for Development/ Consultant	1	Yes
Dr Dena Freeman	Adviser Forest Enterprise and Trade	Consultant	1	Yes
Prof Gerard McElwee	Micro-Enterprise analyst	Uni of Huddersfield	2	Yes
Dr Julia Meaton	Gender and value chain analyst	Uni of Huddersfield	2	Yes
Ms Fiona Hesselden	Gender PhD research candidate	Uni of Huddersfield	7	Yes
*If you cannot provide a CV, please explain why not.				

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?

(299/300 words)

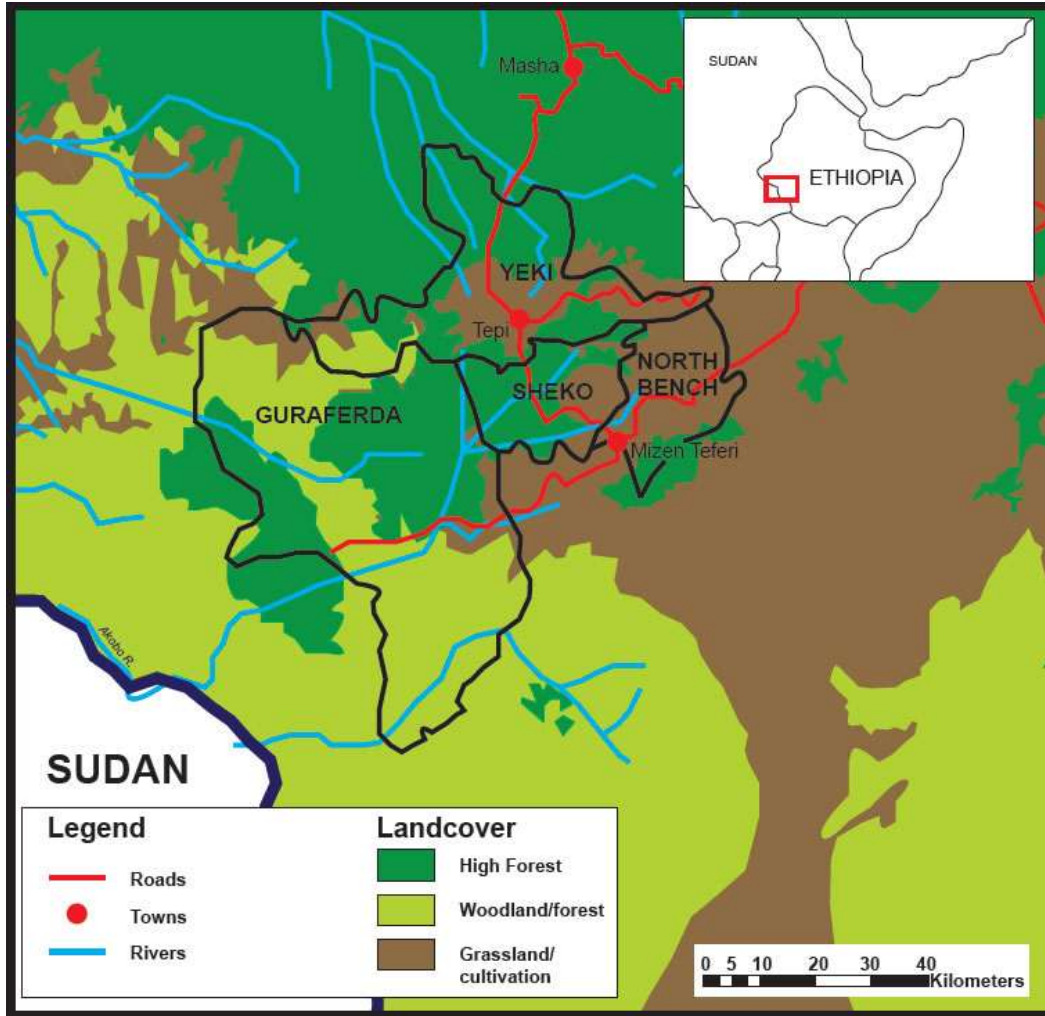
HBS work since 2003 has identified deforestation as a major problem in four districts in SW Ethiopia (Figure 1). Forest loss occurs as people seek to improve livelihoods through agriculture rather than forest-based enterprises.

Drivers of forest loss include lack of tenure security over forest and income from it. Additional drivers include investors' claims to forest, population growth, in-migration, cultural change and urban demands. These will increase given recent completion of a tarmac road through this area connecting Ethiopia to South Sudan.

Between 2010-2016, HBS and partners implemented a project to improve forest tenure and income. Its focus was Participatory Forest Management (PFM) Agreements between communities and local government, providing security for communities and their Forest Management Groups (FMGs) managing the forests. In addition, communities generated income from forest coffee sold through cooperatives (Figure 2). An external assessment found annual rates of deforestation were 0.18% in community-managed forests compared to 2.6% in forests with no community management. Coffee production volumes and revenue continue to grow post-project.

However, forest-coffee primarily benefits men and is only found in 25% of 100,000ha of community managed forest. The remaining areas benefit from other Non-Timber Forest Products (NTFPs), including honey, cardamom, chillies, forest fruits, long pepper and forest mahogany seeds. These are variously harvested by men and women for domestic use and limited local sale. Studies in 2015 identified how to add value to these NTFPs and sell them to national and international buyers. This project aims to build on the success of the 2010-2016 forest-coffee work by developing value chains for these NTFPs, thereby diversifying the sources of forest-related income, engaging women more, and improving the sustainability of the cooperatives. These efforts will be supported by concurrent work strengthening tenure security through Communal Land Certificates which are stronger in Ethiopian law.

Figure 1.



12a. 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)	Yes
Nagoya Protocol on Access and Benefit Sharing (ABS)	Yes
International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)	Yes
Convention on International Trade in Endangered Species (CITES)	No

12b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the agreement(s) your project is targeting. 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

(493/500 words)

CBD

The proposed project helps Ethiopia address Articles:-
8(c) manage biological resources/sustainable use.

8(f) rehabilitate/restore degraded ecosystems.

Increased income from forest products encourages community commitment to sustainable forest management and resource protection. Previous results demonstrate community forest management has contributed to lower rates of deforestation and active forest restoration.

8(j) Respect, preserve and maintain indigenous knowledge.

Development of NTFP micro-enterprises builds upon existing knowledge of forest biodiversity and ecology.

Project's work with Forest Management Groups (FMGs) alongside the development of micro-enterprises is in line with Ethiopia's NBSAP 2015-20 principles. These reference the need for "active participation of local communities for effective conservation and sustainable utilization of biodiversity" as well as "enhancing contribution of biodiversity to food security and poverty eradication". (NBSAP, p1).

Project will contribute to three of the four Strategic Objectives of the Ethiopian Biodiversity Strategy and Action Plan: <http://www.ebi.gov.et/cbd/clearing-house-mechanism/nbsap-of-ethiopia/>

Objective 2: By 2020, all remaining natural ecosystems outside of the protected areas are under sustainable use management;

Objective 3: The costs/benefits on biodiversity conservation are equitably shared through a range of public, private, community/CBO/NGO partnerships;

Objective 4: The rich agro-biodiversity of Ethiopia is effectively conserved through a mix of in-situ and ex-situ programs.

Achi Target Contribution

AT1 Biodiversity Awareness.

AT4 Sustainable production and Consumption.

Development of micro-enterprises promotes the value of forest spices and related ecosystems to communities and empowers them to manage forest products sustainably.

AT5 & AT15 Reduce habitat loss/carbon stocks.

Previous work has shown how carbon stock can be maintained and increased under PFM with the support of FMGs. This project supports these FMGs. This work is in line with one of the Ethiopian Governments' strategies to achieve AT5, namely the adoption of participatory forest management. Diversifying the range of forest products for which there are markets will contribute to communities' perceived value of the forest compared to clearance for agricultural land.

AT13 Genetic diversity.

Sustainable use of forest spices (timiz, korerima, chillies), fruits and honey in addition to wild coffee helps maintain forest genetic diversity. The wider the range of products with added market value the better the biodiversity will be maintained. Existing forest management plans will be updated to account for the value of these NTFPs.

AT14 Benefits to all.

Project will develop markets for forest products that positively focus on women's livelihoods (Forest Mahogany, Ethiopian cardamom, forest fruits) and minority ethnic groups (Mejengir – honey and forest chillies).

Nagoya Protocol

9: Sustainable Use.

By strengthening the Forest Management Groups, as well as developing global value chains for forest products, the project supports micro enterprises and FMGs to manage the forest and sustainably harvest its products.

22.5(j) Women's Access.

Diversification of forest products marketed include those that positively impact on women's livelihoods.

IGRFA

5.i (b): Conservation...characterisation/evaluation/documentation.

6.2(e) expanded use of underutilised species;

Project seeks to develop markets for a wider range of forest products, including Forest Mahogany and forest fruits not currently used commercially. Analysis of the chemical properties of Forest Mahogany will explore potential cosmetic use.

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

X Yes **No** **if yes, please give details:**

Discussions have been held between the project's Team Leader and Dr. Melesse Maryo Selamo, the Director of the Ethiopian Biodiversity Institute. The EBI is supportive of this project as it is in line with Strategic Objectives of the Ethiopian Biodiversity Strategy and Action Plan.

12d. Global Goals for Sustainable Development (SDGs)

Please detail how your project will contribute to the Global Goals for Sustainable Development (SDGs).

(246/250 words)

SDG1.2 Reduce number living in poverty

Project support for maximising forest product quality and the facilitation of value chain development with national/international markets, will provide additional opportunities for income generation.

SDG5.5 Women's full and effective participation; equal opportunities for leadership

Project design and implementation integrate gender with a focus on gender equity. Training for new micro-enterprises and existing co-ops will support women's active participation. Minimum number of leadership roles in micro-enterprises and co-ops ring-fenced for women.

SDG15.2/5/6 Sustainably manage forests; halt biodiversity loss; access and benefit sharing

Forest management plans of existing FMG's (established with the support of a previous Darwin grant) updated to include sustainable harvesting of forest products traded by micro-enterprises. Existing benefit sharing mechanisms between co-operatives and FMG's strengthened through the generation of increased income by co-ops as a result of micro-enterprise activity. Increased income will encourage community commitment to the sustainable management of forest and protection of its resources. Results from previous Darwin-supported project demonstrated that community management significantly reduces rates of deforestation and supports restoration of degraded forest.

SDG 12.2 Responsible production and consumption; sustainable management of natural resources.

Amount of forest products harvested will be controlled and monitored through the forest management plans developed by the existing FMG's and signed off by local government.

SDG 16 Peace and Justice; effective, accountable and transparent institutions

Micro-enterprises will be linked to existing co-ops and operate under the coops member-generated bylaws. Coops have democratic elections for management committee roles, AGMs and published accounts.

13. Methodology

Describe the methods and approach you will use to achieve your intended Outcome 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.).

(500/500 words)

Prioritisation of products by availability

Four types of micro-enterprise will be developed to make the forests more economically competitive and improve income for 5,000 people across four districts. Each district will prioritise those products most relevant to it using information on availability and accessibility of NTFPs from the regular FMG forest patrols and local knowledge.

Prioritisation of products by ease of development

Figure 2 (Theory of change) shows that honey, fruits, spices and Luya have market potential, but require different support.

1. **Honey.** HBS and partners have a successful record of improving the harvesting and marketing of honey from districts adjacent to this project. Where honey production is already underway in the project area, staff will support communities to reduce moisture content and improve quality. Apinec will be introduced to new honey production sites and will buy through the coops.



2. **Spices.** National and international markets exist for long pepper, chillies and cardamom, but the project area is not linked into supply chains. Staff will introduce communities to Feed Green Ethiopia (FGE), a company supplying national and international markets. FGE will train staff and communities in the harvesting, drying and storage of spices. They will buy spices from the coops.



3. **Fruits.** Ecopia Ecopia will train staff and communities to harvest and process fruits which are already consumed by households but not yet sold. Ecopia will provide equipment, subsequently supporting the sale of the transformed produce.

4. **Luya.** *Trichilia dregeana* (Luya) is a forest mahogany related to the cape mahogany of Southern Africa, *Trichilia emetica*. Commercial uses for the oil from the seed of cape mahogany include internationally-traded cosmetic products. Luya does not have commercial outlets but is used to oil traditional cooking pots and for healing. HBS will undertake a laboratory analysis of the seed, focusing on its triglycerides and non-saponifiable matter, comparing these with cape mahogany. Subject to positive results, HBS will work with companies to identify buyers for the Luya seeds.



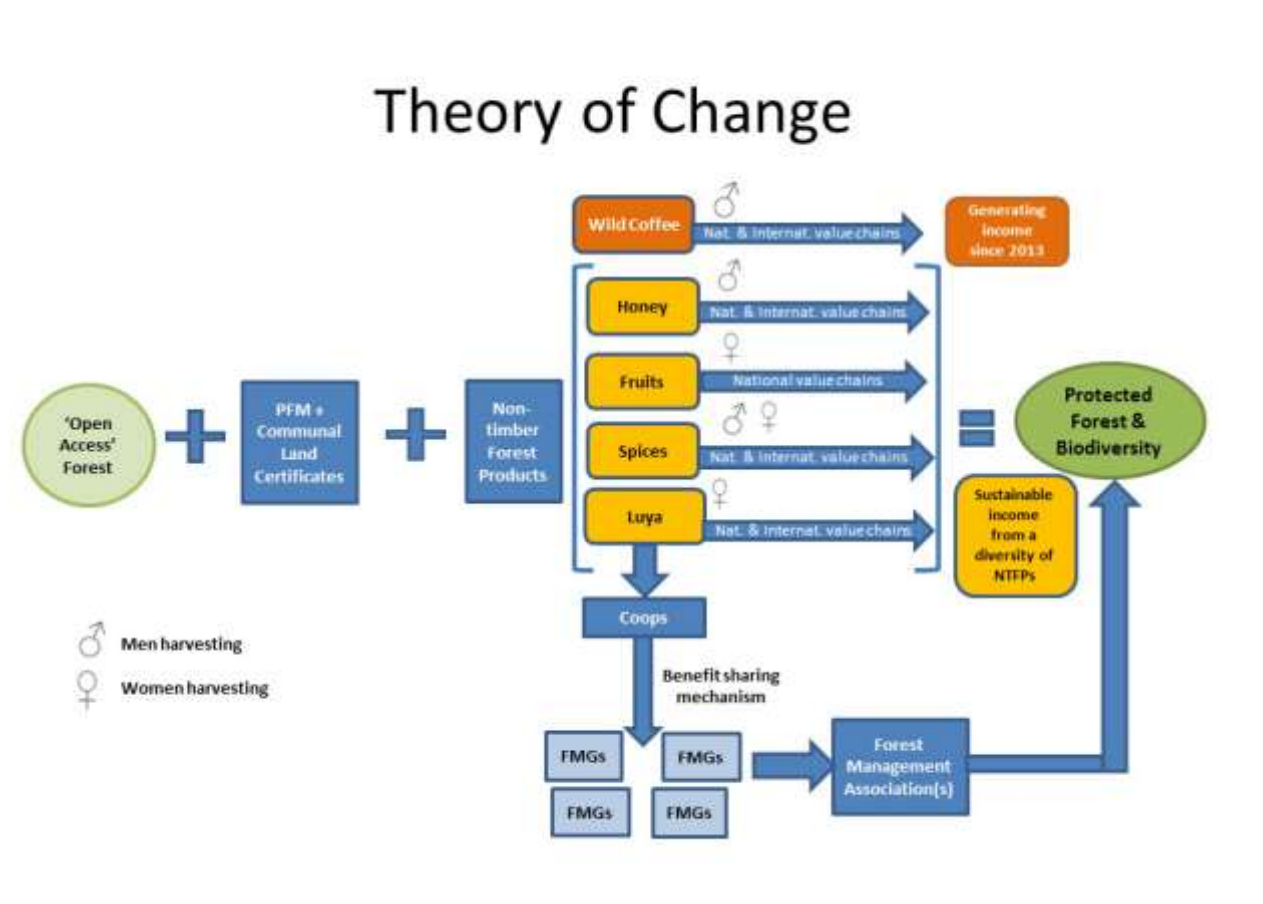
Prioritisation by gender

Collection and use of each NTFP varies by gender. Forest-coffee and honey tend to be male-dominated. Spices are collected and used by men and women. Collection of fruits and the Luya seed tend to be female-dominated activities. This project will seek to redress gender imbalance in commercial activities by placing women at the centre of NTFP micro-enterprise development. Each district will have at least one micro-enterprise led by women, with women's roles in the management of the coops and most micro enterprises enhanced.

Institutional framework

The existing project works with six cooperatives, representing communities across all four districts. These cooperatives provide central storage and collection points. They will avail these facilities to the new NTFP micro-enterprises, as well as provide the legal basis under which they can register. The coops are linked to the Forest Management Associations which group together all the community FMGs in a district. The FMAs will ensure that the FMGs undertake their management duties, including biodiversity monitoring and forest protection and so ensure sustainable harvesting of NTFPs.

Figure 2.



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 (i.e. during the life of the project) and b) in the long-term (after the project has ended). Please describe the changes for biodiversity and for people in developing countries, and how they are linked. When talking about people, please remember to give details of who will benefit and the number of beneficiaries expected. 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.

(476/500 words)

Overall the project will help create a new range of NTFP focused micro-enterprises (11) within better managed and more viable coops (6) in the four districts. These micro-enterprises will generate increased forest income which will spread widely across communities, with some focused on women alone. Increased NTFP income will encourage communities to value the forest more highly and develop further their existing monitoring regimes to ensure that the forest and its biodiversity are protected and managed sustainably.

Short term:

- Establishment of district-specific micro-enterprises harvesting, processing and trading NTFPs through six existing cooperatives.
- Production of higher quality honey and creation of market links in Guraferda, Sheko and North Bench districts. An estimated 980 households will benefit from this traditionally male-dominated activity.
- Improved harvesting, drying, storage and creation of market links for spices in all four districts (Guraferda, Sheko, Yeki and North Bench. An estimated 1,120 households will benefit with both men and women involved in the collection and drying of spices, including cardamom and long pepper.
- Adoption of technologies for drying of fruits and production of jams. An estimated 1,120 households will benefit across all four districts. Women will be the primary beneficiaries as collection of fruits is female-dominated.
- Laboratory analysis of forest mahogany seed and comparison with cape mahogany from Southern Africa whose commercial uses already include internationally-traded cosmetics. Emphasis will be on triglycerides but will extend to non-saponifiable matter. An estimated 380 households in Guraferda, Sheko and Yeki will benefit if the Ethiopian variety is found to have commercial value.
- Monitoring and analysis of micro-enterprises and value chain development to assess income generated from new activities and identify challenges in supply chains, lessons for forest-based micro-enterprise development and opportunities for long term.
- Increased recognition in communities of economic value of forest.
- Community forest management activities enhanced and forest management plans reviewed and updated to account for value of NTFPs traded by micro-enterprises and need for detailed biodiversity monitoring.
- Revised management plans approved by local government and used to strengthen regional government forest policy reform and its support for sustainable forest utilisation as the approach to maintaining natural forests.

Long term:

- Reduction in rates of deforestation linked to increased economic value of forest associated with trade in NTFPs.
- Lessons learned in project concerning the development of, and contributions from micro-enterprises and trade relationships in PFM and biodiversity conservation will be documented and shared with government and international agencies and NGOs working in this area.
- Contribution to national Green Economy objectives linked to reductions in deforestation.
- National and regional policies recognise the value of community management and forest-based trade in NTFPs and facilitate their further development for maintaining forests and reducing poverty and improving rural livelihoods, especially of women.
- Number of beneficiaries likely to increase as community confidence in micro-enterprises and commercial partners increases. This phenomenon was observed in the forest-coffee project, over the last three years.

15. Gender

All applicants must consider whether and how their project will contribute to reducing inequality between persons of different gender. Explain how your project will collect gender disaggregated data and what impact your project will have in promoting gender equality.

(296/300 words)

Data collection

Socio-economic data will be collected in years 1 and 3 by an independent consultant. This will comprise household level surveys and focus group discussions. Household surveys will speak to the household head; where this is a man, women will be surveyed separately. Focus group discussions will be split by gender (male/female group discussions followed by a general group discussion) and write up will be gender sensitive. In addition to these independent surveys, data is already collected twice yearly by the project team. All data is disaggregated by gender.

Project implementation

Forest products chosen for value chain development are informed by i) availability, ii) engagement of women and iii) potential value. Honey production is dominated by men. Cardamom is collected by women and men; chillies are collected by women for household use with some also sold in local markets. Luya is collected and used by women for cooking oil. Forest fruits are collected and used domestically by women. Jam will be produced at home.

Quality control and processing training will support women's participation. A minimum number of leadership roles will be reserved for women. Some micro-enterprises will be women only.

The project will actively engage with district-level female employees in relevant government offices, as well as relevant male staff to facilitate their provision of support for women-led project initiatives; this will be important post-project.

Impact

Women in Bench Maji Zone depend on their husbands for financial support. However, creation of micro-enterprises focused on activities that are a) entirely female-led and b) not male dominated will generate income for women, reducing their reliance on their husbands. These micro-enterprises will provide a forum through which women can discuss socio-economic and other issues relevant to them and build their leadership skills and confidence to engage in other fora.

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?

(181/200 words)

The project will seek to achieve a stable and sustainable end point with local community members, particularly women, engaged in micro-enterprises selling sustainably harvested spices, honey and forest fruits. Links to existing cooperatives mean the micro enterprises will benefit from support and advice, as well as facilitating the process of registration. Engagement with local government, in particular the Co-operative Development Office will provide a source of post-project support. Partnerships with three Ethiopian companies should continue post-project, providing access to markets. Luya will not achieve a sustainable end point. Its potential

use in cosmetic products will require further work but HBS will seek further funding subject to laboratory results.

Forest Management Plans, developed by the local Forest Management Group (FMG) will document sustainable quantities of forest products to be harvested. FMGs will continue to monitor usage and the state of the forest (this work is already operational), maintaining oversight on the impact on biodiversity. Additional revenue generated by coops will impact positively on FMGs, providing additional income (via the benefit sharing arrangement) helping to facilitate and incentivise biodiversity monitoring and forest protection.

17a. Harmonisation

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

(195/200 words)

This is development of an existing initiative funded by HBS and Waterloo Foundation. These funds represent the match-funding in this proposal and have already been committed by both institutions.

Work in the four districts and 80 communities covered by this proposal first began in 2010. Darwin supported this work between 2012-2015. It involved a participatory forest management approach to protect 76,000 hectares of forest, conserve wild Arabica coffee, develop 55 Forest Management Groups, four Forest Management Associations and six co-operatives.

Beginning in 2016, HBS and Waterloo Foundation committed 3-years funding to further develop the coffee value chain, create PFM Agreements for 25 new communities, protect 24,000 additional hectares and secure Communal Land Certificates (CLCs) to improve security of tenure. HBS has pioneered the application of CLCs to forests, it having previously only been widely used for grazing land, schools and churches.

This proposal builds on the funding already committed by HBS and Waterloo Foundation with a view to expanding the number of forest products from which communities can derive income in order to further incentivise forest conservation and build livelihoods, particularly those of women who derive less value than men from the coffee value chain.

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

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

18. Ethics

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

(299/300 words)

The project partners have a history of collaboration and between them extensive experience of conducting ethically sound research that complies with national (UK and Ethiopian) and international (EU) standards, as well as respecting international conventions and declarations, and UoH's Research Ethics and Integrity Policy and research principles. (<https://www.hud.ac.uk/media/policydocuments/Research-Ethics-and-Integrity-Policy.pdf>). The

overall responsibility for ethical governance of the project rests with the Project Leader who ensures that all partners and the communities are engaged in project design and implementation and that the work is driven by the interests of the communities (see Support Letters).

The project takes a participatory approach which seeks to ensure that benefit sharing is at the local level. The project's focus is on facilitating community discussion of the issues they face and the development of their own solutions. Prior Informed Consent principles are used when approaching community members to participate; they are free to choose to engage (or not) with the project and communities will be responsible for leading and running the micro enterprises. Existing coops and forest management groups are led and run by local people and have democratic procedures for the selection of officers, while gender quotas exist.

Data is collected at the household level and is anonymised and disaggregated by gender. Prior informed consent is sought whenever individuals are identified (photographic materials, case studies) and the rights, privacy and safety of people (including the project team) are respected.

The project recognises the existing high level of traditional knowledge and expertise with regard to forest management and identification and harvesting of forest products held by forest fringe and forest dwelling communities; the project seeks to build on this to derive added value to local livelihoods.

Academic outputs will include peer-reviewed publications; independent Ethiopian consultants will be involved in monitoring and analysis of indicators and results.

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?

(293/300 words)

Primary project focus is working with communities to better support their maintenance of forest biodiversity. At a policy level we will support biodiversity conservation and forest management policies to include sustainable NTFP use through micro-enterprises as way to incentivise forest land use.

Audience	Communication Approach / Materials	Results / Comments
Local communities including women	Community discussion meetings - sensitive to women's commitments; trainings for those involved with micro-enterprises on the need for sustainable harvesting.	Communities sensitised to the need for biodiversity monitoring and active forest management to ensure sustainable NTFP production & harvesting.
Coops/ forest management groups	Trainings on biodiversity value, trends and management for existing coop and FMG / FMA members involved with guiding	Increased recognition of the need to maintain forest biodiversity by coops, FMG/FMAs to ensure

	NTFP micro- enterprises; meetings of coop and FMG/FMA on benefit sharing.	sustainable NTFP use. Capacity for community forest monitoring increased.
Local government (Cooperatives; Women & Children; Agriculture; Environment, Forests & Climate Change.	Meetings with government offices, also participation in trainings with Coops and FMGs/FMAs. Project posters for use in government offices. Participation in project workshops.	Local government offices gain understanding of value of biodiversity including NTFPs and ecosystems that support them.
Private-sector partners (Ecopia/Apinec, etc)	Meetings reviewing biodiversity monitoring and sustainable harvesting; provision of photos for marketing materials.	Raising awareness on sustainable harvesting.
Regional/ federal government	Meetings; briefing notes; visits; workshops.	Enhanced understanding of sustainable NTFP use in Forest and Biodiversity policies.
NTFP product customers	Labelling communicates forest and biodiversity conservation story. UoH Website (photos, video, publications etc).	Increased awareness of the value of biodiversity.
NGOs (national/ international e.g CIFOR)	Visits to successful micro-enterprises. Participation in project workshops. UoH website.	Project lessons shared.
Academic community of practice	Journal articles; UoH website	Project lessons shared.

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.

(297/300 words)

The project will build the capacity of individuals and institutions in the following ways:

Existing co-operatives: training to support coop members (at least 10 per coop, at least 60 in total) involved in developing micro-enterprises based in the six existing forest product coops operating in the four project districts with guidance from the existing project. Focus will be on managing links between producers and buyers and the achievement of quality standards. Development of micro-enterprises will increase coop membership and income, contributing to their long term viability. Specific training with respect to micro-enterprises builds on that already on-going to professionalise the operation and strategic planning by the coop boards.

Men and women involved in micro-enterprises: At least 25 persons per micro-enterprise (a total of 275 people), half of them women, will receive training and skill development in harvesting and processing forest products including quality control, marketing, managing expectations, meeting delivery timeframes and production volumes, and financial management.

Training and experience of leading a (micro) organisation. Training will be culturally appropriate and modified to ensure gender equity and that the different needs of men and women are taken into account.

Forest Management Groups (FMG): with the enhanced value of the forest the FMG management and community leaders will be provided with training throughout the project period to develop their capacity to operate (organise meetings, run awareness sessions, undertake forest monitoring and record findings and manage financial obligations). A benefit sharing agreement between coops and FMGs sees coops pay a small percentage of their income to the FMG to support the work they do in protecting and monitoring the forest.

Project staff: two project team members will be supported in their educational development; data generated through this project will be utilised by them to undertake part-time postgraduate qualifications from HBS/UOH.

21. Access to project information

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

(249/250 words)

Accessible project information and materials will be produced and made available to relevant audiences and stakeholders during and after the project. This will include:

Website: dedicated pages on HBS website created and updated to share project aims and achievements and from which documents produced by the project will be downloadable. In addition, details of the project and its results will be covered by the HBS media team with articles appearing on HBS website and blogsite [View from the North](#)

Printed/ printable materials: a range of printed and downloadable materials will be produced.

- Laminated posters in Amharic will be produced for relevant government partner offices and those of the micro-enterprises to promote the project locally with stakeholders;
- Policy briefing notes; one or more briefing notes will be produced using non-technical language.

Printed copies will be made and shared with EBI, government counterparts, EWNRA and the relevant wider NGO community in Ethiopia.

Social media (Twitter): the project will be promoted on a regular basis on UoH social media, along with the Darwin Initiative website.

Articles: academic journal articles generated by research results will be lodged in accordance with UoH's open access policy as well as appearing in academic journals. Opportunities to secure coverage in appropriate trade press, in the event of the development of national/international sales.

Contributions to the Darwin Initiative Newsletter will be offered, as was the case with the previous project from which three articles were published.

Project budget includes costs of producing laminated posters, briefing notes and reports.

Project Monitoring and Evaluation

Measuring Impact

22. Logical Framework

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

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Impact: (26/30 words)			
Rates of deforestation in SW Ethiopia are reduced as communities increasingly value forests and benefit economically from national and international trade in sustainably sourced Non-Timber-Forest-Products (NTFPs).			
Outcome: (29/30 words) Forest becomes more economically competitive through development of community level micro-enterprises collecting, processing and selling Non-Timber-Forest-Products which improve income for 5,000 people whose engagement in coffee harvesting is limited.	0.1 Three (3) honey micro-enterprises supported in Y1 and selling to Apinec by Y2, generating additional income for 980 producers in Guarferda, Sheko and North Bench. 0.2 Four (4) women-led forest-fruit micro-enterprises established in Y1 and selling jams and dried produce to Ecopia by Y2, generating income for 1,120 households. 0.3 Four (4) spice micro-enterprises established in Y1 and trading with FGE exports by Y2, benefitting 1,120 households. 0.4 Laboratory analysis and commercialisation potential of <i>Trichilia dregeana</i> completed and shared with communities, businesses and government by Y2. 0.5 Biodiversity of key indicator species maintained in all sites. 0.6 Contributions made to government policy.	0.1 Honey micro-enterprise documentation, sales and income reports, business plans and household surveys. 0.2 Fruit micro-enterprise documentation, sales and income reports, business plans and household surveys. 0.3 Spice micro-enterprise documentation, sales and income reports, business plans and household surveys. 0.4 Laboratory results and correspondence with businesses, communities and government. 0.5 Biodiversity monitoring reports in Y1 and Y3. 0.6 Evidence of communications sent to government departments	Government continues to grant access to UOH and partners to work in the area. Government biodiversity conservation and forest policy continues to support sustainable use and community management to conserve natural forest, with harvesting of Non-Timber-Forest-Products (NTFPs). Continued community interest in NTFP development.
Outputs: 1. Three honey micro-enterprises producing higher quality honey and generating income from sales to Apinec and/or other honey buyers	1.1 Establishment of three honey micro-enterprises in Y1. 1.2 75 honey producers in 3 districts trained to reduce moisture content and improve honey quality (by mid-Y2). 1.3 Apinec buying honey from micro-enterprises in Bench Maji Zone (Year 2). 1.4 By end Y2 a 10% increase in contribution of honey to household income of 980 producers.	1.1 Micro-enterprise incorporation documents. 1.2 Participant training list and honey moisture test results. 1.3 Apinec purchasing records and micro-enterprise sales records. 1.4 Household socio-economic survey records and independent household interview results	National honey prices remain stable enough to generate income. Producers are willing to sell to Apinec.

<p>2. Four micro-enterprises established for production and sale of forest fruit jams/dried products. Specifically the fruits of <i>Manilkara Butuji</i>, <i>Pouteria Altisima</i>, <i>Morus Mesozygia</i> and Ch'atu (scientific name unknown) previously identified and discussed with Ecopia</p>	<p>2.1 Establishment of four forest fruit micro-enterprises in four districts in Y1.</p> <p>2.2 Forest fruits harvested, seasonal availability and volumes established, jam/dried fruit production training delivered to 100 women in four districts (mid-Year 2), and trial samples produced.</p> <p>2.3 By Y1 four samples reviewed for taste and quality, production feedback provided, orders for Y2 placed, led by Ecopia.</p> <p>2.4 Market analysis and jam-manufacture potential for four fruits assessed with Ecopia (mid Y2).</p> <p>2.5 Jam-related/dried fruit production underway in four micro-enterprises by Y2.</p> <p>2.6 By end Y2 a 10% increase in contribution of forest fruit related income to 1,120 households.</p>	<p>2.1 Micro-enterprise incorporation documents.</p> <p>2.2 Fruit assessment and harvest reports, samples from Y1 for review, female participant lists.</p> <p>2.3 Ecopia quality and taste reports, production reports, order forms.</p> <p>2.4 Ecopia market analysis report.</p> <p>2.5 Production records from all jam/fruit micro-enterprises.</p> <p>2.6 Household socio-economic survey records and independent household interview results.</p>	<p>Consumer demand remains for at least one of the forest fruit related products.</p> <p>Producers are willing to sell to Ecopia.</p>
<p>3. Micro-enterprises established for sale of long pepper, cardamom and other spices within national and potentially international markets.</p>	<p>3.1 Establishment of four spice micro-enterprises in four districts in Y1.</p> <p>3.2 100 men and women in four micro-enterprises trained in harvest, drying and storage of spices found within their localities. Training provided by Feed Green Ethiopia by mid-Y2.</p> <p>3.3 Y1 harvest assessed by Feed Green Ethiopia exports for quality, including moisture content, and volume.</p> <p>3.4 Feed Green Ethiopia exports buy and sell spices produced by new micro-enterprises in Y2 and Y3.</p> <p>3.5 By end Y2 a 10% increase in contribution of spice related income to 1,120 households.</p>	<p>3.1 Micro-enterprise incorporation documents.</p> <p>3.2 Participant training lists and training content records. Lists of spices identified by location.</p> <p>3.3 Y1 harvest analysis records and reports.</p> <p>3.4 Y2 order and purchase records from Feed Green Ethiopia exports and micro-enterprises.</p> <p>3.5 Household socio-economic survey records and independent household interview results.</p>	<p>Continued community interest in harvesting spices.</p> <p>Producers are willing to sell to Feed Green Ethiopia.</p>
<p>4. Analysis of chemical properties and commercial potential of Forest Mahogany (<i>Trichilia dregeana</i>) undertaken and shared with businesses and communities.</p>	<p>4.1 Undertake chemical analysis of characteristics of <i>Trichilia dregeana</i> and compare against <i>Trichilia emetic</i> which has already been successfully commercialised in skin-care and hair-care products.</p> <p>4.2 Explore potential product uses, trade options and value chain development with companies post-laboratory analysis.</p>	<p>4.1 Chemical analysis reports.</p> <p>4.2 Technical and commercial reports, Emails, meeting minutes and other correspondence between companies and University of</p>	<p>Government is willing to allow scientific analysis of the chemical and biological characteristics of <i>Trichilia dregeana</i></p> <p><i>Trichilia dregeana</i> has no underlying negative qualities</p>

	<p>4.3 Share findings with communities and local government and undertake assessment of distribution and potential quantities for harvest.</p> <p>4.4 Subject to positive laboratory analysis, develop potential business plans for coops with <i>Trichilia dregeana</i>.</p>	<p>Huddersfield.</p> <p>4.3 Minutes of meetings, copies of correspondence and forest assessment reports.</p> <p>4.4 Copies of business plans.</p>	<p>which prevent its potential commercialisation.</p> <p>Communities are willing to harvest the seed if commercial potential is established</p>
<p>5. Biodiversity measured by key indicator species, maintained in all micro enterprise sites.</p>	<p>5.1 Biodiversity of species identified in Importance Value Index is maintained to a greater degree in NTFP micro-enterprise sites than in non-NTFP micro enterprise sites of similar context.</p>	<p>5.1 Importance Value Index, NTFP micro-enterprise site selection and control site selection.</p> <p>5.2 Biodiversity report from independent consultant.</p>	<p>Access to NTFP and non-NTFP sites is permitted in order to conduct controls.</p>
<p>6. Policy makers made aware of role of NTFPs, micro-enterprises and women in sustainable management of forests</p>	<p>6.1 Number of exchanges between project, Ethiopian Biodiversity Institute and relevant government agencies at regional and national levels.</p> <p>6.2 Number of training sessions held by project, Ethiopian Biodiversity Institute and policy specialists for government agencies.</p>	<p>6.1 Records of discussions, workshops and training sessions between project, Ethiopian Biodiversity Institute and other government agencies.</p> <p>6.2 Records and reports from training sessions held for government agencies.</p>	<p>Government policy remains in favour of community ownership and use of forest for conservation and livelihood development</p>

23. 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 (starting from Q2 July 2018)

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			
		Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1 Honey												
1.1 Traditional honey production reviewed by Apinec and project staff	3	■	■									
1.2 Honey producers trained to improve quality	1			■								
1.3 Honey producer micro-enterprises created and linked to coops	2			■	■							
1.4 Y2 honey harvests assessed by Apinec and sales negotiated	5				■		■					
1.5 Training and improvements to Y1 honey production by Apinec	1							■				
1.6 Y3 honey harvests assessed by Apinec and sales negotiated	5								■		■	
Output 2 Forest fruits												
2.1 Traditional forest fruit harvests assessed for taste and texture	3		■	■								
2.2 Women trained to produce forest fruit jams and dried fruits	1		■									
2.3 Forest fruit micro-enterprises created and linked to coops	2			■								
2.4 Y1 forest fruit jams and dried produce assessed by Ecopia	1				■							
2.5 Improvements to Y1 production agreed with women & Y2 orders placed	1				■							
2.6 Y2 production	4					■	■	■				
2.7 Y2 production assessed by Ecopia and sales negotiated	2						■		■			
2.8 Training and improvements on Y2 production	1								■			
2.9 Y3 orders placed	1								■			
2.10 Y3 production	4									■	■	■
2.11 Y3 production assessed by Ecopia and sales negotiated	2									■		■
Output 3 Spices												
3.1 Feed Green Ethiopia exports (FGEE) assess Y1 samples of spices	1		■									
3.2 Training in harvest, drying and storage of spices	1			■								
3.3 Spice micro-enterprises created and linked to cooperatives	2			■	■							

3.4	Spices harvested, dried and stored in Y2					█			█				
3.5	FGEE assess spice qualities and sales negotiated						█			█			
	FGEE provide feedback to improve spice quality						█			█			
	Spices harvested, dried and stored in Y3												█
3.3	FGEE assess spice qualities and sales negotiated										█		█
3.4	FGEE provide feedback to improve spice quality										█		█
Output 4 Luya													
4.1	Conduct laboratory analysis of <i>Trichilia dregeana</i>				█	█							
4.2	Compare properties of <i>Trichilia dregeana</i> with <i>T. emetica</i> properties						█	█					
4.3	Share findings with communities, government and cosmetic companies								█				
4.4	Develop cosmetic products with commercial input dependent on results									█	█	█	█
Output 5 Biodiversity													
5.1	Select local species for inclusion in Importance Value Index		█	█									
5.2	Select IVI biodiversity monitoring sites in micro-enterprise areas			█									
5.3	Select IVI biodiversity monitoring sites in non-micro-enterprise areas			█									
5.4	Conduct Y1 baseline				█								
5.5	Conduct Y3 endline											█	
5.6	Compare results and report												█
5.7	Continue standard forest monitoring patrols and report findings				█				█				█
Output 6 Policy influencing, project progress, lessons learned and best practise													
6.1	Launch project with local government		█	█									
6.2	Produce materials (flyers, posters, reports) and share with government				█	█	█						
6.3	Participate in appropriate national discussion platforms							█				█	
6.4	Generate information for dissemination via web and social media										█	█	█

24. 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.

(494/500 words)

The M&E plan for this project will seek to monitor a wide range of interlinking factors. These include production volumes for four different types of NTFP micro-enterprise, sales figures for each NTFP, the process and progress of growing micro-enterprises, gender participation both in production and in micro-enterprise management, and the impacts of these micro-enterprises on biodiversity in production sites and in control sites. In order to achieve this, the M&E plan will collect the following:

NTFP micro-enterprise income generation

Production volumes recorded by the micro-enterprises (Coop records)

Sales volumes and prices received by the micro-enterprises (Coop records)

Purchase volumes and prices paid by the participating partner companies (Apinec, Ecopia and Feed Green Ethiopia exports) (Company records)

Household socio-economic data gathered during individual household surveys as well as Focus Group Discussions (independent consultant)

Household socio-economic data gathered during concurrent project work and used as a basis for comparison (Project staff with support and analysis from independent consultant)

Technical reports from independent consultants (e.g. honey specialists) and from University of Huddersfield specialists (e.g. specialists in cooperatives and social enterprises)

Gender statistics

Participant training lists and training content, disaggregated by gender (Coop records and project records)

Household survey, Focus Group Discussion participant lists, and qualitative data on women's motivation, knowledge and confidence around NTFP processing and participation in micro-enterprises and cooperatives (independent consultant)

Micro-enterprise member and management records (Coop records)

University of Huddersfield PhD research focused on the role of women in forest cooperatives

Biodiversity data

Ten (10) villages with project activity will be randomly selected as sites in which to assess the impact of NTFP micro-enterprises on biodiversity. Control sites will also be randomly selected, ones in which no NTFP micro-enterprises are developed.

Each site will be divided into quadrants of 0.2ha, an area that has been used in previous work to assess biodiversity in projects managed by UoH.

An Importance Value Index will be developed in consultation with local communities. Local knowledge will be important in selecting among the woody species found in the area.

Baseline assessments will be conducted in Y1 and compared with assessments in Y3. Although the project duration is short this will help provide evidence of any positive or negative impact that NTFP micro-enterprises may be having on biodiversity.

This work will be led by an independent consultant supported by 3 assistants. It will be labour intensive field based work requiring support from communities to gain access to project monitoring sites.

Micro-Enterprise Development and Gender Engagement

The experience of the micro-enterprises as new business units within the coops will be supported by UOH staff and Ethiopian team members who will provide training and advice. Records of their activities, challenges and progress will be kept at the field level through regular contacts. They will also engage in structured self-analysis and focus groups with independent consultants so that lessons can be learned for developing further guidance for use in this project and more widely across the country in biodiversity and forest policy fine-tuning.

Number of days planned for M&E	245
Total project budget for M&E	£76,500
Percentage of total project budget set aside for M&E	10%

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 and Illegal Wildlife Trade Challenge Fund](#)' document and considered the implications of payment points for cashflow purposes.

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

25. 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.

(295/300 words)

UoH and EWNRA have been working in SW Ethiopia for approximately 20 years. They are currently implementing a 3-year project with the same communities that feature in this proposal and budget. The costs included in this budget are therefore based upon a detailed understanding of current local costs and expenses.

Consultant costs have been calculated on the basis of day rates and number of days required for each consultant. This has been particularly important in calculating advisory costs and M&E costs.

In terms of value for money, this project aims to target a minimum of 1,100 households, which will benefit at least 5,000 people. Total project cost is £756,623. Cost per participant is approximately £252 per annum. This is based on very conservative estimates of the number of households likely to participate – less than 20% of those households currently involved in the project being implemented in the same area.

This proposal will also enhance the long term economic sustainability of the six cooperatives. These cooperatives support over 30,000 people based on the number of households involved in Participatory Forest Management activities. If the total project cost is calculated on the basis of the wider number of PFM household beneficiaries, the cost per capita reduces to £25 / year / beneficiary representing excellent value for money.

As with the previous forest-coffee project and its doubling of members over the first three years, it is anticipated that the number of direct participants will increase as confidence in the micro-enterprises increases. This will further reduce the cost per person and increase value for money.

Beneficiaries of the project's work may also include people the region and country with access to forests who would benefit from forest and biodiversity conservation policies being more supportive of sustainable use of NTFPs.

26. 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.

(76/150 words)

The highest capital costs are for vehicles – a second hand 4x4 vehicle and two motorbikes. These will become the property of the local partner (EWNRA) once the project is complete. They may be used to facilitate future projects, though the demanding road conditions will limit their value.

Office equipment – laptops and chairs and desks will also become the property of the local partner.

Drying stations will become the property of the micro-enterprises involved in the project.

27. 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:

University of Huddersfield:

£XXX,XXX

Waterloo Foundation: £XX,XXX

27b) 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
N/A			
N/A			

27c) None

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

(max 100 words)

N/A

28) Financial Management Risks

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.

(121/200 words)

University of Huddersfield and EWNRA have an experienced team operating in SW Ethiopia. This team comprises a Finance Manager and cashier. Strict sign-off and financial authorisation procedures are in place and have operated successfully for over 15 years, as well as being updated to comply with recommendations from external auditors.

Project accounts are audited annually. In addition, monthly finance reports are submitted from the project base to EWNRA's head office in Addis Ababa, as well as to UoH's finance office in the UK.

UoH and EWNRA are both audited annually by separate firms, in the UK and Ethiopia, and this includes specific review of projects, such as this, Both organisations also submit annual financial reports for specific projects to external funders.

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 trustees of the University of Huddersfield

I apply for a grant of £374,420 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 last two sets of signed audited/independently verified accounts and annual reports

Name (block capitals)	Professor Stuart Roper
Position in the organisation	Associate Dean (Research), Huddersfield Business School

Signed**

Date:

29/01/2018

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 ?	Y
Have you read and can you meet the current Terms and Conditions for this fund?	Y
Have you provided actual start and end dates for your project?	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 6 and Question 10?	Y
Have you included a letter of support from your <u>key</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?	N
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 Monday 29 January 2018 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 - Fair Processing Notice

The purpose of this Fair Processing Notice is to inform you of the use that will be made of your personal data, as required by the Data Protection Act 1998.

The Department for Environment, Food and Rural Affairs (Defra) is the data controller in respect of any personal data that you provide when you complete your application, the grant acceptance and the supplier forms.

Defra will use your personal data primarily for the purpose of processing your application for Darwin Initiative funding. By submitting an application, applicants have agreed to any disclosure of the information supplied (including the content of a declaration or undertaking) which Defra considers necessary for the administration, evaluation, monitoring and publicising of the Funds (as detailed in the paragraphs below).

A completed application form signifies agreement to place certain details of successful applications (i.e. name, title, total grant value, project summary, lead organisation and location of project work) on the Darwin Initiative websites listed below. A completed application form also signifies agreement to send data on the project proposals during the application process to British Embassies and High Commissions outside the UK, including those outside the European Economic Area.

<http://www.darwininitiative.org.uk>;

<https://www.gov.uk/government/groups/the-darwin-initiative>;

Application form data will also be processed by Defra contractors dealing with Darwin Initiative administration, monitoring and evaluation (working within relevant data protection rules).

Defra may be required to release information, including personal data and commercial information, on request under the Environmental Information Regulations 2004 or the Freedom of Information Act 2000. However, Defra will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the Data Protection Act 1998. The Grantee shall assist and co-operate with the Department (at the Grantee's expense) to enable the Department to comply with its disclosure obligations under these enactments.

We may use information, including personal data, to test computer systems to ensure that they work effectively and efficiently and to develop new systems in order to improve efficiency and the service that we provide to you and other persons. Any use of information for testing or developing computerised systems will be conducted in a secure manner in accordance with the Data Protection Act 1998 to safeguard the privacy of the information that you have supplied.

Defra's Personal Information Charter, which gives details of your rights in respect of the handling of your personal data, is on the Defra section of Gov.uk. If you don't have access to the internet, please telephone the Defra helpline 08459 33 55 77 and ask to speak to the Data Protection Officer for a copy of the Information Charter.