



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)

<b>Applicant Organisation Name:</b>	<b>Royal Botanic Garden Edinburgh</b>
<b>Address:</b>	<b>20A Inverleith Row</b>
<b>City and Postcode:</b>	<b>Edinburgh EH3 5LR</b>
<b>Country:</b>	<b>United Kingdom</b>
<b>Email:</b>	
<b>Phone:</b>	

#### 2. Stage 1 reference and Project title

<b>Stage 1 Ref:</b> <b>4196</b>	<b>Title (max 10 words):</b> Enabling sustainable, profitable and equitable community-based forest management in Tanzania
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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.

##### (max 80 words)

Large-scale forest loss and degradation deprive Tanzanian communities of a potential sustainable income source. This project aims to transform forest governance in Tanzania through a rigorous assessment of limiting factors for community-based forest management (CBFM) and providing practical solutions for up-scaling CBFM. Key activities include surveys to assess current benefits/short-comings, provision of assistance for pilot communities to increase CBFM (gender) equity and benefits, strengthening stakeholder capacity/awareness, and developing a best practice model that can be rolled out to non-CBFM communities.

#### 4. Country(ies)

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

<b>Country 1:</b> Tanzania	<b>Country 2:</b>
<b>Country 3:</b>	<b>Country 4:</b>

#### 5. Project dates, and budget summary

<b>Start date:</b> 1 July 2018	<b>End date:</b> 31 March 2021	<b>Duration:</b> 2.75 yrs
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<b>Darwin funding request (Apr – Mar)</b>	<b>2018/19</b> £136,796	<b>2019/20</b> £117,247	<b>2020/21</b> £103,279	<b>Total</b> £357,322
<b>Proposed (confirmed &amp; unconfirmed) matched funding as % of total Project cost</b>				<b>34%</b>

**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.**

<b>Details</b>	<b>Project Leader</b>	<b>Project Partner 1</b>	<b>Project Partner 2</b>
<b>Surname</b>	Ahrends	Makala	Gross-Camp
<b>Forename (s)</b>	Antje	Jasper	Nicole
<b>Post held</b>	Head of Genetics and Conservation	Chief Executive Officer	Assistant professor
<b>Organisation (if different to above)</b>	Royal Botanic Garden Edinburgh	Mpingo Conservation & Development Initiative (MCDI)	Allegheny College

<b>Details</b>	<b>Project Partner 3</b>	<b>Project Partner 4</b>	<b>Project Partner 5</b>
<b>Surname</b>	Kindeketa	Muya	Malugu
<b>Forename (s)</b>	William Joseph	Gerald	Isaac
<b>Post held</b>	Natural Resources Research Officer	CEO	Forest Programme Coordinator
<b>Organisation (if different to above)</b>	Tanzania Commission for Sciences and Technology (COSTECH)	Kilwa Women Paralegal Unit	WWF Tanzania Country Office

<b>Details</b>	<b>Project Partner 6</b>
<b>Surname</b>	Burgess
<b>Forename (s)</b>	Neil
<b>Post held</b>	Chief Scientist
<b>Organisation (if different to above)</b>	UNEP-WCMC, Cambridge

**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
23-031	Mark Watson	Science-based interventions reversing negative impacts of invasive plants in Nepal
23-025	Tony Miller	Reducing environmental degradation through sustainable fuel interventions in Afghan communities
19-007	Tony Miller/Sophie Neale	Building capacity for in-situ conservation in Iraq
15/011	David Harris	Building capacity for Forest Inventory in the Republic of Congo
14/026	David Rae	Horticulture & Education for Conservation in Nezahat Gokyigit Botanik Bahces, Turkey
13/007	Mark Newman	Taxonomic training for neglected biodiversity hotspot within Lao PDR

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

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

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

<p><b>Lead institution and website:</b> Royal Botanic Garden Edinburgh (RBGE) <a href="http://www.rbge.org.uk">http://www.rbge.org.uk</a></p>	<p><b>Details (including roles and responsibilities and capacity to lead the project): (max 200 words)</b></p> <p>RBGE is an internationally renowned centre of excellence in plant biodiversity research and biodiversity conservation, and offers first class public engagement facilities, attracting over 900k visitors annually. RBGE staff on this grant application have over 10 years' worth of experience working in Tanzanian forest conservation. They combine extensive expertise in the following areas: human impacts on biodiversity, mitigation/conservation strategies, sustainable use, African plant taxonomy, biodiversity surveys, public engagement, and integrating science into policy and strategy development.</p> <p>RBGE will be in charge of overall project management. In addition, RBGE (together with COSTECH) will lead on the forest surveys, and parts of M&amp;E.</p> <p>This proposal is a joint effort based on strong existing partnerships. Collaborations between RBGE, WWF Tanzania and WCMC go back to 2005, when they undertook the first systematic forest degradation assessment in the Tanzanian coastal forests<sup>1</sup>. In 2016/17 RBGE, together with (most of) the applicant partners, conducted a collaborative project involving forest and community surveys, awareness raising and decision maker engagement<sup>2</sup>. The results of this work formed the basis of this application: the Tanzanian coastal forests continue to experience rapid degradation, communities livelihoods rely and forest resources, and communities with CBFM experienced better governance than those without.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>Yes</p>


<sup>1</sup> Ahrends, A., Burgess, N.D., Milledge, S.A., Bulling, M.T., Fisher, B., Smart, J.C., Clarke, G.P., Mhoro, B.E. and Lewis, S.L., Predictable waves of sequential forest degradation and biodiversity loss spreading from an African city. *Proceedings of the National Academy of Sciences*, 201. 107(33), pp.14556-14561;

Milledge, S.A.H., I.K. Gelvas, and A. Ahrends, Forestry, Governance and National Development: Lessons Learned from a Logging Boom in Southern Tanzania. 2007, TRAFFIC East/Southern Africa, Tanzania Development Partners Group, Tanzania Ministry of Natural Resources and Tourism: Dar es Salaam.


<sup>2</sup> Ahrends, A., Malugu, I., Kindeketa, W., Gross-Camp, N. Burgess, N.D., Freeman, S., Thomson, J., Nzao, L., Kayombo, C., Soah, S., Bwoma, M., Paul, P., Harris D., and P.M. Hollingsworth, Saving forests, Changing Lives. Current status and trends in the Tanzanian coastal forests and their woody resources. 2017, Royal Botanic Garden Edinburgh, WWF Tanzania Country Office, Tanzania Commission for Science and Technology, University of East Anglia, TRAFFIC East Africa, UNEP World Conservation Monitoring Centre: Dar es Salaam, Tanzania.

Project website: <https://tanzanianforests.com/>  
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<p><b>Partner Name and website where available:</b></p> <p>Mpingo Conservation &amp; Development Initiative</p> <p><a href="http://www.mpingoconservation.org">www.mpingoconservation.org</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>The Mpingo Conservation &amp; Development Initiative (MCDI), is a local Tanzanian NGO established in 2004 to promote forest conservation and rural development in Tanzania by supporting communities to own, manage and benefit from forests through sustainable revenues from the forests. So far, they have assisted 41 local communities in establishing CBFM and empowered 18 of them to sustainably harvest timber with Forest Stewardship Council (FSC)-certification (the only FSC-certificate for community-managed natural forests in Africa), generating £265,000 up until 2016.</p> <p>MCDI staff on this grant application have over 10 years' worth of experience collaborating with other international research partners.</p> <p>MCDI being the lead implementer of this project in the field will play a key role on conducting community surveys e.g. questionnaire collection, Focus Group Discussions, participatory video and awareness raising (sharing lessons) through a stakeholders forum. MCDI will also provide financial and governance training to local communities.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>Yes</p>

<p><b>Partner Name and website where available:</b> Allegheny College <a href="https://sites.allegheny.edu/envsci/">https://sites.allegheny.edu/envsci/</a></p> 	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>Gross-Camp recently transferred to Allegheny College (US). Previously she was based out of the UEA and UCL (UK) where she was part of a number of research projects focused on the contributions of Tanzania's community forests to human wellbeing. Gross-Camp was the recipient of a 3-year ESPA fellowship (UCL; mentor: Prof K Homewood)<sup>3</sup> and, most recently, part of a collaborative effort with the RBGE to qualify the contributions of forests to communities with and without CBFM.</p> <p>In this proposal, Gross-Camp would be responsible for the development of methods and oversight of community surveys, focus group discussions, and participatory videos. She would work in close collaboration with the field manager, Mr Lasima Nzao, to ensure data are collected systematically and in an agreed timeframe. Gross-Camp would also be partly responsible for liaising and coordination of the capacity building activities being led by MCDI's Glory Massao.</p> <p>She has been working in the proposed area and in conjunction with MCDI since 2012 and has a positive working relationship with MCDI employees (Makala, Massao, Paul). Furthermore she has a professional history with Nzao, who operated as a field manager for the duration of her ESPA fellowship.</p>
<p>Have you included a Letter of Support from this institution? If not, why not?</p>	<p>Yes</p>

<sup>3</sup> N Gross-Camp (2017) Tanzania's community forests: their impact on human well-being and persistence in spite of the lack of benefit. *Ecology and Society*: 22(1): 37

<p><b>Partner Name and website where available:</b> Tanzania Commission for Sciences and Technology</p>  <p><a href="http://www.costech.or.tz">http://www.costech.or.tz</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>The Tanzania Commission for Science and Technology (COSTECH), established by an Act of Parliament in 1986, is a parastatal organization under the Ministry of Education, Science and Technology. It is entrusted with the coordination and promotion of scientific research and technology development and is the chief advisor to the government on matters pertaining to science, technology, and innovation and their application to socio-economic development.</p> <p>COSTECH and RBGE have previously collaborated in 2016 on the project 'Saving forests, changing lives'. This work highlighted that the status of the Tanzanian coastal forests had continued to deteriorate rapidly over the last two decades, which negatively impacts biodiversity and the livelihoods of forest adjacent communities. COSTECH took the lead in communicating these results into government and relevant policy processes.</p> <p>Dr William Kindeketa is a Research Officer working on Natural Resources and Biodiversity information management (<a href="http://bimt.costech.or.tz/">http://bimt.costech.or.tz/</a>) at COSTECH since 2009.</p> <p>In this project Dr Kindeketa will be responsible for the botanical/forest field surveys, conservation assessments, plant identification, policy engagement and report writing.</p>
Have you included a Letter of Support from this institution? If not, why not?	Yes

<p><b>Partner Name and website where available:</b> Kilwa Women Paralegal Unit (No website)</p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>The Kilwa Women Paralegal Unit (KIWOPAU) is a local NGO registered since 2009. The mission of the organisation is to help women and children to understand their basic rights. Since their inception, KIWOPAU have reached nine villages, four schools and 18 women's organisations. Their role in this project will be to provide training on gender issues, and to discuss and address as appropriate any cultural or practical barriers to women's participation in CBFM and decision making.</p>
Have you included a Letter of Support from this institution? If not, why not?	Yes



<p><b>Partner Name and website where available:</b> WWF Tanzania Country Office</p> <p><a href="http://wwf.panda.org/who_we_are/wwf_offices/tanzania/">http://wwf.panda.org/who_we_are/wwf_offices/tanzania/</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>The WWF Tanzania Country Office, together with COSTECH, will lead the work on policy capacity building, engagement, and dissemination of the results. It will ensure a close link between the researchers, government officials and other relevant stakeholders.</p> <p>There will be national policy meetings which will be organized at Year 3 of the project. The high level meeting will be organized jointly with partners to deliver key policy messages coming out of the project and influencing decision and reviews of key government regulation and policies. WWF staff (Malugu) have decades of experience of working in the Tanzanian coastal forests and with local communities, and communicating messages to stakeholders.</p> <p>WWF will also package the information into awareness materials that are in easily available in simple format to be used by various stakeholders, including policy briefs.</p> <p>Recently in 2018, the government has reviewed the National Forest Policy, which calls for participation of communities in forest management and promotes investment in locally controlled forest. Furthermore, the government is developing procurement policies, which promotes sourcing of furniture within sustainably managed forests. These will be some of the policy areas where WWF will provide advice to government.</p>
Have you included a Letter of Support from this institution? If not, why not?	Yes

<p><b>Partner Name and website where available:</b> UN Environment World Conservation Monitoring Centre (WCMC)</p> <p><a href="https://www.unep-wcmc.org/">https://www.unep-wcmc.org/</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>WCMC works in partnership with UN Environment as UNEP-WCMC and focuses on the delivery of international policy commitments such as the CBD, CITES, SDGs and UNFCCC. Its work is primarily analytical and synthetic and often done for the secretariats of these conventions of the nations that are members of the conventions. Understanding and promoting successful conservation interventions that can enhance the existing protected area network (Aichi Target 11), conserve rare and endemic species (Aichi Target 12) and prevent the loss of habitat such as forest (Aichi Target 5) is core to the work of UNEP-WCMC. In this project UNEP-WCMC will provide technical support to the project through one of its staff (Neil Burgess) with considerable experience in Tanzania and will use the project results in outreach work through UNEP-WCNC and UN Environment, and with the worlds international conventions through the ongoing projects with the CBD, CITES and UNFCCC.</p>
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*?
Antje Ahrends	Project Leader	RBGE	40%	Yes
Jasper Makala	CBFM coordinator, steering committee	MCDI	6%	Yes
Glory Massao	Community training coordinator	MCDI	70%	Yes
Nicole Gross-Camp	Socio-economic scientist, steering committee	Allegheny	17%	Yes
Lasima Nzao	Community survey coordinator	MCDI	83%	Yes
Petro Paulo Nnyiti	Community survey assistant	MCDI	72%	Yes
Edward Michael Moshia	Community survey assistant	MCDI	72%	Yes
William Joseph Kindeketa	Forest survey co-ordinator, policy engagement, steering committee	COSTECH	40%	Yes
Gerald Muya	Women's rights training	KIWOPAU	3%	Yes
Chiku Mohamedi Mnunga	Women's rights training	KIWOPAU	11%	Yes
Isaac Malugu	Policy engagement, communication, steering committee	WWF TCO	6%	Yes
Neil Burgess	Outreach and links to conventions, steering committee	WCMC	5%	Yes
David Harris	Forest surveys and plant identification, steering committee	RBGE	8%	Yes
Peter M Hollingsworth	Steering committee	RBGE	5%	Yes
<b>*If you cannot provide a CV, please explain why not.</b>				

## 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?

(Max 300 words)

Forests deliver significant benefits but their conservation can lead to a net cost at the local level<sup>4</sup>. In sub-Saharan Africa resource-dependent communities are frequently excluded from protected forests, leading to their marginalisation, a loss of livelihood options, and conflict<sup>5</sup>.

Tanzania's woodlands and forests cover 50% of the national terrestrial area. The pressure on these resources is enormous. Harvesting is often unregulated, incurring significant revenue losses needed for poverty alleviation at the national and local scale<sup>6</sup>. Tanzania's National Biodiversity Strategy and Action Plan 2015-2020 (NBSAP) predicts that "the country may deplete its forest cover in the next 50-80 years". The pressures are particularly severe in Tanzania's 170,000 km<sup>2</sup> of unreserved forests, which are disappearing rapidly.

Tanzania's NBSAP recommends strengthening and up-scaling of community-based forest management (CBFM), whereby a community becomes the legal owner and manager of a previously unreserved area. Granting communities tenure and user rights over general land on the condition that it is sustainably managed holds substantial promise to generate dual benefits for biodiversity and livelihoods<sup>7</sup>. However, following an initial boom in the mid-1990s, CBFM has stagnated. Limiting factors include:

1. Policy makers fear that communities may mismanage forests (and lack comprehensive surveys on CBFM impacts on biodiversity<sup>8</sup>).
2. Financial profits are often small (the reserves may be small or in need of a period of regeneration, communities lack financial training and access to markets).
3. Non-financial benefits (e.g. recognition, disaster resilience) are insufficiently understood and consequently not valued by decision makers.
4. Lack of equity. For example, insufficient representation of women in committees without targeted training/improvements.
5. Insufficient appreciation and support from districts. District do not re-invest forest revenues into CBFM. Communities feel unable to navigate the bureaucracy without support.

## 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.

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

<sup>4</sup>Franks, P. and K. Schreckenber, Advancing equity in protected area conservation, in Briefing. 2016, IIED.

<sup>5</sup>Lele, S., et al., Beyond exclusion: alternative approaches to biodiversity conservation in the developing tropics. *Current Opinion in Environmental Sustainability*, 2010. 2(1): p. 94-100.

<sup>6</sup>Milledge, S.A.H., I.K. Gelvas, and A. Ahrends, Forestry, Governance and National Development: Lessons Learned from a Logging Boom in Southern Tanzania. 2007, TRAFFIC East/Southern Africa, Tanzania Development Partners Group, Tanzania Ministry of Natural Resources and Tourism: Dar es Salaam.

<sup>7</sup>Blomley, T. and S. Iddi, Participatory forest management in Tanzania: 1993-2009: Lessons learned and experiences to date. 2009, URT: Ministry of Natural Resources and Tourism, Forestry and Beekeeping Division: Dar es Salaam.

<sup>8</sup> The only comprehensive study focussed on Joint Forest Management (community-government co-management): Persha, L. and C. Meshack, A triple win. The impact of Tanzania's Joint Forest Management programme on livelihoods, governance and forests, 2016, 3ie Impact Evaluation Report.

## 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

(Max 500 words)

**CBD:** Our findings will be highly relevant to the implementation of Tanzania's National Biodiversity Strategy and Action Plan (NBSAP 2015-2020), which recommends strengthening and up-scaling of CBFM to reduce large-scale unregulated harvesting on currently unreserved forest land. Forest loss is one of the main drivers of biodiversity loss in Tanzania. Between 2000 and 2015 Tanzania has lost an estimated 25,000 km<sup>2</sup> of forest – an area equivalent to the size of Rwanda. Improving governance for forested land with the help and to the benefit of local communities is consequently an important component in Tanzania's national implementation of the CBD, but there are some critical knowledge, capacity and awareness gaps that currently limit uptake of CBFM. This is what the project aims to address. Consequently, the project supports the national implementation of CBD Articles 6 and 10 (cross-sectoral national plans and policies for the conservation and sustainable use of biodiversity, support to local populations in implementing action to prevent degradation and unsustainable use of biodiversity). It will also promote public education and awareness (Article 13), contribute to Monitoring (Article 7), and improve the evidence base for effective in-situ conservation measures (Article 8). In terms of the Aichi targets the project is directly relevant to targets 5 (reducing the rate of deforestation and degradation), 7 (sustainable management), and 11 (conservation through effectively and **equitably** managed protected areas). It also contributes to Strategic Goals A (addressing underlying causes of biodiversity loss), D (enhancing benefits to all), and E (participatory planning and management). While the project has not (yet) liaised with the national CBD focal point, one of the project partners (COSTECH) is the principal advisory organ to the Government on all matters relating to scientific research and its application for biodiversity conservation and socio-economic development. COSTECH is also in the process of developing Tanzania's Biodiversity Information Management Tool, which contributes to the national implementation of the CBD. The data generated by this project will be contributed to this.

**CITES:** *Dalbergia* spp. have recently been listed on CITES Appendix II. The project will improve the evidence base for the conservation status of these and other timber species, and facilitate reviews of the need for trade regulations. In addition, it will look at the impact of *Dalbergia* CITES listing on the economic benefits that communities derive from village forests and provide this information to the Wildlife Division (the national focal point for the implementation of CITES).

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

Yes  No      if yes, please give details:

## 12d. Global Goals for Sustainable Development (SDGs)

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

(Max 250 words)

The project is directly relevant to Goal 15 (Life on Land). Further, it contributes to targets under Goal 1 (Poverty) by promoting access to forest resources to “build the resilience of the poor and reduce their exposure and vulnerability to extreme events” (for example, a CBFM community in Iringa used their income to purchase food for the community during a hunger spell<sup>9</sup>), and by contributing to the creation of “sound policy frameworks based on pro-poor and

<sup>9</sup>Gross-Camp, N., Tanzania's community forests: their impact on human well-being and persistence in spite of the lack of benefit. *Ecology and Society*, 2017. 22(1).

gender-sensitive development strategies". The project will promote gender equality through targeted training with 20 communities and more generally by aiming to increase female participation in village committees (Goal 5). It will also address inequalities more widely (Goal 10), e.g. by developing strategies with villages to ensure equitable benefit sharing from CBFM, for example reduced/no harvest licence fees for poorer members of the communities and/or communal use of the profits for purchasing food or addressing village infrastructure needs. The project also builds "capacity on climate change mitigation" by facilitating better management of forests/carbon sinks (Goal 13). Finally, by empowering local communities to protect, harvest and trade forest resources (which are often exploited by city based companies) the project contributes to "positive links between urban and rural areas", and helps to "reduce the adverse environmental impact of cities" (Goal 11).

### 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.).

(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 proposed work is structured into six modules. It will generate evidence to promote CBFM in Tanzania and develop a model for rolling out to non-CBFM communities.

#### 1. Community surveys:

We will utilise a combination of participant observation, interviews and focus group discussions (FGD) to assess benefits at village level and intra-community equity (e.g. gender). We will interview 1200 individuals in total (40 individuals and two FGD of 10 individuals/village).

Specifically, ten villages with CBFM (supported by MCDI) will be matched to ten non-CBFM villages with similar characteristics. Participant observations will concentrate on General Assembly meetings, and focus on issues pertaining to CBFM management and female and outer hamlet participation. Interviews will be randomly stratified by wealth, gender and involvement in village government, and explore both objective (e.g. assets, access to resources) and subjective (e.g. self-esteem, recognition, security) benefits.

We will also assess factors that influence economic and environmental sustainability, e.g.

- size of the managed area
- local timber processing (5 villages will have access to a portable sawmill; there are greater market opportunities for sawn timber than for roundwood)

#### 2. Forest surveys:

Forest surveys will assess the level of degradation<sup>10</sup> on general land compared to forests under CBFM. The community and forest surveys will work in the same villages/reserves. We will survey 10 pairs of matched forests (similar in all characteristics but governance). We have already assembled a forest degradation database for wider comparisons with other forests, including government-managed reserves. Finally, recent advances in radar-based forest degradation monitoring<sup>11</sup> will be used to up-scale the ground data to assess the impact of CBFM for the entire coastal region, and if possible, more widely.

#### 3. Implementing and sharing good practice

We will provide governance/financial management and equity/gender training for 450 local leaders (members of forest management committee and village councils) to support implementation of survey based recommendations and general best practice in 10 communities

<sup>10</sup> Ahrends, A., Burgess, N.D., Milledge, S.A., Bulling, M.T., Fisher, B., Smart, J.C., Clarke, G.P., Mhoro, B.E. and Lewis, S.L., Predictable waves of sequential forest degradation and biodiversity loss spreading from an African city. *Proceedings of the National Academy of Sciences*, 201. 107(33), pp.14556-14561.

<sup>11</sup> Ryan, C.M., Hill, T., Woollen, E., Ghee, C., Mitchard, E., Cassells, G., Grace, J., Woodhouse, I.H. and Williams, M., Quantifying small-scale deforestation and forest degradation in African woodlands using radar imagery. *Global Change Biology* 2012. 18(1), pp.243-257.

(~21,500 constituents). Gender issues will be given particular attention with a specific training provided by KIWOPAU.

**4. Capacity building:**

We will work with three district offices to increase their capacity to advise communities and to change attitudes and working practices (e.g. to achieve that the CBFM revenue shares paid by communities to districts are re-invested into villages and CBFM).

**5. Awareness raising and stakeholder exchange:**

We will raise awareness on forest and CBFM in 10 communities (~21,500 people). We will also capture community perceptions through participatory video exercises in eight villages (with and without CBFM). A stakeholders' forum will be conducted in Year 3 to enable sharing of good practice amongst communities, discuss progress, and screen participatory videos to Government, village representatives, CSOs and private sector.

**6. Policy engagement/lobbying:**

We will engage with decision makers through a workshop organised by the government partner. All recommendations will be summarised in a final report for policy makers and CBFM managers.

RBGE: overall management. MCDI: in-country coordination; community work. COSTECH/WWF: coordination of forest surveys; policy engagement. A steering committee representing all involved institutions: general oversight; monitoring and evaluation.

**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.

(Max 500 words)

Decision makers and forest managers in Tanzania and more widely will have an enhanced understanding of the current strength and weaknesses of CBFM, and be in a position to strategically improve CBFM for up-scaling. The project will look into the following main issues and provide piloted and trialled recommendations to facilitate improvements/changes in working practices:

- (1) Any hindering factors (cultural or practical) to intra-community equity and how these can be overcome (e.g. reduced fees for harvesting licences for poor members of the community and balanced gender representation and participation in village committees).
- (2) CBFM impacts on forest condition.
- (3) The conditions under which CBFM can be profitable and self-sustaining, and the presence and importance of non-monetary benefits such as security, pride and resilience to natural disasters.

Over the lifetime of the project, at least ten non-CBFM communities (~21,500 people) will be more aware of the importance of forests and the possibility to take part in CBFM (and of their rights and responsibilities under such schemes). A minimum of ten CBFM communities (c. 21,500 people) will benefit from training and assistance in implementing improved CBFM practice, leading to better management, governance and greater levels of equity. The women in these 20 communities (CBFM and non-CBFM) will benefit from a specific training on gender issues, which aims to understand and address as appropriate cultural and practical barriers to their participation in decision making processes. We expect the proportion of female participants in village committees to increase to at least 35%. In addition, at least five of the CBFM communities (c. 10,000 people) will be provided with access to a portable sawmill for

more efficient and profitable log processing (sawn wood is easier and more profitable to sell than roundwood). The project will generate evidence of the utility of this approach, and if successful these data will make a strong case for leveraging additional funding for up-scaling this approach to benefit more communities. Finally, 40 district staff will have enhanced capacity to advise local communities.

Towards the end of the project a stakeholder forum will provide an opportunity for at least 20 CBFM communities to share best practice with each other and to liaise with government and private sector for further increase benefits and spread best practice.

The project will work with local communities in the highly biodiverse coastal forests, which are acutely threatened by large-scale unregulated timber extraction and clearance. Community ownership of forest land is likely to reduce these otherwise undetected activities. The proof of concept, management recommendations, baseline data, training manuals and attitude shifts generated by this project will be relevant for up-scaling CBFM in Tanzania – in the coastal forest area and more widely. There are a total of 170,000 km<sup>2</sup> of unreserved forest in Tanzania. These areas are disappearing rapidly. The project aims to create the enabling conditions for CBFM to be rolled out more widely to improve governance of these areas, to reverse degradation, and to generate benefits for communities.

### 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.

(Max 300 words)

This project aims to reduce gender inequality in CBFM villages and to increase female participation in village committees to at least 35% - the recommended minimum by the Tanzanian Government, which is far from fulfilled. However, representation is not the same as actual participation. The applicant team has identified the following barriers:

1. Some men do not allow their wives to participate in committees, thinking that women should stay at home, cook and look after the children.
2. Some women are reluctant to participate in forest management committees (even if they are elected) as they consider forest work a men's job.
3. Women are often passive observers (i.e. they attend committee meetings but do not contribute and/or default to the views expressed by men)

These gender issues are not unique to CBFM but rather might be catalysed by the formation of CBFM - improved if given attention, or reinforced if not. A survey by members of the applicant team showed that women's level of hope was significantly lower than men's in both CBFM and non-CBFM villages. A main factors that positively influenced hope was education.

Consequently, the project will deliver specific training on gender issues in 10 CBFM and 10 non-CBFM villages to discuss and address as appropriate cultural and practical barriers for women to receive education and be part of decision making processes. Ultimately, a big cultural shift is required to achieve gender equality and it would not be feasible nor appropriate for the project to attempt to achieve this, but it can contribute to the development of foundations and help catalyse change.

All data for indicators at village and household levels will be gender disaggregated, and we will measure perceptions of women's rights and the expectations placed upon them before and after the gender training.

## 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 will reach a stable and sustainable end point for the 10 CBFM pilot villages / forest reserves and with respect to written outputs relating to science and future management recommendations. However, the project is also part of a progressive approach in that it aims to create enabling conditions for up-scaling CBFM and to develop a model for best practice that can be rolled out to non-CBFM communities.

The general policy environment in Tanzania is likely to continue to be positive for CBFM with the new (yet unpublished) Forest Policy acknowledging the contribution of CBFM to forest governance. The policy highlights insufficient capacity and training at village level as one of the main hindering factors for up-scaling CBFM. The project aims to generate the necessary capacity and awareness in pilot villages and district governments, and the training materials will be made available more widely.

MCDI will continue to work with CBFM villages and those wishing to participate in CBFM. The other project partners will continue influence relevant policy processes and to provide underpinning knowledge through continued research on CBFM/forest governance in Tanzania. WCMC will feed results into international policy debates and into negotiations on the post 2020 agenda.

## 17a. Harmonisation

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

(Max 200 words)

CBFM is not new in itself but due to several short comings its implementation in Tanzania has stagnated. The project is a new initiative in that it will provide a rigorous and comprehensive assessment of current potential and limitations, and provide practical solutions for short-comings. Thus, the scientific outputs (e.g. a detailed understanding of how CBFM impacts on forest condition, a greater understanding of short-comings in the current implementation e.g. related to gender issues, and a greater understanding of the subjective/non-monetary benefits of CBFM), the training elements, the intensive work with pilot villages, districts and national government are all new initiatives. Their combined aim is to move CBFM to a 'new level' in terms of uptake and quality of the implementation.

## 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](#).



(Max 300 words)

All of the Darwin Initiative's key principles for good and ethical project implementation practice and research will be adhered to. This includes strict adherence to all Nagoya Protocol and CITES regulations (no material will be moved outside of Tanzania; instead all specimens will be deposited at the University of Dar es Salaam herbarium). The project includes strong leadership from Tanzanian institutions with MCDI being the lead implementer of this project. In addition, the communities directly involved will have strong leadership in that 450 people will benefit from capacity building, allowing them to implement improved CBFM management practices in their own villages (with a specific focus will be on addressing issues such as gender inequalities and/or exclusion of vulnerable groups). The project will serve as an advisor and lay a foundation for change, but ultimately it is the communities themselves that lead on the change. Communities will also have a chance to communicate their views to government, NGOs and private sector at the final stakeholder forum and through the participatory video exercise. During the communities surveys strict standards will be adhered to ensure the rights, privacy and safety of the people who are providing information. All data will be strictly anonymised and presented in aggregate format only. The health and safety of all project staff will be ensured and we will follow standard risk assessment protocols, including provision of insurance and first aid materials. In addition, the forest survey staff will have a membership with the African Flying Doctors service and at least one person in each group will be trained in first aid. Emergency and H&S plans will be developed and shared with all staff. The project meets all the legal and ethical obligations of the UK and Tanzania and the UK Government's human rights obligation and values.

### **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 raise awareness at all levels – communities, districts, national government level and internationally.

At the village level the project will engage with 10 non-CBFM communities (as part of the surveys in these communities) and discuss with them the importance of forests to their livelihoods (and more widely) and make them aware of the possibility of participating in CBFM schemes. Already existing awareness raising material on forests and a step-by-step guide for CBFM (developed by the Ministry for Natural Resource and Tourism) will be adapted as appropriate and distributed.

In Year 3 the project will call a stakeholder meeting to engage with communities more widely, district officers and the private sector. It will also call at least one workshop with national level decision makers. These meetings will convey messages about the importance of the coastal forests as a hotspot for biodiversity and a critically important supply of goods and services to local communities and the nation. Products/materials will include the participatory videos, presentations, a final project report and recommendations (to be launched in the presence of major stakeholders and significant national media). We will also use other regional forums to present such as the East African Timber Trade Stakeholder Forum, the Tanzania National Resources Forum and the National Association of Foresters.

The project will engage with the wider (international) public through the use of (social) media. WWF has excellent contacts to the Tanzanian media and will ensure national TV, radio and newspaper coverage. The UK and US based institutions will ensure media coverage more widely, and the Royal Botanic Garden will use its visitor engagement facilities (attracting c. one million people annually) to show a video about the Tanzanian coastal forests.

Finally, the international scientific and conservation community will be reached via at least one peer-reviewed open access publication.

## 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)

We will build capacity on different levels:

(1) **Villages**: 450 leaders from 10 pilot CBFM villages will be provided with skills and knowledge to improve CBFM governance (workshops). This training and its outcomes will be shared with other villages at the stakeholder forum in Year 3. In addition, the project will update and distribute to interested communities a brief document that lays out what CBFM is, the steps for setting it up, and the process of day-to-day management. This is to assist communities who would like CBFM but feel unable to navigate the bureaucracy. MCDI will continue to work with both CBFM communities and those wishing to establish CBFM after the project ends.

(2) **District** staff will receive training in CBFM (workshops) in order to increase their appreciation of CBFM and willingness to reinvest revenue. The training material will be shared with other districts.

(3) **National** stakeholders: The project will produce recommendations for CBFM managers and decision makers for rolling out a model of best practice CBFM to non-CBFM villages (final report and presentations).

(4) Finally, the project will build the capacity of the **individuals** involved (e.g. three early-career Tanzanian researchers involved in the community surveys).

## 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.

(Max 250 words)

The project will make the forest survey data collated in this and previous projects available to the Government and other relevant stakeholders in the form of a database. These data will form a baseline for future forest surveys. They will also feed into Tanzania's Biodiversity Information Management Tool (developed by COSTECH). The results from the community surveys will be available in the report in aggregated and strictly anonymized format to ensure the rights, privacy and safety of individuals who provided the data.

Both the final project report and the peer-reviewed publication will be made freely available (in print form and digitally on a project website).

The satellite data based analysis of forest degradation for the wider coastal area (to understand the impact of governance type on forest condition) will be undertaken using freely available software, and the methodology will be shared in an open access peer-reviewed publication.

## 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
<p><b>Impact:</b> (Max 30 words) CBFM is scaled up in Tanzania's high-biodiversity forests, reducing large-scale illegal extraction/clearance. Communities have access to forest resources, contributing to a sustainable and equitable income and greater resilience to disasters.</p>			
<p><b>Outcome:</b> (Max 30 words) Evidence-based assessment of limiting factors for CBFM. Piloted and trialled approaches for increasing equity, gender balance and sustainable benefits to provide a model for rolling out CBFM to non-CBFM communities.</p>	<p>0.1 Rigorous assessment of factors currently limiting the potential of CBFM (based on survey of both forests and communities) and recommendations for improved practice produced by 2020.</p> <p>0.2 Access to forest resources and the distribution of CBFM benefits is more equitable in the 10 pilot villages by 2020: at least 35% of representatives in forest management committees will be women. In addition, at least 80% of respondents in the poorest group perceive CBFM as fair.</p> <p>0.3 Recommendations are developed for making CBFM more equitable and sustainable by 2020. There is a clear understanding of how reserve size and access to a portable sawmill impact on profits (the latter is expected to increase profits by US\$2 per ha per year; e.g. US\$1,000 per village with a 500 ha reserve), and whether current harvesting quotas are sustainable.</p> <p>0.4 A final project workshop in 2021 to discuss how to scale-up CBFM is</p>	<p>0.1 A summary report and database based on surveys of 20 villages and 20 forests (forest surveys scaled-up to entire region using satellite-born radar products)</p> <p>0.2 Community surveys in Yr 1 establish baseline. MoV for change: FGD in Yr 2; annual community reports to MCDI; community feedback at the stakeholder forum; participatory videos</p> <p>0.3 Community and forest survey reports and database. Community reports to MCDI</p> <p>0.4 Attendance list and minutes of workshop, newspaper articles and clips</p>	<ul style="list-style-type: none"> <li>• Communities feel able to share accurate information (data strictly anonymized and no government officials will be present during surveys)</li> <li>• Women desire greater participation in forest management issues</li> <li>• Marginalised members of local communities do not feel intimidated to share their perceptions</li> <li>• Key decision makers can attend the workshop – if not they will be visited by the project team in person</li> <li>• Satellite-born radar products can detect degradation (i.e. changes in forest quality that do not result in complete canopy loss) in the Tanzanian coastal forests. These technologies are at the forefront of research. However, even if this component proved difficult this would be a relevant result for Tanzanian forest authorities. As a fall-back existing remotely sensed forest maps can be used to measure forest loss.</li> </ul>

	attended by high-level decision makers within the central government (e.g. Chief Executive of Tanzanian Forestry Services), at least three district governments, CSOs, community representatives and private sector. It also attracts significant media coverage.	of radio and TV coverage	
<b>Outputs:</b> <b>1.</b> Evidence based policy and management recommendations for increasing economic, environmental and social sustainability of CBFM	<p>1.1 20 communities have been surveyed by 2019 and follow-up FDGs have been conducted by 2020</p> <p>1.2 8 villages (with and without CBFM) have produced participatory videos by 2020 (to be screened at the stakeholder forum and the final project workshop to have community voices heard at higher government levels).</p> <p>1.3 20 forests have been surveyed by 2019 and the results have been up-scaled based on radar-based remote sensing</p> <p>1.4 Evidence based assessment of current limitations and recommendations for improved CBFM practice have been prepared by 2020</p>	<p>1.1 Survey reports and a digital database/spreadsheet</p> <p>1.2 Participatory videos</p> <p>1.3 Survey report and digital database on levels of degradation in CBFM reserves versus general land and other governance types</p> <p>1.4 Assessment report and list of recommendations</p>	<ul style="list-style-type: none"> <li>• All necessary research permits can be obtained from COSTECH</li> <li>• Communities have an interest to participate in video production</li> </ul>
<b>2.</b> Ten pilot CBFM villages are trained in best CBFM practice and they implement improved approaches, leading to greater (gender) equity and benefits. Attitude barriers to female participation in committees are shrinking.	<p>2.1 450 local leaders representing ten CBFM communities have received financial/governance training by 2019, enabling them to implement the recommendations for improved CBFM practices</p> <p>2.2 Governance structures in the 10 pilot CBFM villages have been improved to e.g. increase gender balance in decision making processes by 2020</p>	<p>2.1 Training materials and certificates</p> <p>2.2 Community surveys in 2018/19, FGD in 2020, annual community reports to MCDI, participatory videos, participant reports at the stakeholder forum in 2021</p>	<ul style="list-style-type: none"> <li>• Interest in CBFM communities to share information amongst each other and to liaise with other stakeholders remains high</li> <li>• The private sector remains interested in sustainable timber products</li> </ul>

	<p>2.3 5 pilot villages are trialling the utility of a portable sawmill by 2019 for increasing market access and profits</p> <p>2.4 More than 25% of the participants of training on gender issues in ten CBFM and ten non-CBFM villages, who previously stated attitudes that would limit female participation in decision making processes (women should be charge of households, etc.) change their attitudes at the end of the training.</p>	<p>2.3 Community surveys in 2018/19, annual community reports to MCDI, participatory videos, participant reports at the stakeholder forum in 2021</p> <p>2.4 Quick attitude surveys before and after the training (e.g. using boards with the option to place sticky notes to indicate levels of agreement with a certain statement)</p>	
<p><b>3.</b> Piloted and trialled approaches to increase benefits and equity of CBFM are shared between villages and with government and other stakeholders, leading to a wider change in CBFM working practices. Conditions are in place for non-CBFM communities to receive the advice and support required to set up CBFM.</p>	<p>3.1 40 district staff from 3 districts have been trained and made aware of the contribution of CBFM to district revenue and people's livelihoods by 2020</p> <p>3.2 Local authorities (in at least 3 districts) re-invest the 5% revenue share from CBFM communities back into districts into villages CBFM by 2021</p> <p>3.3 10 non-CBFM communities visited in 2018/9 will initiate discussions with community members on the possibility of participating in CBFM</p> <p>3.4 At least 8 non-CBFM communities submit an application for CBFM (being able to navigate the bureaucracy and receiving adequate support and advice from districts (therewith brining a minimum of 4,000 ha more forest into sustainable management if their applications are successful).</p>	<p>3.1 Training materials; questionnaires done before and after training demonstrating increased knowledge and appreciation</p> <p>3.2 Letter from the Prime Minister's Office for Regional Administration and Local Government to districts; annual district plans and budgets (baseline data on current levels of re-investment (0%) are already collated)</p> <p>3.3 FGD in 2020</p> <p>3.4 Annual MCDI reports and information requested from district office</p>	<ul style="list-style-type: none"> <li>• The central government remains in favour of decentralisation and CBFM</li> <li>• Non-CBFM communities do not feel intimidated to approach the project and/or the district council</li> </ul>

	3.5 A stakeholder forum for sharing trialled recommendations on best CBFM practice in 2021 brings together representatives from at least 20 CBFM communities, government representatives, and private sector	3.5 Attendance list of stakeholder forum and a document summarising discussions, stakeholder perspectives and major recommendations	
4. Scientific outputs and policy and management recommendations developed and shared with relevant target audiences (at regional, national and global levels)	<p>4.1 A report for policy makers and CBFM managers is produced with (piloted) recommendations for increasing benefits, equity and scale of CBFM by 2021</p> <p>4.2 The report will be launched at a workshop with major stakeholder representation and in addition at least 100 copies are requested or downloaded from project website by 2021</p> <p>4.3 A scientific paper on the potentials and limitations of CBFM is submitted to a journal (open access) by 2021</p> <p>4.4 Feedback is provided to the Wildlife Division (Ministry of Natural Resources and Tourism - responsible for the national implementation of CITES) on the impact of <i>Dalbergia</i> spp. listing on economic returns for sustainable timber harvesting for local communities by 2021</p>	<p>4.1 Report</p> <p>4.2 Emails requesting report, website download statistics</p> <p>4.3 Journal confirmation email</p> <p>4.4 workshop participant list and confirmation email from the Wildlife Division acknowledging receipt of the information</p>	<ul style="list-style-type: none"> <li>We can track the distribution of the report (it may be shared from person to person instead of direct requests to us and the website)</li> </ul>
<p><b>Activities</b> (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)</p> <p><b>Output 1: Evidence based policy and management recommendations for increasing economic, environmental and social sustainability of CBFM</b></p> <p>1.1 Application for research permit</p> <p>1.2 Survey of 20 forests (10 CBFM + 10 forests on general land) to assess CBFM impacts on forest quality/biodiversity. Up-scale results based on remotely sensed products.</p> <p>1.3 Survey of 20 communities (10 CBFM + 10 non-CBFM) to</p> <p>a) establish baselines with respect to benefits and equity of CBFM (for 4 communities there is already data from 2014)</p>			

b) compare communities with and without CBFM and to characterise the added values of CBFM

c) establish what factors influence profits / economic sustainability of CBFM (the CBFM areas will vary in size and half of the surveyed CBFM communities will have access to a portable sawmill)

- 1.4 Creation and screening of participatory videos (2 in Yr 1 and 6 in Yr 2). These videos provide feedback on CBFM for managers, and they can assist in awareness raising with non-CBFM communities and decision makers.
- 1.5 Focus Group Discussions in the 20 surveyed villages to reflect findings from the survey and fine-tune recommendations for improving equity (or establishing a CBFM).
- 1.6 Formulate policy and management recommendations for improved CBFM practice (e.g. focusing on increasing (gender) equity, and factors that influence sustainability). These recommendations will be shared regionally with communities and district staff (e.g. training, stakeholder forum), and more widely (e.g. final report and workshop for national level stakeholders, scientific papers).

**Output 2: Ten pilot CBFM villages are trained in best CBFM practice and they implement improved approaches, leading to greater (gender) equity and benefits**

- 2.1 Provide governance, financial management and gender equity training for 450 local leaders (forest management committees/village council members) from 10 pilot communities
- 2.2 Assist the communities in implementing improved practices
- 2.3 Outreach on gender issues in the 10 CBFM and 10 non-CBFM villages (to discuss and address as appropriate cultural and practical barriers for greater gender equality)

**Output 3: Piloted and trialled approaches to increase benefits and equity of CBFM are shared between villages and with government and other stakeholders, leading to a wider change in CBFM working practices. Conditions are in place for non-CBFM communities to receive the advice and support required to set up CBFM**

- 3.1 Training for 40 district officers from 3 districts to raise awareness on the contribution of CBFM to district revenues, forest conservation and community livelihoods.
- 3.2 Update and distribute to interested communities a brief document (in Kiswahili) that lays out what CBFM is, the steps for setting it up, and the process of day-to-day management. The document aims to assist communities that would like CBFM but feel unable to navigate the bureaucracy. It also aims to assist the work of MCDI and district staff. (Such a document has already developed by Tanzania's Ministry for Natural Resources and Tourism but it may require some changes to make it fit for purpose).
- 3.3 Local stakeholder forum with representatives from at least 20 communities, government and private sector to share ideas on best CBFM practice.

**Output 4: Scientific outputs and policy and management recommendations developed and shared with relevant target audiences (at national and global levels)**

- 4.1 Write a report for policy makers and CBFM managers with (piloted) recommendations for increasing benefits, equity and scale of CBFM, and an evidence-based comparison of levels of degradation in CBFM reserves versus unreserved forests. The report will also provide feedback to the Wildlife Division (national implementation of CITES) on whether the recent listing of *Dalbergia* spp. impacts on economic returns of sustainable timber harvesting by local communities.)
- 4.2 Organise workshop with major stakeholders at national level (Forest and Beekeeping Division, Tanzanian Forestry Services, Prime Minister's Office for Regional Administration and Local Government, Wildlife Division, Local Authorities, CSOs, village representatives and national media) to launch report.
- 4.3 Write and submit a scientific paper on the potentials and limitations of CBFM in an open access journal



**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
<b>Output 1 Evidence based policy and management recommendations for increasing economic, environmental and social sustainability of CBFM</b>												
1.1 Application for research permit	3											
1.2 Survey of 20 forests (10 CBFM + 10 forests on general land) to assess CBFM impacts on forest quality/biodiversity. Up-scale results based on remotely sensed products.	8											
1.3 Survey of 20 communities (10 CBFM + 10 non-CBFM) to <ul style="list-style-type: none"> <li>establish baselines with respect to benefits and equity of CBFM (for 4 communities there is already data from 2014)</li> <li>compare communities with and without CBFM and to characterise the added values of CBFM</li> <li>establish what factors influence profits / economic sustainability of CBFM (the CBFM areas will vary in size and half of the surveyed CBFM communities will have access to a portable sawmill)</li> </ul>	8											
1.4 Creation and screening of participatory videos (2 in Yr 1 and 6 in Yr 2). These videos provide feedback on CBFM for managers, and they can assist in awareness raising with non-CBFM communities and decision makers.	15											
1.5 Focus Group Discussions in the 20 surveyed villages to reflect findings from the survey and fine-tune recommendations for improving equity (or establishing a CBFM).	2											
1.6 Formulate policy and management recommendations for improved CBFM practice (e.g. focusing on increasing (gender) equity, and factors that influence sustainability). These recommendations will be shared regionally with communities and district staff (e.g. training, stakeholder forum), and more widely (e.g. final report and workshop for national level stakeholders, scientific papers).	3											

<b>Output 2</b>	<b>Ten pilot CBFM villages are trained in best CBFM practice and they implement improved approaches, leading to greater (gender) equity and benefits</b>												
2.1	Provide governance, financial management and gender equity training for 450 local leaders (forest management committees/village council members) from 10 pilot communities	5											
2.2	Assist the communities in implementing improved practices	2											
2.3	Outreach on gender issues in the 10 CBFM and 10 non-CBFM villages (to discuss and address as appropriate cultural and practical barriers for greater gender equality)	1											
Output 3	Piloted and trialled approaches to increase benefits and equity of CBFM are shared between villages and with government and other stakeholders, leading to a wider change in CBFM working practices. Conditions are in place for non-CBFM communities to receive the advice and support required to set up CBFM.												
3.1	Training for 40 district officers from 3 districts to raise awareness on the contribution of CBFM to district revenues, forest conservation and community livelihoods	1											
3.2	Development of a brief document (in Kiswahili) that lays out what CBFM is, the steps for setting it up, and the process of day-to-day management. The document aims to assist communities that would like CBFM feel but feel unable to navigate the bureaucracy. It also aims to assist the work of MCDI and district staff.	3											
3.3	Local stakeholder forum with representatives from at least 20 communities, government and private sector to share ideas on best CBFM practice	1											
Output 4	Scientific outputs and policy and management recommendations developed and shared with relevant target audiences (at national and global levels)												
4.1	Write a report for policy makers and CBFM managers with (piloted) recommendations for increasing benefits, equity and scale of CBFM, and an evidence-based comparison of levels of degradation in CBFM reserves versus unreserved forests. The report will also provide feedback to the Wildlife Division (national implementation of CITES) on whether the recent listing of <i>Dalbergia</i> spp. impacts on economic returns of sustainable timber harvesting by local communities.)	3											
4.2	Organise workshop with major stakeholders at national level (Forest and Beekeeping Division, Tanzanian Forestry Services, Prime Minister's	3											

Office for Regional Administration and Local Government, Wildlife Division, Local Authorities, CSOs, village representatives and national media) to launch report.												
4.3 Write and submit a scientific paper on the potentials and limitations of CBFM in an open access journal	3											

## 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.

(Max 500 words)

M&E will be overseen by the project steering committee consisting of representatives of all partner organisations.

The forest surveys (**Output 1**) serve to establish the current environmental sustainability of CBFM and will be overseen by COSTECH and RBGE. The team will collect data on standing and cut trees and use these data to infer levels of degradation, biodiversity and carbon storage in each of the surveyed reserves (10 CBFM areas and 10 areas on general land). RBGE will combine these data with previously collated data from other forested areas to establish how governance (and other factors such as vicinity to Dar es Salaam) impact on forest quality. RBGE will also team up with the University of Edinburgh to supervise a Geosciences MSc student who will use the ground data combined with satellite data for the production of a degradation map covering the entire coastal forest area. This will allow assessing the impact of governance more widely. The results from the forest surveys will (1) feed into the recommendation report for CBFM managers and policy makers and (2) inform the training with the local communities and districts (for example there may be a need to review harvesting quotas to ensure that harvesting is truly sustainable).

The community surveys (**Output 1 and 2**) serve to establish the degree to which CBFM is equitable and economically sustainable and they will be overseen by MCDI and Allegheny. The community surveys are split into different parts (initial surveys Yr 1, followed up by focus group discussions in Yr 2, and participatory videos also mainly in Yr 2). In addition, the CBFM villages submit annual reports to MCDI with work plans and budgets. In combination, these means of verification will allow us to define baselines and to establish whether the training has made a measurable difference. As is the case with the forest surveys, the community survey results will feed into the recommendation report and they will inform the training for communities and districts.

Women's perception of their rights and of common expectations such as 'forest matters are for men to decide', 'women need to have children', 'domestic violence is acceptable', will be reviewed before and after the gender issue training by KIWO PAU.

M&E for **Output 3** will be conducted by MCDI. MCDI will conduct brief surveys of the level of awareness and attitudes towards CBFM of district staff before and after the training. In addition, MCDI will organise the stakeholder forum in Yr 3, where communities and districts will be requested to report on changes made.

Successful communication to major national stakeholders and decision makers (**Output 4**) will be monitored and evaluated by COSTECH and WWF. They will organise workshops with a view on influencing attitudes and policy processes. The minutes of these meetings and workshop reports will form the basis for M&E. In addition, RBGE will track distribution/download statistics for the final report (in the future) citations for the peer-reviewed publications.

Number of days planned for M&E	280
Total project budget for M&E	£54,755
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.

(max 300 words)

All involved organisations have decades of experience of working in this field and all costs are realistic and have been kept to a minimum.

In drawing up the budget we have reduced the salary recharge for UK and US based partners as much as possible, meaning that the vast majority of the funds will be spent in-country on project operational costs. RBGE is contributing the majority its staff salaries (55%) and overhead costs as matched funding. RBGE will also contribute local travel and other project running related costs and consumables, and the satellite based production of forest degradation maps. The latter will be done as part of an MSc project that RBGE will supervise in collaboration with the University of Edinburgh and the project will draw in RBGE's computing and software resources. In addition, the UK and US partners are contributing a large part of the international travel costs as matched funding – amounting to over £10K in total. MCDI are contributing 30% of the salary of a senior member of staff and they are also not charging for full overheads and office space. The portable sawmill – a major capital item – has already been purchased and is operational, i.e. the infrastructure and expertise for its use is already in place. The project will also reutilise forest survey equipment (tents, GPS, etc.) and portable video screening equipment (laptop, sound system, projector, portable screen) from a previous project – again leading to reduced costs.

### 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.

(max 150 words)

We are planning to purchase a second-hand car for the forest surveys (around £6,000). This car will remain with the lead host-country partner (MCDI) following project end.

### 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:**

RBGE salaries (55%): £XX,XXX

RBGE overheads (all): £XX,XXX

RBGE T&amp;S: £X,XXX

RBGE other (open access paper, software, survey equipment, etc.):

£XX,XXX

MCDI portable sawmill: £XX,XXX

MCDI salaries: £XX,XXX

MCDI overheads: £X,XXX

MCDI office rent: £X,XXX

WCMC flights and local transport: £X,XXX

Allegheny flights: £X,XXX

**TOTAL: £XXX,XXX (34%)****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

**27c) None**

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

(max 100 words)

**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.

(max 200 words)

RBGE has extensive experience in handling grants in an international context and also specifically in a Tanzanian context. Procedures are in place to ensure all project funds are transferred efficiently subject to satisfactory delivery of outputs and correct use of the funds. To this end we draw up agreements with partner organisations and request evidence for all expenditure and of the work achieved. The project log-frame will be used to specify outputs and delivery dates, and funding will be released to partners in stages. There is a policy of zero tolerance to fraud and bribery. The applicant team has a long standing partnership and experience in jointly implementing and financially managing projects. The budget also accounts for fluctuation in exchange rates (i.e. risks beyond our control).



### 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/company\* of  
(\*delete as appropriate)

I apply for a grant of £357,322 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

<b>Name (block capitals)</b>	PETER M HOLLINGSWORTH
<b>Position in the organisation</b>	Deputy Keeper and Director of Science

**Signed\*\***  **Date:**

**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 <b>read the <a href="#">Guidance</a></b> ?	✓
Have you read and can you meet the current <a href="#">Terms and Conditions</a> for this fund?	✓
Have you provided <b>actual start and end dates</b> for your project?	✓
Have you provided your <b>budget based on UK government financial years</b> i.e. 1 April – 31 March and in GBP?	✓
Have you checked that your <b>budget is complete</b> , correctly adds up and that you have included the correct final total on the top page of the application?	✓
Has your application been <b>signed by a suitably authorised individual</b> ? (clear electronic or scanned signatures are acceptable)	✓
Have you included a <b>1 page CV for all the key project personnel</b> identified at Question 6 and Question 10?	✓
Have you included a <b>letter of support from your <u>key</u> partner organisations</b> identified at Question 9?	✓
Have you <b>been in contact with the FCO</b> in the project country/ies and have you included any evidence of this?	Checked FCO travel guidance
Have you included a <b>signed copy of the last 2 years annual report and accounts</b> for the lead organisation?	✓
Have you <b>checked the Darwin website</b> immediately prior to submission to ensure there are no late updates?	✓

Once you have answered the questions above, please submit the application, not later than 2359 GMT on Monday 29 January 2018 to [Darwin-Applications@ltsi.co.uk](mailto: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.