

# **DIR27S2\1049**

## **Himalayan plants for people: sustainable trade for biodiversity and development**

This project aims to secure local incomes and healthcare, threatened by declining biodiversity and natural resource access, linked to overharvest of medicinal species in Nepal's high Himalayas. It scales up a market-based model for sustainable, equitable trade across high-priority plant species and districts, while driving integration of non-timber forest products (NTFPs) into Community Forestry nationally.

Locally-led activities include participatory inventories of NTFPs; training >5,000 harvesters/processors; enhancing Community Forest management and trade; and policy engagement to incentivise sustainable local biodiversity management.

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## Section 1 - Contact Details

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### PRIMARY APPLICANT DETAILS

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Name Caroline  
Surname Gill  
Organisation TRAFFIC International  
Website (Work) www.traffic.org  
Tel (Work) [REDACTED]  
Email (Work) [REDACTED]  
Address [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

### CONTACT DETAILS

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Name Anastasiya  
Surname Timoshyna  
Organisation TRAFFIC International  
Website www.traffic.org  
Tel [REDACTED]  
Email [REDACTED]  
Address [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

### GMS ORGANISATION

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Type	Organisation
Name	TRAFFIC International
Phone	[REDACTED]
Email	[REDACTED]
Website	[REDACTED]
Address	[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]

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## Section 2 - Title, Dates & Budget Summary

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### Q3. Project title:

Himalayan plants for people: sustainable trade for biodiversity and development

### What was your Stage 1 reference number? e.g. DIR27S1\100123

DIR27S1\1773

### Q4. Country(ies)

Which eligible host country(ies) will your project be working in? Where there are more than 4 countries that your project will be working in, please add more boxes using the selection option below.

Country 1	Nepal	Country 2	No Response
Country 3	No Response	Country 4	No Response

Do you require more fields?

No

### Q5. Project dates

**Start date:**

01 July 2021

**End date:**

30 June 2024

**Duration (e.g. 2 years, 3 months):**

3 years

### Q6. Budget summary

Year:	2021/22	2022/23	2023/24	2024/25	Total request
Amount:	£112,664.00	£167,488.00	£176,983.00	£40,994.00	£498,129.00

Q6a. Do you have matched funding arrangements?

Yes

What matched funding arrangements are proposed?

Confirmed matched in-kind contributions from TRAFFIC, University of Oxford and University of Copenhagen. The universities' contribution will support project members' staff costs.

TRAFFIC's project 'Wild at Home' (funded by the Swedish Postcode Foundation, August 2020—July 2022) works across wild plant trade chains in multiple target countries including Nepal. This will provide a confirmed matching contribution through TRAFFIC staff costs support, events participation (e.g. trade shows), and project communications.

Unconfirmed in-kind matching contributions are proposed from industry in Nepal and internationally, to contribute to costs of certification, quality improvements and processing equipment for non-timber forest

products (NTFPs).

**Q6b. Proposed (confirmed and unconfirmed) matched funding as % of total project cost (total cost is the Darwin request plus other funding required to run the project).** ■

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## **Section 3 - Project Summary**

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### **Q7. 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](http://GOV.UK).**

**Please write this summary for a non-technical audience.**

This project aims to secure local incomes and healthcare, threatened by declining biodiversity and natural resource access, linked to overharvest of medicinal species in Nepal's high Himalayas. It scales up a market-based model for sustainable, equitable trade across high-priority plant species and districts, while driving integration of non-timber forest products (NTFPs) into Community Forestry nationally.

Locally-led activities include participatory inventories of NTFPs; training >5,000 harvesters/processors; enhancing Community Forest management and trade; and policy engagement to incentivise sustainable local biodiversity management.

## **Section 4 - Darwin Objectives and Conventions**

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### **Q8. Objectives for the Darwin Initiative**

**Please indicate which of the fund objectives (listed on p.8 of the guidance) you will be addressing.**

- To understand and support action to address linkages between biodiversity and human health
- To promote the responsible stewardship of natural assets
- To promote the sharing of the benefits arising from the use of biodiversity
- Contributing towards reversing the increase in threats of extinction to the world's flora and fauna

### **Q9. Biodiversity Conventions, Treaties and Agreements**

**Q9a. Your project must support the commitments 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.**

- Convention on Biological Diversity (CBD)
- Nagoya Protocol on Access and Benefit Sharing (ABS)
- Convention on International Trade in Endangered Species (CITES)

- Global Goals for Sustainable Development (SDGs)

## Q9b. Biodiversity Conventions

**Please detail how your project will contribute to the aims of the agreement(s) your project is targeting. You should refer to Articles or Programmes of Work here.**

The project directly supports Nepal's commitments under CBD, CITES and ABS, principally via the management and sustainable use of wild-harvested species, improved incomes through fair trade using transparent cost calculations, fair relations between harvesters and buyers, and non-discrimination.

CBD: The project contributes to CBD objectives for sustainable use of biodiversity and equitable benefit sharing, the CBD Strategic Plan (2011-2020), and the draft Post-2020 Global Biodiversity Framework, Targets 3, 4 and 8. It supports Aichi Targets 1 (raising Community Forest User Groups' - CFUGs - awareness of sustainable use), 4 (working with Nepal's governments and herbal businesses to use target species sustainably), 7 (promoting sustainable management of Community Forests), 11 (boosting Community Forest value for area-based conservation), 14 (high-Himalayan ecosystems' contribution to health, livelihoods and wellbeing, inclusive of women and local communities), 16 (see Nagoya Protocol below), and 18 (respecting traditional uses of biodiversity).

The project contributes to Nepal's 35-year vision of "conservation of biodiversity for sound and resilient ecosystems and national prosperity", set out in its NBSAP. Specifically, it delivers against national priorities for the Kailash Sacred Landscape of: (i) innovative livelihoods, (ii) ecosystems management, (iii) access and benefit sharing.

It supports the Global Strategy for Plant Conservation, Targets 11-13 (sustainable use), relevant to plants wild-sourcing and international trade, which are particularly poorly implemented. Activities promote FairWild practices - a best-practice tool explicitly included within Global Strategy indicators of achievement (Targets 11,12).

CITES: The project contributes to CITES' aim "to ensure that international trade in specimens of wild animals and plants does not threaten their survival" and CITES Strategic Visions 2021-2030 (Res.Conf.18.3), by supporting best-practice, guidance and Community Forestry plans, for improved management and sustainable trade in NTFPs. It furthers Decisions 18.33-18.37 (Livelihoods) by demonstrating how sustainable use of CITES-listed medicinal plants can contribute to local livelihoods at scale.

The application of a voluntary standard to trade in CITES Appendix-II listed species, delivers on Decisions 18.300-18.303 ('Trade in medicinal and aromatic plant species'), and Resolution 16.6 ('CITES and Livelihoods'), which invited Parties "to explore the use of registered marks of certification and origin consistent with CITES provisions". It takes forward the UNCTAD finding on traceability systems for CITES-Appendix II & III medicinal plants, that "Forming a traceability project partnership with a wild-collected plant species standard (e.g. FairWild) might also help to facilitate the implementation of a traceability system by introducing financial benefits to local stakeholders, particularly small farm holders or local wild collectors." Ongoing project 25-018 successfully clarified Nepal's CITES Act (which had inadvertently banned trade in all CITES-listed species), to enable the trade in CITES Appendix-II listed species. This proposal builds on that, supporting CITES Authorities with CITES Non-Detriment Findings (NDFs) (responding to CITES PC23 Com.5), including contributing to the removal of Jatamansi from the Review of Significant Trade.

Nagoya Protocol. Practical methodologies for equitable, sustainable management and trade of wild plants will showcase a practical benefit-sharing mechanism that integrates sustainability of NTFPs into harvesting communities, supporting Articles 5, 6, 7, 9, 15 and 17.

## Q9c. Is any liaison proposed with the CBS / ABS / ITPGRFA / CITES / CMS / Ramsar / UNFCCC focal point in the host country?

- Yes

**If yes, please give details.**

ANSAB discussed the project proposal with the Ministry of Forests and Environment (MoFE): the CBD and CITES focal point of Nepal. MoFE have reviewed the proposal and found it highly relevant in: contributing to facilitate the policy process; creating awareness about CBD, CITES and ABS requirements among stakeholders; conducting population status assessment and monitoring of NTFPs; addressing combined threats to local incomes and healthcare of biodiversity loss, habitat degradation and declining access to natural resources linked to overharvest; and also could contribute to the activities envisioned by the NBSAP. A letter of support is attached.

## **Q9d. Global Goals for Sustainable Development (SDGs)**

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

SDG 1: Target communities were selected based on poverty and target NTFP species prevalence/reliance: the most recent human development report with district-level analysis (2014) ranks the project districts: Mugu (75th among 75 districts), Jumla (70th), Humla (68th), Bajhang (72th), and Darchula (52th). For most communities in these districts, NTFPs are the primary source of cash income without engaging in seasonal out-migration. Securing the resource base and increasing income from managed, sustainable access to NTFPs will reduce poverty.

SDG 3: Herbal medicines are widely used for health and wellbeing; contributing to sustainability and traceability also encourage product safety.

SDG 5: Wild-harvesting and primary processing involve women extensively. The project, backed up by FairWild Standard, requires gender equality, including target 5.5 on participation and decision-making.

SDG 8: Managed, sustainable trade can contribute to community economic development. The focus of the proposal is on species that have high economic importance, contributing extensively to livelihoods, to foster small enterprises (8.8) and decent work (8.5).

SDG 10: FairWild equality/non-discrimination principle helps secure benefits for wild-plant harvesters, among the most marginalised households.

SDG 12: the project supports sustainable management and use of natural resources (12.2) and sustainable company practices (12.6). Wild-plant trade involves complex inter-linkages between trade-chains, local benefits, and conservation; project findings for Nepal's economically important wild species therefore support 12.8.

SDG 15: the project promotes sustainable use (15.1) and management (15.2) of forests and mountain habitats; management plans to reduce biodiversity loss (15.5); and fair and equitable benefits to harvester groups (15.6).

## **Section 5 - Lead Organisation Summary**

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### **Q10. Lead organisation summary**

**Has your organisation been awarded a Darwin Initiative or IWT Challenge Fund award before (for the purposes of this question, being a partner does not count)?**

Yes

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

Reference No	Project Leader	Title
25-018	Anastasiya Timoshyna	Succeeding with CITES: Sustainable and equitable Jatamansi trade from Nepal
22-010	Madelon Willemsen	Enhancing management and benefit flows in Vietnam's wild medicinal products
IWT085	Sarah Ferguson	Social marketing to reduce demand for tiger products in Vietnam
IWT071	Ling Xu	Reducing demand for wildlife products among Chinese nationals in Laos
IWT042	Ling Xu	Combatting global wildlife cybercrime: building on success in China
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>

**Have you provided the requested signed audited/independently examined accounts? If you select "yes" you will be able to upload these. Note that this is not required from Government Agencies.**

Yes

**Please attach the requested signed audited/independently examined accounts.**

- |   |   |
|---|---|
| <input type="checkbox"/> <u>TRAFFIC FY20 Statutory Accounts</u> | <input type="checkbox"/> <u>FY19 Statutory Accounts file size small</u> |
| <input type="checkbox"/> 09/02/2021                             | <input type="checkbox"/> 09/02/2021                                     |
| <input type="checkbox"/> 13:59:31                               | <input type="checkbox"/> 13:58:20                                       |
| <input type="checkbox"/> pdf 2.04 MB                            | <input type="checkbox"/> pdf 1.75 MB                                    |

## Section 6 - Project Partners

### Q11. Project partners

**Please list all the partners involved (including the Lead Organisation) 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 Letters of Support for the Lead Organisation and each partner or explain why this has not been included.**

**N.B: There is a file upload button at the bottom of this page for the upload of a cover letter (if**

applicable) and all letters of support.

**Lead Organisation name:** TRAFFIC International

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**Website address:** www.traffic.org

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**Details (including roles and responsibilities and capacity to engage with the project):**

Role: TRAFFIC leads on the overall project implementation: administration, management, monitoring and evaluation. It coordinates all partner activities within Nepal. TRAFFIC's office in China will facilitate the connection to traditional Chinese medicine (TCM) stakeholders through established collaboration with China Association of TCM (CATCM) and China Wild Plant Conservation Association (CWPCA), facilitating exchanges, linkages and promoting sustainability for Nepal-China trade guidelines.

Capacity: TRAFFIC is a leading NGO working globally on trade in wild animals and plants in the context of biodiversity conservation and sustainable development. TRAFFIC employs over 150 staff globally. Programme offices in China and India provide direct stakeholder engagement pathways in the key markets for Nepal's NTFPs.

TRAFFIC promotes best practice in the botanicals sector to support conservation, healthcare and livelihoods and has extensive experience in CITES and CBD implementation for medicinal species. TRAFFIC helped co-develop the FairWild Standard, is a FairWild Foundation founding partner and hosts its staff. Anastasiya Timoshyna (Project Leader) is a Co-Chair of the IUCN Species Survival Commission Medicinal Plant Specialist Group.

As lead organisation, TRAFFIC has coordinated the proposal development and established the partnerships to enable this work. TRAFFIC leads current project 25-018, "Succeeding with CITES: Sustainable and equitable Jatamansi trade from Nepal".

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**Have you included a Letter of Support from this organisation?**  Yes

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**Have you provided a cover letter to address your Stage 1 feedback?**  Yes

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**Do you have partners involved in the Project?**

Yes

**1. Partner Name:** ANSAB Nepal

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**Website address:** www.ansab.org.np

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**Details (including roles and responsibilities and capacity to engage with the project):**

Lead project activities:

- implementing field work, including participatory resource inventories with Community Forestry User Groups (CFUGs) and training at least 5,000 harvesters/processors;
  - liaising with FECOFUN to integrate NTFPs into Community Forestry management plans;
  - national-to-local government liaison to facilitate legislation enabling export of CITES-listed species;
  - and supporting producers with implementing the FairWild Standard.
- ANSAB will apply expertise in practical methods and tools for biodiversity monitoring and participatory resource inventories; development and mobilisation of local resource persons; enterprise development, value-chain development and marketing; and supporting the government and other stakeholders' compliance with CBD and CITES.

Capacity: ANSAB is a civil society organisation committed to biodiversity conservation and livelihood improvement in South Asia. ANSAB has implemented conservation and development programmes in >30 districts of Nepal and provided policy inputs and services to the government and development partners in seven Asian countries. ANSAB has introduced FSC certification in Nepal, supported enterprises in achieving organic and wildlife-friendly certification, supported NTFPs collector groups and producer enterprises for their management practices complying with FairWild standards, and led successful on-the ground implementation of project 25-018.

ANSAB, TRAFFIC and other partners have co-developed project ideas since 2013 focussing on sustainability of trade in NTFPs.

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**Have you included a Letter of Support from this organisation?**

Yes

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**2. Partner Name:**

Ministry of Forests and Environment (MoFE) of Nepal

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**Website address:**

<https://www.mofe.gov.np/>

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**Details (including roles and responsibilities and capacity to engage with the project):**

Role: MoFE will facilitate sustainable management of forests and legal trade by implementing its policies through its local and federal level institutions. MoFE has committed to continue its support and cooperation with this follow-up project, in particular, by facilitating the legislative process, linked to enabling legal and sustainable trade, as well as providing technical expertise where needed for monitoring, resource inventories, and integrating NTFPs into CFUGs' management plans.

Capacity: MoFE is responsible for formulating forestry sector policies and legislations for forest management and supply of forest products to private industries and enterprises. The ministry is also responsible for enforcing its policies through its institutions.

MoFE is the CITES and CBD focal point of Nepal. The Ministry – in particular through its Department of Plant Resources and Department of Forests and Soil Conservation (respective Nepal's CITES Scientific and Management Authorities), and the Environment and Biodiversity Division (Nepal's CBD Focal point) have been involved in the development of the project idea.

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**Have you included a Letter of Support from this organisation?**

Yes

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**3. Partner Name:**

The Federation of Community Forestry Users Nepal (FECOFUN)

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**Website address:**

<http://fecofun.org.np/>

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**Details (including roles and responsibilities and capacity to engage with the project):**

Role: Based on the project learnings, FECOFUN will roll out best practice guidance for integrating sustainable management of NTFPs into CFUG management plans (Activities 4.2, 4.4). They therefore have a vital role in scaling up the impacts of this project and 25-018 across Nepal for sustainable change.

Capacity: FECOFUN is a representative organisation of CFUGs across Nepal, with one office at central level, 7 for provinces, 77 district offices and 530 local levels in Nepal. It represents more than 17,000 CFUGs and about 8.5 million forest users. It is dedicated to promoting and protecting users' rights by: promoting cooperation and mutual good-will among CFUGs through sharing of experiences; coordination with external partners (government agencies and NGOs); promoting inclusiveness and good governance in CFUGs.

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**Have you included a Letter of Support from this organisation?**

Yes

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**4. Partner Name:**

Royal Botanic Garden Edinburgh (RBGE)

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**Website address:** <https://www.rbge.org.uk/science-and-conservation/major-floras/flora-of-nepal/>

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**Details (including roles and responsibilities and capacity to engage with the project):**

Role: RBGE will contribute the Flora of Nepal bilingual Plants & You species profiles plant profiles for three principle target project species (high value medicinal plants of particular conservation concern). These profiles have proved successful in providing authoritative information in the hands of local decision makers. They have already been developed for *Nardostachys jatamansi* (and related species) and *Neopicrorhiza scrophulariiflora*, and RBGE will work with the project team to develop a Plants & You profile for the third species, *Fritillaria cirrhosa*.

Other species important in trade and with conservation concerns in project areas (such as *Polygonatum*, *Delphinium*, *Aconitum* and *Juniperus*) are problematic in that the taxonomy is poorly understood with confusion in the application of local and scientific names. The proposed project will collect essential baseline data and plant specimens to support taxonomic studies. RBGE will contribute expertise in supporting these project activities, including through Nepali counterparts.

Capacity: RBGE is the leading institution, with its Nepali counterparts, in the Flora of Nepal project. RBGE expertise of Nepalese flora includes medicinal plants, many of which are facing considerable pressures in the wild from illegal trade and unsustainable harvesting practices.

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**Have you included a Letter of Support from this organisation?**  Yes

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**5. Partner Name:** ProFound - Advisers In Development

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**Website address:** [www.thisisprofound.com](http://www.thisisprofound.com)

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**Details (including roles and responsibilities and capacity to engage with the project):**

Role: ProFound will contribute external expertise on market and value chain research, support the development of local capacities in Nepal to enable market access and facilitate the engagement and development of trade agreements with potential identified buyers (Activities 3.1, 3.2 and 3.3).

Capacity: ProFound assists support organisations and entrepreneurs in emerging markets with a focus on the natural ingredients sector. They help to capture economic opportunities from production to market entry. They always aim for local development that lasts: adding value for producers, building capacity at source, and sustaining local biodiversity.

ProFound's expertise lies in value-added natural ingredients for food, health and cosmetics industries. For ProFound, sustainable development is a core value and a priority in doing business. They specialise in BioTrade development: creating economic opportunities while protecting biodiversity, working with local communities and partners to develop systems that strengthen value chains.

ProFound offers services along the value chain, starting from market and value chain research; to business and sector action planning, compliance and product development; and market access.

ProFound has been a part of the project proposal preparation at all stages.

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**Have you included a Letter of Support from this organisation?**

Yes

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**6. Partner Name:**

University partners: University of Oxford (UOXF), University of Copenhagen (UCPH), Department of Food and Resource Economics

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**Website address:**

<https://ifro.ku.dk/english/> <https://www.ox.ac.uk>

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**Details (including roles and responsibilities and capacity to engage with the project):**

Roles: UOXF will lead design and use of a systematic framework to assess medicinal plant species sustainability (Output 4), particularly species in commercial demand in China and India.

Outputs 1 and 3: UCPH (Dr Carsten Smith Hall, leading international researcher on Himalayan commercial medicinal plants), will input on medicinal plant trade networks' contributions to natural resource sustainability, and to private sector dialogue (including China and India). Output 4: UCPH will contribute to a model plan for decentralised alpine natural resources management, and designing a multi-stakeholder sectoral strategy for sustainable management of commercial medicinal plants.

Capacity: UOXF is a world-leader in social science research into sustainability issues related to the wildlife trade. Dr Amy Hinsley evaluates trade sustainability in changing markets, to identify policies to reduce risks and promote sustainable trade, e.g. the impacts of TCM demand related to China's Belt and Road Initiative, and COVID-19's impact on medicinal species trade in China.

Capacity: UCPH involvement in research and development-oriented activities for medicinal plants from Nepal over the past 25 years includes investigating global production networks for Nepalese commercial medicinal plants, the publication of an annotated bibliography.

UCPH and UOXF have been involved in proposal development, and implementation of project 25-018.

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**Have you included a Letter of Support from this organisation?**

Yes

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**If you require more space to enter details regarding Partners involved in the project, please use the text field below.**

Nepal Herbs and Herbal Products Association (NEHHPA) <http://www.nehpha.org.np/> : disseminate findings on trade barriers/solutions, support consultations/capacity-building focused on their members.

NEHHPA is an umbrella organisation of Nepalese herbal producers, manufacturers and traders, particularly medicinal and aromatic NTFPs. NEHHPA develop markets for these products, design sectoral interventions, and stimulate collaboration within and beyond the industry, e.g. with enterprises and government to remove trade barriers.

FairWild Foundation (FWF) [www.fairwild.org](http://www.fairwild.org): interpreting the FairWild Standard in the project context; recommend supportive sources of expertise; support applications for certification, and for accreditation as certification bodies; disseminate experiences globally.

FWF promotes sustainable harvest and trade of wild-collected products, and maintains the FairWild Standard and certification scheme. TRAFFIC hosts the FWF Secretariat, including staff for this project. FWF was a partner on project 25-018.

China Association of Traditional Chinese Medicine (CATCM) [www.catcm.org.cn/english/index.asp](http://www.catcm.org.cn/english/index.asp): contribute to the sustainability assessment and recommendations on TCM-traded plants; industry meeting in Kathmandu and support one-to-one meetings with interested ethical buyers (involving CATCM-member enterprises); advising China's CBD/CITES authorities; disseminating species information to stakeholders. CATCM represents TCM in China, to safeguard members' rights; promote TCM, its standardisation and development; and satisfy patient needs; including supporting the sustainable resource base, and Belt and Road Initiative, post-COVID-19.

Please provide a cover letter responding to feedback received at Stage 1 if applicable and a combined PDF of all letters of support.

- TRAFFIC Darwin Nepal Cover letter signed
- 09/02/2021
- 16:13:33
- pdf 221.38 KB

- Darwin Nepal Combined letters of support small
- 09/02/2021
- 16:10:30
- pdf 1.32 MB

## Section 7 - Project Staff

### Q12. Project staff

Please identify the core staff on this project, their role and what % of their time they will be working on the project. Further information on who should be classified as core staff can be found in the guidance.

Please provide 1 page CVs for these staff, or a 1 page job description or Terms of Reference for roles yet to be filled. These should match the names and roles in the budget spreadsheet.

If your team is larger than 12 people please review if they are core staff, or whether you can merge roles (e.g. 'admin and finance support') below, but provide a full table based on this template in the pdf of CVs you provide.

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Anastasiya Timoshyna	<b>Project Leader</b>	10	Checked
To be confirmed (ToRs)	Project coordinator; capacity-building; traceability	45	Checked
Puspa Ghimire	Project manager Nepal activities	45	Checked
Sudarshan Khanal	Project M&E	35	Checked

Do you require more fields?

- Yes

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Bhishma Subedi	Policy advocacy and linkages to MoFE	7	Checked

Nabin Joshi	Sustainable resource management, field activities coordinator in Nepal	40	Checked
Bharat Sharma	Field implementation, LPRs coordination, inventories, capacity-building	100	Checked
Emily King	Business engagement, FairWild implementation	10	Checked
Amy Hinsley	Framework for NTFPs sustainability review and recommendations	13	Checked
Carsten Smith-Hall	Design TOC for sustainable management of commercial medicinal plants in Nepal	5	Checked
Junila Shrestha	Finance and Administration in Nepal	35	Checked
<i>No Response</i>	<i>No Response</i>	0	Unchecked

**Please provide 1 page CVs (or job description if yet to be recruited) for the project staff listed above as a combined PDF.**

**Ensure the file is named clearly, consistent with the named individual and role above.**

- [TRAFFIC Darwin Application Collated CVs](#)
- 09/02/2021
- 14:27:47
- pdf 399.76 KB

**Have you attached all project staff CVs?**

- Yes

## **Section 8 - Problem statement**

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### **Q13. 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?**

**Please cite the evidence you are using to support your assessment of the problem (references can be listed in your additional attached PDF document which can be uploaded at the bottom of the next page).**

Nepal's alpine Himalayan forests and rangelands are exceptional biodiversity hotspots, home to keystone species including snow leopard. They are a source of >40 key NTFPs harvested and traded internationally, providing critical contributions to the incomes of rural poor.

These NTFPs, and associated high-altitude landscapes, face multiple threats of overharvesting, fire and

uncontrolled grazing. Overharvesting is driven by increasing and diversifying international trade: to India, increasingly to China for TCM, and elsewhere. Strengthened sustainable harvesting practices are urgently needed. Challenges include inadequate information on sustainable harvest volumes, lack of simple procedures for high-altitude decentralised resource management, and an inadequate centralised approach to resource monitoring and trade regulation, leaving species vulnerable to excessive commercial harvesting and threatening rural household incomes and government revenues.

This is particularly true for high-value NTFPs with established trade-driven conservation concerns including CITES Appendix-II/IUCN CR Jatamansi/Spikenard (*Nardostachys jatamansi*), Himalayan Fritillary (*Fritillaria cirrhosa*)<sup>6</sup>, and Kutki (*Neopicrorhiza scrophulariiflora*). These species are among top six most vulnerable commercial medicinal species traded in/from Nepal. Whenever market demands increase, risks of premature/over-harvesting grow. Local income potential is held back by low rates of value addition and lack of direct access to international markets. It is also undercut by large-scale illegal export of lower quality, unmanaged products to India, and increasing trade with China for TCM (including COVID-19 treatments). CFUGs lack simple and transparent guidelines for decentralised alpine NTFP management. Nepal lacks a framework for that will facilitate and support a transition to sustainable management of commercial medicinal plant species.

The five targeted project districts (population c.575,000) are all in the remote mountains on or adjacent to the furthest north-west Nepal-China border, in Karnali and Sudur Paschim provinces. Over half the population of Karnali and one third of Sudur Paschim live below the poverty line, and despite the efforts of government and development agencies, poverty is not declining as expected. These provinces rank lowest for development indices on per-capita income, life expectancy, and basic infrastructure (roads, schools, and banks/financial institutions). (Human Development report 2020, Economic Survey 2019/20 -MoF 2020).

In the targeted districts, 928 CFUGs manage 117,307ha of forests and meadows, and represent over 80% of the total population; the project focus is 30 CFUGs with 25,000ha of forests and meadows and around 27,500 population. The combination of the lack of viable livelihood options beyond seasonal labour out-migration, socio-economic constraints and limited infrastructure, creates a strong reliance on local biodiversity, particularly wild NTFPs from these common-property forests and meadows. This is the only accessible sources of livelihoods for the most disadvantaged, including dalit, indigenous, and poor households, and is key for economic development in the region.

An ongoing Darwin Initiative project (to 2021) pilots combined market-oriented and CITES approaches to improve conservation and livelihood outcomes from Jatamansi trade. This identified key opportunities to scale-up to achieve long-lasting bottom-up change; for example, the need for a national framework to tackle policy issues such as quota-setting for CITES-listed species, and to tailor Community Forestry guidance to Himalayan forests and meadows (currently all forests are treated equally).

## **Section 9 - Method, Change Expected, Gender & Exit Strategy**

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### **Q14. Methodology**

**Describe the methods and approach you will use to achieve your intended Outcome and Impact. Provide information on:**

- **How you have analysed historical and existing initiatives and are building on or taking work already done into account in project design. Please cite evidence where appropriate.**
- **The rationale for carrying out this work and a justification of your proposed methodology.**
- **How you will undertake the work (materials and methods).**
- **How you will manage the work (roles and responsibilities, project management tools, etc.).**

Other initiatives

This project extends Darwin Initiative 25-018, to secure long-term, national impacts. 25-018 facilitated a



legislation change to enable CITES-listed species trade, and piloted sustainable and equitable Jatamansi trade in eight CFUGs in Jumla and Mugu districts, using the FairWild model. However, it also identified policy and practice bottlenecks and opportunities to enable significantly greater conservation and livelihood outcomes for species and people.

It also builds on other past projects: Economic Growth for Social Justice: Supporting NTFP Trade and Business Development in Karnali (EU-funded); and Enterprise Based Biodiversity Conservation In Nepal (USAID-funded).

#### Rationale

This proposal scales up (i) geographically, applying the training materials and methodologies in additional priority harvesting areas in Humla, Darchula, and Bajhang districts; (ii) species-wise, to include high-value, high-conservation priority species Kutki (*Neopicrorhiza scrophulariiflora*) and Himalayan Fritillary (*Fritillaria cirrhosa*), and initiating work with other wild species that are less-understood/taxonomically defined, but economically important including in rapidly changing TCM markets, particularly *Polygonatum*, *Delphinium*, *Aconitum* and *Juniperus* species; and (iii) influentially, integrating development of a national dialogue to facilitate pathways to sustainability.

The project will support a transparent model for decentralised alpine resources management, and a policy change to introduce the sustainable management of NTFPs to CFUGs in all target districts, and nationally. Market-based FairWild certification will be scaled-up, growing the connection to markets, with emphasis on traceability. Beyond the markets with sustainability preferences, the project will address growing demand from China and India for Nepalese NTFPs, including for COVID-19 treatments.

#### Methodology

##### 1. Sustainable management of NTFP species

ANSAB will facilitate training for Local Resource Persons (LRPs) to assist in delivery at scale. Participatory resource inventories with 30 CFUGs for target NTFPs will determine baselines, inform harvesting levels and monitor impacts on NTFP populations. ANSAB will run workshops to identify and build consensus around natural resource governance gaps. Target CFUGs will be supported to integrate sustainable management, harvesting, and monitoring practices into their operational management plans, with sustainable harvesting methods and quantities based on the inventories and ongoing community monitoring (with independent oversight through the FairWild certification process).

##### 2. Extending community benefits from sustainable trade

ANSAB and its LRPs will engage 30 CFUGs in five districts reaching at least 5,000 harvesters with training in resource management and monitoring, institution-building, traceability, equitable trade conditions, avoidance of child labour, post-harvest handling and processing. CFUGs will be strengthened, with updated harvesters' registrations; fair trading and benefit-sharing protocols. This will draw on FairWild Standard best practices.

##### 3. Sustainable supply chains

To ensure that reliable markets generate long-term, significant benefits for communities, and that buyers can have confidence in purchasing sustainable products, a traceability system will be established linked to FairWild certification for at least the three best-known species. This will address current risks of adulteration and low quality in high-value species supply chains. Market analysis and engagement planning will inform training and resources for certification and market access. Match-making will include industry meetings between consumer-market buyers, Nepalese producers and associations to demonstrate good practices of production; and support to establish long-term equitable trading agreements between CFUGs and Nepalese companies, based on sustainability principles.

##### 4. Integrating NTFPs into Community Forestry, policies and trade

Considering biological and trade data (e.g. the growing demand from China for NTFPs for TCM), UOXF will develop and apply an evidence-based sustainability assessment framework, based on Bayesian Beliefs network methodology, producing recommendations for policies and trade agreements. FECOFUN will roll out best-practice guidance for sustainable management of NTFPs, integrating this into CFUG management plans. These will both cover all NTFPs.

Building on these, further planning for alpine resource management, and consultation meetings, sustainability will be embedded into plans and strategies of Government and industry/trade associations;

e.g. TRAFFIC will share existing NDF guidance to ensure science-based decisions concerning the sustainability of exports. Also, TRAFFIC will engage with CITES Secretariat and CITES authorities in importing countries, and facilitate bilateral Nepalese-Chinese meetings of government and industry to demonstrate good practice and support the development of sustainable trading relationships. UCPH will develop of theory of change for pathways for sustainable commercial medicinal plant management that will be discussed and adapted at national workshops with key stakeholders from the production network, including the private sector, ministries, and civil society.

Project roles and management

The central partners are TRAFFIC (leading overall project coordination, management and M&E, including the monthly partnership calls focussing on the project activities delivery) and ANSAB (leading on-the-ground implementation in Nepal). Please see the activity list following the logframe for a detailed breakdown.

## **Q15. 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?**

In target communities, training of trainers (LRPs) and onward capacity-building by LRPs to CFUG members will raise awareness of the conservation importance of target NTFPs; the potential for sustainable harvesting to secure their resource base long-term; and the benefits of certification. FairWild requires management of the entire area, covering all species influenced by harvesting, encouraging landscape-level conservation; with knowledge-sharing a strong feature. Knowledge products in local languages already exist from 25-018.

Among local-to-national Community Forestry institutions, practical guidance rolled out by FECOFUN will disseminate project learning and straightforward guidelines for integrating sustainable NTFP management into CFUG management planning.

Private sector communication emphasises the importance of trading sustainably, using industry workshops, match-making with harvester groups, and case studies shared within industry platforms globally, including through FairWild and NEHHPA.

Engagement with the Government of Nepal aims to embed implementation of policy changes achieved through 25-018, including NDF decisions, operationalising the Herbs and Non-Timber Forest Products Development Policy 2004, and the Guidelines for NTFP-Based Enterprises 2005. Extending beyond Jatamansi, the project will demonstrate the value of diverse alpine medicinal/aromatic plants facing common problems, and potential solutions at scale. This reflects the NBSAP statement that “understanding and incorporation of the value of mountain ecosystem services in national development planning, GDP accounting, and decision-making is one of the key requirements for sustainable management of mountain biodiversity”.

Nationally, the project will convene all major stakeholders to discuss and agree a consolidated approach for sustainable management of Nepal’s commercial medicinal plant resources.

Globally, the project will raise awareness of the value of Nepal’s alpine rangelands’ floral biodiversity, the source of 34% of 41 most economically important NTFPs. Synergies between FairWild/CITES will be of interest to international conservation audiences, beyond engaging the CITES Secretariat and processes (e.g. Plants Committee, Conference of Parties), and CITES authorities in importing countries.

## **Q16. 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.**

ANSAB will apply its established processes to train identified local residents as LRP16 to operate as trainers in the project target districts, with the focus on resource inventories, sustainable harvesting of wild NTFPs, improvement of quality and value-addition, and compliance with FairWild certification. These trainers will create the backbone of the capacity building strategy roll-out at CFUGs, and embed learning locally for the long-term. LRPs and ANSAB will further build the capacity of CFUGs, processors and traders' levels, empowering and engaging communities in developing sustainable management and harvesting plans for NTFPs and monitoring approaches.

ANSAB and FECOFUN will help to build the institutional capacity of CFUGs, processing and trading enterprises, and district forestry authorities. CFUGs will benefit from the facilitation and technical support in conducting the assessment of stock of and threats to Himalayan Fritillary, Jatamansi, Kutki and other NTFPs, identification and registration of harvesters, fair trade and equitable benefit sharing, sustainable harvesting and traceability, developing and revising the forest management plan, and implementing it. The district forest and plant resources authority will be trained and apply their knowledge in other parts of the district. The enterprises will apply the FairWild Standard, boosting their record keeping, traceability, production quality, ability to market NTFPs, and fair benefit-sharing.

Linked to the resource inventories ANSAB, RBGE, DPR will provide capacity-building on correct species identification, including good practices with the voucher specimen collection and referencing. This is needed to ensure accuracy of identification of traded materials and data contributing to the resource inventories, with voucher specimen to be kept/used by CFUGs for correct identification, and traceability from harvesting point

FairWild Foundation, TRAFFIC will provide training to ANSAB on acting as a centre of expertise on FairWild and support to the implementation of FairWild certification in Nepal, value-chain expert will provide capacity-building on market access.

## **Q17. Gender equality**

**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 sex disaggregated data and what impact your project will have in promoting gender equality.**

The project will have direct and indirect impacts on reducing inequality between persons of different gender in wild plant-harvesting communities of Nepal's Himalayas.

The project will target at least 5,000 wild-harvesters of high-priority plant species in 30 CFUGs, and their households. It is anticipated that at least 40% of beneficiaries benefitting from the project activities will be women.

Building on current work, the project will improve women's position within the value chain, with emphasis on women's participation in capacity-building events for sustainable management and to improve quality and processing (~40% of previous participants were women). The expanded focus on a wider range of plant species of conservation and commercial importance, will ensure more significant involvement of women in harvesting activities - 25-018 demonstrated that while women frequently harvest NTFPs including Himalayan Fritillary in the target area, Jatamansi and Kutki harvesters are often male, due to long/overnight harvesting expeditions, and precipitous rocky habitats, respectively. Women will benefit from participation in certification schemes that directly increase sales prices and stabilise income-generation, and participate in decision-making.

The project will track its contribution to gender equality, by including a gender assessment as part of the baseline and final evaluation studies (further clarifying the roles of men and women in the NTFP value chains in target areas, and assessing the relative change project activities generate for men and women). It will use the collection and monitoring of disaggregated data to adapt and improve appropriate measures to empower and enable women.

At the institutional level, ANSAB has an organisational standard code of conduct, defining safeguarding and zero-tolerance to sexual exploitation, abuse and harassment (SEAH). Organisational Gender Policy provides an institutional setup for complaints and grievance on SEAH. ANSAB also encourages safeguarding principles to its partners and the communities it works with.

## Q18. 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.**

Short-term:

- Across 25,000 ha of biodiversity-rich, fragile mountain habitat, at least three high-conservation priority species (Kutki, Jatamansi and Himalayan Fritillary) managed sustainably.
- At least two further species, which are harvested in same areas, will be documented, their taxonomic identity confirmed, and included in sustainable management training and planning, as a vital step towards demonstrably sustainable management for trade.
- NTFPs more widely in Nepal will be evaluated against the assessment framework, with the focus on species in demand in China for TCM and India. Recommendations for decision-makers in Nepal, China and India will inform trade policies and safeguards.
- At least 5,000 (40% women) harvesters/processors across five districts will benefit from reduced price fluctuations through longer-term trade agreements and an increased income of >5% from NTFPs. Currently the lack of formal agreements between harvesters/CFUGs and traders enable unfair practices by traders; formal agreements will facilitate transparent trade. Additional economic benefits will flow to harvesting communities through the FairWild Premium Fund.
- 20 producer enterprises (at least 200 beneficiaries), buying from 5,000 harvesters, will be trained in FairWild, and at least 5 supply chains reach FairWild certification, giving them a stronger position to secure a price premium into the future. Producer enterprises will gain linkages to industry partners with relevant technical expertise to support quality improvements and traceability.
- Including NTFP sustainable management in 30 CFUG operational management plans will assist in two ways: renewing expired plans with up-to-date species inventories and management information, and updating existing plans, which currently have no provisions for sustainable management of NTFPs. This provides the basis for ongoing sustainable resource management and monitoring, and longer-term ability to meet FairWild requirements.
- The legislative change enabling trade in CITES Appendix-II listed species, resulting from project 25-018, will be implemented/strengthened through improved capacities of CITES Scientific Authorities to issue NDFs, contributing to removal of Jatamansi from the CITES Review of Significant Trade, and clarification of regulations for NTFPs across provincial, district and national levels. This will enable legal, sustainable and uninterrupted trade in species that are vital for communities' livelihoods.

Long-term:

- Based on new skills, incentives, and commercial relationships, sustainable management of target species will continue beyond the project term and area, maintaining harvesters' access to species, contributing to their communities' income and health.
- CFUGs nationally benefit from practical guidance on integrating NTFPs in management plans, and guidelines on decentralised high-altitude natural resource management; ultimately benefitting >8,800 CFUGs (40% of 22,000 CFUGs) nationally, including >550,000 harvesters.

- The demonstrable adherence to sustainability and social/fair-trade criteria will boost consumer confidence in purchasing wild-harvested product; and, with other work by TRAFFIC and the FairWild Foundation, increase consumer demand which incentivises wider industry shifts to more responsible wild plant-sourcing.
- The coherent set of changes in policy and practice promoted by the project will strengthen conservation of commercial medicinal plant species throughout the country. Government policy and decisions will be based on an improved understanding of the importance of NTFPs, and best practices, further improving the long-term prospects for sustainable household incomes.

## Q19. Pathway to change

**Please outline your project's expected pathway to change. This should be an overview of the overall project logic and outline how you expect your Outputs to contribute towards your overall Outcome and, longer term, your expected Impact.**

The successes of project 25-018 with the Jatamansi pilot demonstrate a way forward for NTFPs, which combined with its national-level policy results, identified the following pathway for addressing critical national-to-local bottlenecks and securing long-term benefits from sustainable trade.

For species, if participatory inventories and evidence-based sustainable management skills and practices are in place, these can underpin the future long-term health of wild plant species and enable them to sustain livelihoods.

For communities, if harvesters have new capacity for sustainable management of NTFPs, and are supported by FairWild practices, principles and audits, and by the culture of sustainable natural resource management associated with Nepal's world-leading Community Forestry programme, then they can take advantage of market opportunities for certified NTFPs while avoiding overharvest. The market incentives in turn are based on increased confidence of companies and consumers in certified sustainable, traceable wild-plant products.

As shown in the 25-018 policy gaps analysis, if the new national policy enabling trade in CITES-listed species is supported by practical measures, NTFPs are integrated into CFUG management plans, and there are transparent commitments/guidance on decentralised alpine resource management via Community Forestry, then market incentives and sustainable management practices will have legal basis and more extensive reach.

## Q20. Exit Strategy

**State how the project will reach a stable and sustainable end point, and explain how the outcomes will be sustained, either through a continuation of activities, funding and support from other sources or because the activities will be mainstreamed in to "business as usual".**

**Where individuals receive advanced training, for example, what will happen should that individual leave?**

This project's exit strategy is based on embedding knowledge and best practices through local partners at community-level; changing trading incentives; and mainstreaming into "business as usual" including for decision-makers. Capacity-building of LRPs is central to sustainability at CFUG levels: ANSAB's past experience generates a high degree of confidence those roles will remain involved post-project. ANSAB also commits to supporting target CFUGs with technical inputs, market connections, and advice on resource management, beyond project end; for example through their facilitation of the Nepal NTFP network. Project partners include key national organisations, such as FECOFUN representing and connecting community beneficiaries. Their dissemination of management plan guidelines around Nepal, and the implementation by existing, well-established CFUGs, will lead to a long-term change in natural resource management practices.

Ethical, international private sector partners are on-board with the project, and direct links to them, underpinned by FairWild principles, supported by TRAFFIC's ongoing commitment to FairWild, will enable long-term purchasing commitments.

Project inputs through the NTFPs evaluation framework, the model approach to alpine resources management, and input to CITES NDF processes will have long-term impacts enabling legal, traceable, sustainable NTFPs trade. The involvement of MoFE will further embed best practices by local agencies and policy-makers.

**If necessary, please provide supporting documentation e.g. maps, diagrams, references etc., as a PDF using the File Upload below:**

- |  |  |
|--|--|
| <input type="checkbox"/> <a href="#">Nepal Map</a> | <input type="checkbox"/> <a href="#">Darwin R27 S2 TRAFFIC References list Nepal</a> |
| <input type="checkbox"/> 09/02/2021                | <input type="checkbox"/> 09/02/2021  |
| <input type="checkbox"/> 14:40:46                  | <input type="checkbox"/> 14:39:54  |
| <input type="checkbox"/> pdf 146.55 KB             | <input type="checkbox"/> pdf 93.76 KB  |

## **Section 10 - Budget and Funding**

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### **Q21. Budget**

**Please complete the appropriate Excel spreadsheet, which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet. Note that there are different templates for projects requesting over and under £100,000 from the Darwin budget.**

- [Budget form for projects under £100,000](#)
- [Budget form for projects over £100,000](#)

**Please refer to the Finance for Darwin/IWT Guidance for more information.**

**N.B.: Please state all costs by financial year (1 April to 31 March) and in GBP. The Darwin Initiative cannot agree any increase in grants once awarded.**

**Please upload your completed Darwin Budget Form Excel spreadsheet using the field below.**

- |  |
|--|
| <input type="checkbox"/> <a href="#">Budget over £100K May 2020 rev Feb21 TRAFFIC<br/>Nepal proposal</a> |
| <input type="checkbox"/> 09/02/2021  |
| <input type="checkbox"/> 14:43:40  |
| <input type="checkbox"/> xlsx 68.05 KB   |

### **Q22. Funding**

**Q22a. Is this a new initiative or a development of existing work (funded through any source)?**

- Development of existing work

**Please provide details:**

This proposed project follows up on “Succeeding with CITES”, led by TRAFFIC (ending March 2021), which focused on piloting the application of the FairWild Standard for one Himalayan species (Jatamansi) in a limited pilot area, successfully demonstrating the potential for this approach, alongside achieving a necessary national regulatory change to enable trade. TRAFFIC proposes putting all the project learning for biodiversity conservation and livelihoods into practice at much greater scale, expanding the documented successes, lessons learnt, and engagement with policy and the private sector.

Furthermore, this project has selected species that necessitate engagement with a new and increasing trade threat (or opportunity): trade to China for TCM ingredients. This will build on TRAFFIC’s pioneering partnerships with key organisations in China, such as CATCM, with growing interests in traceable, sustainable trade in resources; exchanging experiences; and scaling up the implementation of good practices (i.e. FairWild principles) across borders. This can engage significantly more producer enterprises in selling sustainable products, leading to greater product availability.

To tackle national issues, the project engages new collaborators, namely FECOFUN who will be instrumental at delivering nation-wide change to Community Forestry, and NEPPHA who will assist with institutionalising the project through its network of member enterprises.

**Q22b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?**

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.**

Project partners are involved in two projects in Nepal that have comparable aims, though neither of these target NTFPs in alpine ecosystems; partner involvement will maximise synergies:

IWT083: Illegal trade & sustainable use of medicinal orchids in Nepal. This orchid-focussed project aims for legal, more sustainable harvest by rural communities, but is unlikely to lead to sustainable legal international trade due to ecological and legal complications. Its conservation target (orchids) is completely distinct from our proposal; furthermore, it targets the Chitwan-Annapurna Landscape, in central Nepal. Amy Hinsley can provide linkages, and we would invite staff to workshops where relevant.

26-022: Uprating community forest management in Nepal: enhancing biodiversity and livelihoods. This project runs a pilot on integrating biodiversity into Community Forestry locally, with aims to influence Community Forestry planning at a national level. The involvement of RBGE and FECOFUN will ensure that learning relevant for both projects is coordinated, especially around Community Forestry guidance. However, 26-022 is very different in that its pilot area is a tropical forest in south east Nepal; its remit covers a very wide range of flora and fauna, including invasive species; and the livelihoods support focuses on fisheries, wetlands and ecotourism

**Q23. Co-financing**

**Are you proposing co-financing?**

Yes

**Q23a. 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, as well as any your own organisation(s) will be committing.

Donor Organisation	Amount	Currency code	Comments
Swedish Postcode Foundation	██████	GBP	The 'Wild at Home' project (August 2020—July 2022) works across wild plant trade chains in multiple target countries, including Nepal. This will provide a matching contribution to TRAFFIC staff costs, events participation (e.g. trade shows), and project communications.
University of Oxford	██████	GBP	Contribution of staff time of Dr Amy Hinsley during July 2021-June 2022
University of Copenhagen	██████	GBP	Matching contribution of staff time of Dr Carsten Smith-Hall
<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>

**Q23b. Unsecured**

Provide details of any co-financing where an application has been submitted, or that you intend applying for during the course of the project. This could include co-financing from the private sector, charitable organisations or other public sector schemes. This should also include any additional funds required where a donor has not yet been identified.

Date applied for	Donor Organisation	Amount	Currency Code	Comments
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06  
January  
2021

Private Sector



GBP

Matching contributions will be sought from Nepali and international private sector companies, in particular to match the costs of certification audits and upgrades of processing and warehousing equipment at CFUG levels

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<i>No Response</i>	<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>

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**Do you require more fields?**

No

## **Section 11 - Open Access and Financial Risk Management**

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### **Q24. Outputs of the project and Open Access**

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

Outputs generated by the project, including consultancy and progress reports, datasets, peer-reviewed and other journal articles of interest to other stakeholders will be made available in open access through TRAFFIC and partners' websites whenever possible.

Technical aspects of the project approach will be made available through the organisations' websites, submitted to IUCN newsletters, and appropriate peer-reviewed journals. The methodology will be presented at workshops including at CBD and CITES CoPs or intersessional technical meetings, as appropriate, thereby providing generic methodologies applicable to other species and locations.

Costs sought for this include the project partners' staff costs, consultancy activities, and travel costs for dissemination.

The project includes strong collaboration with Nepal's government agencies, and fosters innovative partnerships between low-income harvesters and companies. The unique nature of this partnership in Nepal will assist with ensuring the activities receive wide media coverage. This will further facilitate access to the project's information and approach. The project will also collaborate with other civil society

organisations. These collaborations and joint efforts will ensure that lessons learned and insights from the project will be available to the wider community working to address resource management issues, as well as public health concerns, within Nepal, China, India, and beyond.

## **Q25. Financial Risk Management**

**This question considers the financial risks to the project. Explain how you have considered the risks and threats that may be relevant to the successful financial delivery of this project. This includes risks such as fraud or bribery, but may also include the risk of fluctuating foreign exchange and internal financial processes such as storage of financial data.**

TRAFFIC's anti-corruption and bribery policy applies to all our work. TRAFFIC takes a zero-tolerance approach to bribery and corruption and staff are committed to acting professionally, fairly and with integrity in all business dealings and relationships, including with external stakeholders. TRAFFIC remains bound by UK laws, including the Bribery Act 2010, with respect to conduct both at home and abroad.

Budgeting is based on exchange rates at the time of writing. Fluctuations will be monitored throughout implementation and discussed with the donor as necessary. Other risk factors include change of key personnel in TRAFFIC and partners. TRAFFIC's long-term experience and relationships, including with public and private sectors, will minimise impacts of changing personnel.

Financial risks from internal financial processes are minimised by controls and policies collated in TRAFFIC's "Financial Policies and Procedures Manual". TRAFFIC's HQ supports project teams from contracting to close-out, e.g. with donor-specific guidance, cost reviews, procurement support, and compliance checks. Funds are monitored using accounting software, and monthly cashflow reports are completed. TRAFFIC (including Programme Offices) is audited annually.

## **Q26. 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. If you are requesting more than 10% capital costs, please provide your justification here.**

Project's capital equipment budget is under 5% of the total request. The items included under this budget line are for the purchase of laptops for staff in Nepal (3), tables for field data monitoring for field staff in the project areas (3), and for the upgrade and purchase of processing and warehousing equipment for non-timber forest products in target CFUGs.

## **Q27. Value for Money**

**Please describe why you consider your application to be good value for money including justification of why the measures you will adopt will secure value for money.**

The project provides value for money by generating multiple positive changes: livelihood benefits to at >5,000 low-income harvesters; sustainable use of threatened plants in fragile habitats; and long-term shifts for an enabling environment. Skills from the training can be applied across harvesters' activities. Cost-efficient processing equipment will maximise value-addition impacts.

The project builds on partners' project management and technical expertise in value-chains and business development. ANSAB has an excellent track record in project implementation in Nepal, with an established office in Kathmandu and pre-existing relationships with the government and communities. The project uses not only the training materials and documents already translated into Nepali for 25-018, but the partnerships and practices, to hit the ground running.

Every effort has been made to minimise running costs. The project has ■ matched funding and seeks additional resources to increase impact. In-kind supports draw on existing expertise and skills of engaged staff. Travel costs will be kept to a minimum with conference calls. TRAFFIC has policies and systems for financial efficiency. Competitive pricing is sought for all purchases, including multiple quotes prior to decisions on suppliers and travel. Travel is planned well in advance where possible, and kept to a minimum, using the lowest economy airfare. TRAFFIC reimburses reasonable actual expenses when travelling and generally does not issue per diems apart from small daily allowances for incidentals in line with HMRC guidelines. TRAFFIC's Project Support Unit works alongside project managers to monitor project spend; transactions are reviewed on a monthly and quarterly basis.

## **Section 12 - Ethics and Safeguarding**

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### **Q28. Ethics**

**Outline your approach to meeting Darwin's key principles for ethics as outlined in the guidance note. Additionally, are there any human rights and/or international humanitarian law risks in relation to your project? If there are, have you carried out an assessment of the impact of those risks, and of measures that may be taken in order to mitigate them?**

This project will meet legal and ethical obligations in Nepal, as well as Defra's key principles for ethics. TRAFFIC has implemented numerous research and capacity-building projects in multiple countries and environments. Project builds on strong local implementation leadership in Nepal from ANSAB, which has demonstrated experience implementing multiple projects involving wild-harvesting communities. TRAFFIC has carried out a risk assessment, ranking project as medium risk in terms of ethical/humanitarian law concerns, as although it engages communities, this is through established partnerships with experienced, reputable organisations, and is predicated on FairWild principles including issues of gender, child labour and fair working conditions. The project will respect the rights, privacy, and safety of both direct and indirect beneficiaries.

The Project Leader will ensure that any concerns from project participants are understood and addressed, that research approaches used are credible, and that all information gathered is accurately recorded and carefully verified. The NTFPs research framework will go through Oxford's Central University Research Ethics Committee. Consultants' selection will be carried out through a competitive tender process, ensuring there is no conflict of interest.

Steps will be taken to protect the health and safety of all personnel and ensure that the same rigorous standards for assessing risks are applied to all individuals engaged in this project, regardless of gender, nationality or ethnicity. TRAFFIC has a comprehensive set of policies and procedures to encourage and support the highest standards of conduct and professional ethics from its staff, following the law; ensuring safety and being good stewards.

### **Q29. Corruption**

**This question specifically considers corruption. Explain how you have considered any risk of corruption that may affect the success of this project, and how you plan to manage this. This may include financial corruption, but may also deal with gifts or inducements, or other types of dishonesty or deceit.**

As leading specialists on addressing illicit trade in wild species of flora and fauna, TRAFFIC recognises and increasing increase evidence of corruption occurrence in different wildlife trade chains, including NTFPs. TRAFFIC is programmatically increasing its focus on tackling corruption in wildlife trade, for example, the 2021 paper "Understanding corruption risks in the global trade in wild plants", demonstrated evidence of the risks of various types of corruption in wild plant trade chains in Nepal, as well as identified specific

measures around strengthened (and decentralised) governance, and the implementation of voluntary standards and traceability mechanisms, as means to reduce these risks. TRAFFIC, FairWild, UCPH and ANSAB gave a webinar on this for USAID in 2021. Throughout its duration, this project will support activities identified as important to the reduction of such risks.

TRAFFIC’s anti-corruption and bribery policy guides on conducting its business in an honest and ethical manner. TRAFFIC has a zero-tolerance approach to bribery and corruption and staff are committed to acting professionally, fairly and with integrity in all business dealings and relationships. TRAFFIC remains bound by the laws of the UK, including the Bribery Act 2010, in respect of our conduct both at home and abroad

### Q30. Safeguarding

**Projects funded through the Darwin Initiative must fully protect vulnerable people all of the time, wherever they work. In order to provide assurance of this, projects are required to have appropriate safeguarding policies in place. Please confirm the lead organisation has the following policies in place and that these can be available on request:**

<b>We have a safeguarding policy, which includes a statement of our commitment to safeguarding and a zero tolerance statement on bullying, harassment and sexual exploitation and abuse</b>	Checked
<b>We have attached a copy of our safeguarding policy to this application (file upload below)</b>	Checked
<b>We keep a detailed register of safeguarding issues raised and how they were dealt with</b>	Checked
<b>We have clear investigation and disciplinary procedures to use when allegations and complaints are made, and have clear processes in place for when a disclosure is made</b>	Checked
<b>We share our safeguarding policy with downstream partners</b>	Checked
<b>We have a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised</b>	Checked
<b>We have a Code of Conduct for staff and volunteers that sets out clear expectations of behaviours - inside and outside the work place - and make clear what will happen in the event of non-compliance or breach of these standards</b>	Checked

**Please outline how you will implement your policies in practice and ensure that downstream partners apply the same standards as the lead organisation.**

TRAFFIC carries out due diligence when engaging with new project implementing partners or awarding service contracts via tender. The assessment specifically refers to safeguarding, fraud and anti-bribery. Safeguarding standards are disseminated to staff, consultants, partners and volunteers through subcontracts, training and a dedicated session to safeguarding and risk assessment included during project inception meetings. Project staff and partners sign to confirm their understanding and compliance with the procedures in place and confirm they understand the process to report safeguarding concerns. The Project Leader is responsible for consultations throughout project to ensure adaptive management and

implementation of social safeguards. Projects are reviewed for risk concerns on a quarterly basis by the Senior Management Team and risks are escalated as appropriate following discussion with Project Leader. TRAFFIC is bound by the laws of the UK in respect of conduct both at home and abroad. This includes implementing and enforcing effective systems including maintenance of a serious incidents register and reporting to the appropriate authorities. ANSAB's Letter of Support provides details of safeguarding practices.

Adoption of FairWild Standard assures relevant environmental and socio-economic safeguards for wild-harvesting operations. Project operates on free, prior informed consent (FPIC) basis, ensuring appropriate grievance mechanisms and safeguards monitoring.

#### **Please upload the lead organisation's Safeguarding Policy as a PDF**

- [TRAFFIC safeguarding statement Oct 2020 \(circ](#)  
 )
- 09/02/2021
- 14:57:12
- pdf 262.94 KB

## **Section 13 - Logical Framework**

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### **Q31. Logical Framework**

Darwin Initiative projects will be required to monitor (and report against) their progress towards their expected Outputs and Outcome. 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.

- [Stage 2 Logframe Template](#)

Please complete your full logframe in the separate Word template and upload as a PDF using the file upload below. Copy your Impact, Outcome and Output statements and your activities below - these should be the same as in your uploaded logframe.

#### **Please upload your logframe as a PDF document.**

- [Darwin R27 TRAFFIC Nepal Logframe](#)
- 09/02/2021
- 15:09:50
- pdf 189.42 KB

#### **Impact:**

Nepal's Himalayan wild medicinal and aromatic plants are sustainably managed, and landscapes where they grow conserved, with community harvesters benefitting from sustainable management and traceable, equitable trade.

#### **Outcome:**

High-value/conservation priority NTFPs in five districts of Nepal's Himalayas are effectively conserved through sustainable management and traceable, equitable trade, based on clear legal frameworks and sustainable use and trade approaches.

## Project Outputs

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### Output 1:

At least three species of high-value NTFPs are sustainably managed by communities in Humla, Jumla, Mugu, Darchula, and Bajhang districts of Western Nepal.

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### Output 2:

At least 5,000 harvesters and their communities in five target districts have clear benefits from long-term sustainable, equitable, traceable trade in NTFPs

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### Output 3:

Sustainable supply chains are in place, led by producers/exporters in Nepal, and 'matched' to manufacturers in consumer markets, based on sustainable production systems following FairWild Standard

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### Output 4:

Policies, legislation and strategies at federal, provincial and local levels incentivise and enable a long-term shift towards sustainable use and trade in NTFPs in Nepal

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### Output 5:

*No Response*

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## Do you require more Output fields?

**It is advised to have less than 6 Outputs since this level of detail can be provided at the Activity level.**

No

## Activities

**Each activity is numbered according to the Output that it will contribute towards, for example, 1.1, 1.2, 1.3 are contributing to Output 1.**

Activity 1.1: Carry out detailed resource inventories of three high value NTFPs (Jatamansi, Kutki, and Himalayan Fritillary) and other associated harvested species in 30 community forests (ANSAB)

Activity 1.2: Conduct situation analysis to understand resource governance in target areas and status of forest management plans (ANSAB)

Activity 1.3: Support to revise CFUG management plans including the provision of sustainable management of high value NTFPs (ANSAB, FECOFUN)

Activity 1.4: Develop a training packages (Training materials, training curriculum and training strategy) for the harvesters and relevant stakeholders (ANSAB)

Activity 1.5: Deliver capacity-building to trainers and to target CFUGs with the focus on participatory plant resource management, sustainable harvesting techniques, and monitoring (ANSAB)

Activity 1.6: Undertake the participatory monitoring of the target areas, in collaboration with key stakeholders (including the Ministry of Forests and Environment (agencies at district and municipal levels) and FECOFUN) (ANSAB)

Activity 2.1 Establish harvesters and producer enterprise levels baselines and final evaluation in the target districts (ANSAB)

Activity 2.2: Train harvesters and processing workers on FairWild and organic standards and certification (ANSAB, TRAFFIC, FWF)

Activity 2.3: Develop and update the harvester's registration system in community managed forests in the

project sites (ANSAB)

Activity 2.4: Support the set-up of the CFUGs-level harvesters and workers sub-committee for regulating the fair trade and equitable benefit sharing (ANSAB)

Activity 2.5: Develop FairWild premium fund operation guideline in each of the project districts (ANSAB)

Activity 3.1: Conduct value chain and market analysis of three target NTFPs species to identify priority markets and commercial partners to maximise their export potential (FWF, TRAFFIC)

Activity 3.2: Support the development of local capacities in Nepal to implement FairWild and enable market access (ANSAB, FWF, TRAFFIC)

Activity 3.3: Facilitate the engagement and development of trade agreements with potential identified buyers interested in sustainable NTFPs from target areas (FWF, TRAFFIC, ANSAB, NEHHPA, CWPCA, CATCM)

Activity 3.4: Support the implementation of FairWild requirements, including the traceability system (ANSAB, TRAFFIC, FWF)

Activity 3.5: Support the FairWild audit of at least five supply chains (ANSAB, FWF)

Activity 4.1: Develop an evaluation framework for assessing the long-term suitability for international trade of high-value/volume NTFPs (UOXF, ANSAB, TRAFFIC, UOC)

Activity 4.2: Develop and disseminate a practical guideline on including NTFPs harvesting and management (including monitoring responsibilities and practices) in CFUG management plans (ANSAB, FECOFUN)

Activity 4.3: Develop a model plan for decentralized alpine natural resources management (ANSAB, UCPH)

Activity 4.4: Provide orientation and hands-on training to local and national FECOFUN to facilitate the dissemination of guideline including NTFP harvesting and management along with the model plan across Nepal (ANSAB, FECOFUN)

Activity 4.5: Consultation meetings and dialogue to embed sustainability considerations in Nepal's trade policy and agreement concerning NTFPs (ANSAB, MOFE, FECOFUN, NEHHPA, TRAFFIC, UOXF, UCPH)

Activity 4.6: Support and facilitate the CBD and CITES Government authorities to comply with international conventions and targets (ANSAB, MOFE, TRAFFIC)

## Section 14 - Implementation Timetable

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### Q32. Provide a project implementation timetable that shows the key milestones in project activities

Provide a project implementation timetable that shows the key milestones in project activities. Complete the Excel spreadsheet template as appropriate to describe the intended workplan for your project.

[Implementation Timetable Template](#)

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 fill/shade only the quarters in which an activity will be carried out. The workplan can span multiple pages if necessary.

- 
- [R27 Darwin St2 Implementation Timetable NE](#)  
PAL
  - 09/02/2021
  - 15:22:25
  - xlsx 20.57 KB

## Section 15 - Monitoring and Evaluation

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### Q33. 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. Additionally, please indicate an approximate budget and level of effort (person days) to be spent on M&E (see [Finance Guidance for Darwin/IWT](#)).**

M&E is integral to TRAFFIC's work to maximise reach, effectiveness and learning. The measurable indicators in the logframe will track success on six-monthly basis, as well as enabling the ongoing adaptation of activities if circumstances change. The following elements will ensure a 'real-time' approach to monitoring and adaptive management:

- An inception meeting with all project partners, held online.
- Monthly project calls used for updates on implementation and open communication.
- Quarterly project monitoring to track high-level progress, manage risk, and adjust project management to respond to any negative, unintended impacts.
- Project Leader will provide overall supervision, including M&E. ANSAB also allocate part-time of an M&E specialist to the project.
- Under TRAFFIC's regular review system, projects are reviewed by senior staff for timeliness, conservation impact and expected outcomes, project legacy and sustainability, and budget efficiency.
- Project Annual Reports will capture intermediate (and final) results for indicators and recommendations for adaptive management.

The project components rely on robust and efficient M&E approaches to inform the interventions, measure baselines, and track the progress toward achieving project impact at the level of Outputs and Outcome. Key elements of M&E for each project output (mapping to Outcome indicators) are as follows.

Output 1: The results of the NTFP resource inventories, together with the sustainable yield studies, will inform management plans integrating participatory monitoring. Number of harvesters with increased capacity for sustainable harvesting will be monitored, together with the details on knowledge acquired. To measure the improvement in harvesting sustainability (time, methods, quantity) of NTFPs, the project will develop participatory monitoring, capturing results in reports. The FairWild certification audit documentation will provide an additional evaluation and verification of project practices and ecological impacts.

Output 2: A baseline inventory in Y1 will assess NTFPs contributions to livelihoods and health. The evaluation in Y3 will identify changes in household income and other impacts from project activities. Harvesters' and producer enterprises' capacities in FairWild principles will be monitored. Harvesters' registers' updates and the set-up of sub-committees on fair trade and equitable benefit sharing will be monitored to assess the level of participation in decision-making at CFUG-level.

Output 3: A range of NTFPs supply chain improvements will be measured, including through FairWild certification audit. The number of trading agreements will indicate the success of long-term market engagement.

Output 4: A framework will be constructed and applied to evaluate sustainability and risks from commercial NTFPs harvest. Together with the model for decentralised alpine natural resources management and the theory of change for Nepali NTFPs sector, these will provide evidence to Nepal's stakeholders for the co-development of strategic pathways for the sector, to inform trade and conservation policy. The level of



uptake of the practical guidance on integrating management into CFUGs operation plans will be measured as an indicator for Community Forestry change.  
Gender-segregated data will be collected to inform project activities through planning, implementation, M&E, especially on access and control over resources, ability to make change, division of labour and impact.

<b>Total project budget for M&amp;E in GBP (this may include Staff, Travel and Subsistence costs)</b>	£ [REDACTED]
<b>Number of days planned for M&amp;E</b>	50
<b>Percentage of total project budget set aside for M&amp;E (%)</b>	[REDACTED]

## Section 16 - FCDO Notifications

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### Q34. FCDO Notifications

**Please state whether there are sensitivities that the Foreign Commonwealth and Development Office will need to be aware of should they want to publicise the project's success in the Darwin competition in the host country.**

No

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

Yes (no written advice)

**Please attach details of any advice you have received.**

- Evidence of correspondence FCO Stage 2 Nepal
  - 09/02/2021
  - 15:24:58
  - pdf 873.49 KB

## Section 17 - Certification

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### Q35. Certification

**On behalf of the**

Trustees

**of**

TRAFFIC International

**I apply for a grant of**

£498,129.00

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 have enclosed CVs for key project personnel, letters of support, budget and project implementation timetable (uploaded at appropriate points in application).
- Our last two sets of signed audited/independently verified accounts and annual report are also enclosed.

Checked

Name	Steven Broad
Position in the organisation	Executive Director
Signature (please upload e-signature)	<input type="checkbox"/> <a href="#">Certification Nepal Darwin</a> <input type="checkbox"/> 09/02/2021 <input type="checkbox"/> 15:30:26 <input type="checkbox"/> pdf 33.28 KB
Date	09 February 2021

## Section 18 - Submission Checklist

### Checklist for submission

	Check
I have read the Guidance, including "Guidance Notes for Applicants" and "Finance Guidance".	Checked
I have read, and can meet, the current Terms and Conditions for this fund.	Checked
I have provided actual start and end dates for the project.	Checked
I have provided my budget based on UK government financial years i.e. 1 April – 31 March and in GBP.	Checked
I have checked that our budget is complete, correctly adds up and I have included the correct final total at the start of the application.	Checked
The application been signed by a suitably authorised individual (clear electronic or scanned signatures are acceptable).	Checked

I have included a 1 page CV or job description for all the key project personnel identified at Question 12, including the Project Leader, or provided an explanation of why not.	Checked
I have included a letter of support from the the Lead Organisation and main partner organisation(s) identified at Question 11, or an explanation of why not.	Checked
I have included a cover letter from the Lead Organisation, outlining how any feedback received at Stage 1 has been addressed where relevant.	Checked
I have included a copy of the lead organisation's safeguarding policy, which covers the criteria listed in Question 30.	Checked
I have been in contact with the FCDO in the project country/ies and have included any evidence of this. If not, I have provided an explanation of why not.	Checked
I have included a signed copy of the last 2 annual report and accounts for the Lead Organisation, or provided an explanation if not.	Checked
I have checked the Darwin website immediately prior to submission to ensure there are no late updates.	Checked
I have read and understood the Privacy Notice on GOV.UK.	Checked

**We would like to keep in touch!**

**Please check this box if you would be happy for the lead applicant (Flexi-Grant Account Holder) and project leader (if different) to be added to our mailing list. Through our mailing list we share updates on upcoming and current application rounds under the Darwin Initiative and our sister grant scheme, the IWT Challenge Fund. We also provide occasional updates on other UK Government activities related to biodiversity conservation and share our quarterly project newsletter. You are free to unsubscribe at any time.**

Checked

#### **Data protection and use of personal data**

Information supplied in this application form, including personal data, will be used by Defra as set out in the latest copy of the Privacy Notice for Darwin, Darwin Plus and the Illegal Wildlife Trade Challenge Fund available [here](#). This Privacy Notice must be provided to all individuals whose personal data is supplied in the application form. Some information, but not personal data, may be used when publicising the Darwin Initiative including project details (usually title, lead organisation, location, and total grant value) on the GOV.UK and other websites.

Information relating to the project or its results may also be released on request, including under the 2004 Environmental Information Regulations and 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 General Data Protection Regulation (Regulation (EU) 2016/679).