

Darwin Initiative
Round 21 of Funding

**How to apply for funding: guidance note for applicants to
the Darwin Initiative**

Stage 1 and Stage 2 applications



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How to Apply

These guidance notes provide helpful information on how to apply, what can be funded and the process used to select successful projects.

Help completing the application

Please read these guidance notes and material on the Darwin Initiative website (<http://www.darwininitiative.org.uk>) before requesting additional assistance as these guidance notes provide answers to most queries. If you can't find the answer, please contact Eilidh Young.

Email: Darwin-applications@LTSI.co.uk

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Stage 2 Applicants workshop

We will be holding a workshop in London in November 2014. This will be for applicants invited to Stage 2. This workshop is to provide support and guidance for those applying for funding – it should be particularly useful for those applying for DFID funding. You will receive details of this workshop if you are invited to Stage 2.

Aim of the Darwin Initiative

The Darwin Initiative supports developing countries to conserve biodiversity and reduce poverty.

The Darwin Initiative provides grants for projects working to help developing countries meet their objectives under:

- the Convention on Biological Diversity (CBD);
- the Nagoya Protocol on Access and Benefit-sharing (ABS);
- the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA);
- the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES)

Funding requirements for Round 21

The Darwin Initiative is funded by both the Department for International Development (DFID) and the Department for Environment, Food and Rural Affairs (Defra). It is expected that around **90% of projects will be funded by DFID and 10% funded by Defra.**

There are different eligibility criteria for projects funded by DFID for Main projects. Applications to the Darwin Initiative must identify if they are applying for funding from DFID or Defra. It is not possible for one project to apply for both funding pots.

DFID funding eligibility criteria

Applications for DFID funding must support developing countries meet their obligations under one or more of the conventions listed above AND benefit poor people living in Low and/or Lower Middle Income countries (**excluding** India). DFID can fund projects within an upper middle income country (UMIC) (**excluding** South Africa) if the application clearly demonstrates that it either:

- advances knowledge, evidence and impact in other least developed or low income countries OR
- contributes to the global public good, for example by advancing understanding and/or strengthening the knowledge base related to biodiversity conservation/sustainable use and poverty reduction OR
- contributes to serious and unique research advancements on a critical issue as a result of specific circumstances of the middle income country that could not be made elsewhere

The justification for funding in a UMIC should be presented in the case for support as well as in the logframe, identifying where there are clear impacts to be gained.

Table 1 provides the list of countries categorised by their income status. Columns 1-3 are fully eligible for DFID funding. Column 4 is eligible if the project meets at least 1 of the 3 bullet points above.

Applications for DFID funding must generate evidence on biodiversity conservation and its benefits to poverty reduction and development or directly benefit people in eligible countries. This could include projects focused on:

- over-exploitation
- invasive species
- habitat degradation and loss
- climate change mitigation and adaptation
- sustainable use
- agrobiodiversity that generates alternative livelihoods
- food security, health and water security

Defra funding eligibility criteria

Applications for Defra funding must support developing countries (Upper Middle, Lower Middle and Low Income countries **including** India and South Africa i.e. columns 1-4 of Table 1 below) to meet their obligations under the conventions listed above and address drivers of biodiversity loss.

Note: The Overseas Territories (OTs) are now only funded under Darwin Plus.

<https://www.gov.uk/browse/business/farming/grants-and-payments-for-farmers>

Defra is particularly interested in funding projects which support the **Nagoya Protocol** on Access and Benefit-sharing (ABS) and **the International Treaty on Plant Genetic Resources for Food and Agriculture**.

Projects proposed should support implementation of the Nagoya Protocol in developing countries and should be focussed on the short-term measures identified in the 5 key areas of the *Draft Strategic Framework for Capacity Development to Support Effective Implementation of the Nagoya Protocol on Access and Benefit Sharing* (Annex 1 to document UNEP/CBD/COP/12/6, available on the CBD website

(<http://www.cbd.int/doc/meetings/cop/cop-12/official/cop-12-06-en.pdf>):

1. Capacity to implement and to comply with the obligations set out in the Protocol;
2. Capacity to develop, implement and enforce domestic legislative, administrative or policy measures on access and benefit-sharing;
3. Capacity to negotiate mutually agreed terms;
4. Capacity of indigenous and local communities and relevant stakeholders, including business sector and the research community, in relation to the implementation of the Protocol;
5. Capacity of countries to develop endogenous research capabilities to add value to their own genetic resources.

Examples of ABS projects are available here: <http://www.cbd.int/abs/capacity-building.shtml>

Projects proposed to help countries implement commitments under the [International Treaty on Plant Genetic Resources for Food and Agriculture](http://www.planttreaty.org/) (<http://www.planttreaty.org/>) could also focus on the priority activities identified in the [Second Global Plan of Action for Plant Genetic Resources for Food and Agriculture](http://www.fao.org/agriculture/crops/thematic-sitemap/theme/seeds-pgr/gpa/en/) (<http://www.fao.org/agriculture/crops/thematic-sitemap/theme/seeds-pgr/gpa/en/>)

Table 1: Eligible countries for Darwin Initiative funding

Least Developed Countries	Other Low Income Countries (per capita GNI <= \$1,005 in 2010)	Lower Middle Income Countries (per capita GNI \$1,006-\$3,975 in 2010)	Upper Middle Income Countries (per capita GNI \$3,976-\$12,275 in 2010)
Afghanistan Angola Bangladesh Benin Bhutan Burkina Faso Burundi Cambodia Central African Rep. Chad Comoros Congo, Dem. Rep. Djibouti Equatorial Guinea Eritrea Ethiopia Gambia Guinea Guinea-Bissau Haiti Kiribati Laos Lesotho Liberia Madagascar Malawi Mali Mauritania Mozambique Myanmar Nepal Niger Rwanda Samoa São Tomé & Príncipe Senegal Sierra Leone Solomon Islands Somalia South Sudan Sudan Tanzania Timor-Leste Togo Tuvalu Uganda Vanuatu Yemen Zambia	Kenya Korea, Dem. Rep. Kyrgyz Rep. Tajikistan Zimbabwe	Armenia Belize Bolivia Cameroon Cape Verde Congo, Rep. Côte d'Ivoire Egypt El Salvador Fiji Georgia Ghana Guatemala Guyana Honduras India* Indonesia Iraq Kosovo Marshall Islands Micronesia, Federated States Moldova Mongolia Morocco Nicaragua Nigeria Occupied Palestinian Territories Pakistan Papua New Guinea Paraguay Philippines Sri Lanka Swaziland Syria Tonga Turkmenistan Ukraine Vietnam	Albania Algeria Antigua and Barbuda Argentina Azerbaijan Belarus Bosnia & Herzegovina Botswana Brazil Chile China Colombia Cook Islands Costa Rica Cuba Dominica Dominican Republic Ecuador FYR Macedonia Gabon Grenada Iran Jamaica Jordan Kazakhstan Lebanon Libya Malaysia Maldives Mauritius Mexico Montenegro Namibia Nauru Niue Palau Panama Peru Serbia Seychelles South Africa* St Kitts-Nevis St Lucia St Vincent & the Grenadines Suriname Thailand Tunisia Turkey Uruguay Venezuela

Notes:

All countries that appear in columns 1-3 (excluding India) are eligible for DFID funding;

*India and South Africa are not eligible for DFID funding, but are eligible for the limited Defra funds available

Eligibility criteria for both Defra and DFID funded projects

Eligibility of organisations

Applications must come from an organisation not an individual. Applicant organisations can be based in any country. Organisations applying for funding must:

- have a credible record of working on similar types of projects
- have demonstrated experience managing projects of a similar size
- nominate a Project Leader who will be responsible for the technical direction of the project and the main point of contact

If the application is accepted to Stage 2, you must provide evidence of your experience working on similar projects.

You will be asked to provide evidence of financial capability and capacity, including audited or independently examined accounts if invited to Stage 2. The Darwin Initiative expects that lead organisations will demonstrate turnover over the last 3 years of at least 25% of the value of the funds requested from Darwin. Applicants that are unable to demonstrate this will only be considered in exceptional circumstances.

The Project Leader should have relevant qualifications, demonstrable expertise in a relevant field and a minimum of 10 years of relevant experience. Stage 2 applications require a CV for the Project Leader.

Size of award

Awards range from £80,000 to around £300,000 (with an average project award of about £250,000) for a 3 year Darwin project. There is no minimum or maximum award, although the Darwin Initiative would not expect to receive a request for funds significantly outside this range.

Length of grant and start date

The minimum length of a Darwin project is one year and the maximum length is three years (36 months).

Applicants for Round 21:

- should plan to start on **1 April 2015** (you cannot start earlier)
- should contact the Darwin Applications Unit for advice in advance of submitting a proposal if they have a start date later than **1 November 2015**
- should not submit an application with a start date later than **January 2016** as they will not be accepted for Round 21
- require approval to change a start date after the grant is awarded and approval is not guaranteed

Be aware that the Darwin Initiative financial year runs from 1 April to 31 March and project finances for each year are required to report to these dates. It is recommended that your project runs to the same financial year.

Matched funding

Matched funding is not obligatory but is highly desirable. The amount of matched funding is not prescribed but should be proportionate to the requirements of the project. Where matched funding is not identified, applicants must detail why matched funding is not appropriate for their project. More information on financial guidance can be found in Annex A.

Partnerships and Ethics

Darwin projects are expected to meet the following key principles of good and ethical development project implementation practice.

All Darwin projects must:

- meet all legal and ethical obligations of both the UK and the countries involved in the project, including relevant access and benefit sharing legislation pertaining to the utilisation of genetic resources
- follow access and benefit sharing best practice where there is no legislation or measures in country <http://www.cbd.int/abs/instruments/default.shtml>
- include strong leadership and participation from developing countries and the communities directly involved to enhance the chances that the perspectives, interests and well-being of those directly affected by specific projects are properly addressed
- recognise the potential value and relevance of traditional knowledge utilise it where appropriate, alongside international scientific approaches and methods
- respect the rights, privacy, and safety of people who are the subject of research and other project activities or other intended beneficiaries, whether direct or indirect
- use Prior Informed Consent (PIC) principles with partner communities
- protect the health and safety of all staff working full and part time on their project
- uphold the credibility of any research and other findings

Project Leaders and their host organisation are responsible for the health and safety of all staff working full and part time on their project and Project Leaders should ensure that the same rigorous standards for assessing health and safety risks are applied to all staff on the project, regardless of nationality.

Any project staff involved in the design or conducting of research should maintain the independence and integrity of the research process and ensure that they maintain an intellectual detachment from any personal convictions relating to the topic of their research.

If invited to Stage 2 you will be asked to demonstrate how your project meets these principles.

Conditions of grant

The grant award letter for successful projects will set out conditions that will apply to the grant, including the grant purpose, value, period, and reporting and financial arrangements.

The full schedule of terms and conditions currently in use can be found at <http://www.darwininitiative.org.uk/resources-for-projects/reporting-forms> and you should read this before making an application. The Darwin Initiative retains the right to amend the conditions at any time.

PhD funding

You can include PhD students on your project as research staff provided that you don't include their fees as part of the project funding.

Audit costs

An audit of project expenditure is required at the end of the project. A total of up to £1,500 can be allocated from your budget for these costs. The audit must be carried out by a certified and independent auditor.

Security considerations and political sensitivities

Many of the eligible countries for Darwin Initiative funding may have potential security or political considerations.

For work in these countries you should consult your Foreign Affairs Ministry for advice before applying. UK applicants should consult the Foreign and Commonwealth Office (FCO) travel advice website (<http://www.fco.gov.uk/en/travel-and-living-abroad/travel-advice-by-country>).

The Darwin Initiative consults the FCO on all Stage 2 applications on any security or diplomatic concerns. A project may not be approved where the FCO advises against travel to a particular country or region. Decisions are made on a case-by-case basis. Any funding recommendations to the Minister may depend on security concerns being met.

Applications may also be shared with other departments within the UK Government.

UK Embassies and High Commissions may want to publicise the announcement of a new award. If you feel you may need advice on any sensitivities, or the relevant Embassy needs to be aware of sensitivities before making any announcement, please tick the relevant box on the application form.

Application Process

Applications will be administered independently by LTS International.

There is a two stage application process due to the high level of competition.

Stage 1: A short concept note style application. Open call for applications.

Stage 2: A larger, more comprehensive application form. By invitation only.

Application forms

All applications must be submitted:

- in Word format using the Darwin application forms
- in English
- in font size not less than Arial 11pt.
- within word limits specified

Applications that exceed word limits, are incomplete, or do not meet the published criteria will be rejected.

Submitting your application

Stage 1 applications

Stage 1 applications must be received by e-mail by midnight GMT on **3 July 2014**. Please do not send a hard copy.

We will acknowledge receipt of your application not later than midday on Wednesday 9 July 2014. After this date, if you have not received an acknowledgement, please call +44 (0)131 440 5181 as it is highly likely it has not been received and will not be considered for funding.

Please **do not** call between 3 July and 9 July.

Stage 2 applications

Stage 2 applications must be received by e-mail by midnight GMT on **1 December 2014**. Please do not send a hard copy.

We will acknowledge receipt of your application not later than midday on Wednesday 4 December 2014. After this date, if you have not received an acknowledgement, please call +44 (0)131 440 5181 as it is highly likely it has not been received and will not be considered for funding.

Please **do not** call between 1 December and 4 December.

Results of applications

Once the results are agreed, written feedback will be issued to all project applicants (both successful and unsuccessful). This is sent by e-mail to the Project Leader identified in the application.

Resubmission of applications

If your application is refused, you may submit it to a subsequent application round. A resubmitted application will only be accepted on one occasion, unless there is prior agreement owing to exceptional circumstances. Applicants should re-submit according to the guidelines applicable to the round in which the resubmission is made.

Supporting material for your application

Stage 1 applicants should only submit the completed application form. You should not submit any supporting documents.

Stage 2 applicants should provide the following supporting material:

- (If appropriate) a brief covering letter with details of your response to feedback on your Stage 1 application if it is not possible to incorporate this into the application
- a fully costed budget in GBP in Excel format (for applications from organisations outside the UK, the exchange rate used and its source must be identified)
- one page CVs for the project principals named in question 7 highlighting relevant experience for this project
- letters of support from the host organisation and respective partners, endorsing the partnership and value of the project to the host country(ies)
- A copy of your organisation's last 2 sets of signed audited or independently examined accounts (or the most recent if they have not yet been completed) and annual report. Your audited or independently examined accounts should be submitted by electronic link to your website, if appropriate, or via e-mail. Please do not send these by hard copy.
- details of past experience and previous contracts or awards held if you are new to the Darwin Initiative (you have not previously been the lead organisation for main round funding)
- details of any dialogue with the relevant Embassy or High Commission in the host country/ies

Additional documents or annexes falling outside of the list above will not be passed to the Committee for their consideration unless they have been specifically requested by or on behalf of the Committee.

Letters of support

Letters of support should be in English or with an English translation. Letters of support from any other organisation to be involved in the project are used as part of the assessment. Without these letters, the application will still be assessed, but will be considered less favourably. Letters of support are required:

- as evidence of your relationship with partners and contacts within the host country
- to support the demand for the work

- to show the applicant's ability to meet deadlines and to be able to achieve results with local contacts.

Acceptance of the application

If you are successful at Stage 2 you will receive an offer of funding and we will contact you with grant paperwork. The Darwin Initiative retains the right to clarify any issues raised during the application process and also retains the right to withdraw an offer if the applicant is subsequently unable to meet the requirements of the award.

Please read the current Terms and Conditions of award to ensure understand the reporting and finance requirements of the award.

Assessment Process

Applications will be assessed by the Darwin Expert Committee (DEC). The composition of the DEC can be found on the Darwin website.

The DEC follows a strict code of practice. If any member has been involved in the development of an application, they will declare their involvement and will not assess that particular project.

Applications to the Darwin Initiative are assessed in a number of ways to ensure only the strongest projects are accepted for funding.

An overview of the process for assessment is:

- 1) **Initial review:** Applications that do not meet the essential eligibility criteria will be rejected. You will be informed what the reasons for rejection are
- 2) **Expert peer review:** Eligible applications will be distributed to three or more DEC members for scoring against the assessment criteria
- 3) **Moderating panel:** The DEC uses comments and scores from peer review to recommend projects for Stage 2 or for funding.

Assessment criteria

Technical Assessment Criteria

The application will be assessed by the DEC against the criteria below to generate a score. The DEC will use these three scores to determine the suitability of your project for funding.

Score 1: Technical Merit of Proposed Project

- 1) The methodology outlined is scientifically robust, clear and sufficient to achieve the outcomes detailed in the application.
- 2) Demonstrates a highly collaborative approach, involving local institutions or communities in developing country/ies in equitable partnerships at all project stages (including development). Letters of Support should be available from all partners listed in the application.
- 3) The project has outlined a strong ethics statement that meets the Darwin Initiative's key principals for ethical projects.
- 4) The outputs and outcomes from the projects funded under the Initiative are new and additional, and will not significantly cut across or duplicate work being funded through other mainstream environment and development or research programmes.
- 5) The project provides a clear plan of how it will make data and project outputs publicly available.
- 6) The project demonstrates it will build capacity at institutional or individual levels in developing countries in support of the conservation of biodiversity and, for DFID funded projects, its linkages with poverty reduction.

- 7) The project demonstrates good value for money. This should be shown by the expected results from the project against the amount of funding needed. A successful application will point to tangible evidence of value for money in the delivery of the project's results.
- 8) Demonstrates an ability to lever additional funding. This could be achieved through matched funding from the private sector, charitable organisations or other public sector schemes. Matched funding should be proportionate to the project i.e. if the work requires substantial matched funding, but none is secured, this is likely to be seen as a negative. Where match funding is not identified applicants are expected to detail why match funding is not appropriate for their project.
- 9) The CVs submitted are relevant to the work outlined.
- 10) Has a well-defined exit strategy in place from the start of funding to encourage sustainability.
- 11) The project's plans for monitoring and evaluating impact are sufficient to allow them to demonstrate results (including to the Darwin Initiative), learn from their experience, to improve service delivery, and support planning and allocating resources.

Score 2: Biodiversity Impact of Project

- 1) Demonstrates the work will make a clear contribution to the biodiversity conventions supported by the Darwin Initiative and about the species that will benefit from the project.
- 2) Demonstrates a clear and measurable outcome for the conservation and sustainable use of biodiversity. Applicants are able to demonstrate that the proposed project will be of real value to the biodiversity and development of the host country/ies by meeting a clearly identifiable need within that country or region.
- 3) Demonstrates how the project will leave a legacy, through a real and lasting impact on the capability of the recipient country/ies to meet its obligations under the conventions.
- 4) Projects will raise awareness of the potential or actual value of biodiversity (and the services it provides). Projects that tackle work in an area of biodiversity that has previously been neglected or undervalued are desirable.
- 5) Projects should, wherever possible, be innovative and distinctive. They could show a new approach to a problem or issue and not cover old ground; alternatively they could take a tested methodology and apply it to a new area or issue.
- 6) Projects that deliver primary data and research which contribute to an enhanced understanding of the links between biodiversity and (for DFID funded projects) poverty are highly desirable.

Score 3: Poverty Benefit

NOTE: The Poverty Benefit score is only essential for projects applying for DFID funding.

- 1) Identifies clearly how the project will benefit poor people living in Low and Lower Middle Income countries as specified by the OECD list of countries (excluding India)

at <http://www.oecd.org/dac/stats/daclistofodarecipients.htm> (see Section 1.3 for more details). For projects identified as occurring in an upper middle income country (right hand column, excluding South Africa), does it meet at least one of the following criteria:

- advancing knowledge, evidence and impact in other least developed or low income countries, either within the same region or other regions;
- delivering global public goods benefits by, for example, advancing our understanding of local - global impacts and/or strengthening understanding of/evidence for global dimensions of biodiversity conservation/sustainable use and poverty reduction;
- making serious and unique research advancements on a critical issue as a result of specific circumstances of the middle income country that could not be made elsewhere.

IF NO FOR THIS CRITERION, THERE SHOULD BE A ZERO SCORE FOR THIS WHOLE SECTION.

- 2) Takes an approach that will help improve the lives of poor people whilst also contributing to the conservation and/or sustainable use of biodiversity. This will involve making explicit links between conservation of biodiversity and poverty reduction.
- 3) Demonstrates a clear contribution to poverty reduction (that is intrinsically linked to biodiversity), including demonstrating how the activities proposed are relevant to, and how they will contribute to improving, the lives of poor people in the poorest developing countries. This can include research as well as action, so long as that research makes a clear direct or indirect contribution towards poverty reduction, currently or in the future. This research need not be focussed on the local scale.
- 4) Demonstrates good value for money in terms of scale of impact expected. For projects undertaking innovative approaches e.g. piloting a new approach, will risks for poor or vulnerable groups be sufficiently managed to avoid loss?
- 5) Is the M&E robust enough to measure impact and progress? In particular, will the M&E be capable of capturing the intended impacts (positive and negative) on economy and welfare of target groups.
- 6) Do the organisations identified as partners have sufficient expertise and experience to undertake the work identified? Are there any skills missing in the proposed partnership?
- 7) The CVs submitted clearly outline the expertise of the team and this closely fits what is required for delivery of this type of project e.g. socio-economic expertise for a project relying on socio-economics, tourism expertise for a project focusing on ecotourism etc.

Assessment of costs

Costs are rigorously examined during the assessment process and decisions are based on realistic and justifiable budgets to deliver the work plan as well as the value for money justification in the application. Final awards may be subject to negotiation with the Darwin Secretariat.

Assessment Scoring

Score	Description
8	The proposed work meets all of the assessment criteria and exceeds several . All of the assessment criteria are met to a very high standard and in fact the project goes above and beyond what is expected in a Darwin Initiative project. The project will significantly contribute to the objectives of the Darwin Initiative.
7	The proposed work meets all of the assessment criteria . All of the assessment criteria are met to a high standard. There are no changes that would improve this project. The project is likely to significantly contribute to the objectives of the Darwin Initiative.
6	The proposed project meets all the of assessment criteria . The majority of the assessment criteria are met to a high standard. There are few minor issues which if addressed may improve the project but they are unlikely to be detrimental to the delivery of the project and should not prevent it from being funded without changes being made.
5	The proposed work meets most of the assessment criteria . The criteria it does meet are mostly to a high standard. There are minor issues that could improve the project but these are unlikely to significantly impact the project's success and should not prevent it from being funded. It is likely to significantly contribute to the objectives of the Darwin Initiative.
4	The proposed work meets most of the assessment criteria . The criteria it does meet are often to a good standard. There are a few minor issues that would improve this project which they would be advised to consider if funded. It is likely to contribute to the objectives of the Darwin Initiative.
3	The proposed work meets most of the assessment criteria . Those criteria it does meet are largely to an acceptable standard. It is likely to contribute to the objectives of the Darwin Initiative. The project has some issues with design which the team would be recommended to review to increase its suitability for funding.
2	The project meets some of the assessment criteria . Those criteria it does meet are to a modest standard. Overall however, it is inconsistent in terms of the assessment criteria. The application requires changes to make it suitably address the assessment criteria to make it competitive.
1	The proposed work is unsatisfactory and meets only a few of the criteria outlined. The proposed project is likely to require significant alterations to make it address the assessment criteria.
0	For special cases e.g. flawed in scientific approach, subject to serious technical difficulties, unclearly written that it cannot be properly assessed, success depends on the project student or is duplicative of other research. Fails to meet any of the criteria outlined.

Awarded Grants

The award is made to the applicant institution, not to an individual. The Project Leader will be the first point of contact for all aspects of project management (including financial management), and will be responsible for the overall management of the project and accountability of the award, on behalf of the institution they represent.

Contact details will be required for a nominated individual from the finance section of the institution to whom the award is made. This person may be identified once the grant has been offered.

Reporting Requirements

All projects are required to submit a Final Report at the end of the award.

Projects lasting for more than one year must provide Annual and Half Year progress reports that are reviewed each year. These reports must provide robust reporting against intended objectives and include information on outputs and ethics and environmental impact.

To continue receiving funding from the Darwin Initiative reports must be complete and within deadlines. If you do not meet these requirements your funding can be stopped.

Open access policy and data sharing

Darwin projects are likely to generate significant outputs including datasets, peer-reviewed journal articles and technical reports which will be of interest to other countries and stakeholders.

In line with UK Government's open access policy all outputs from Darwin projects must be made available on-line and be free to users whenever possible.

In the application, please consider the project outputs you expect and how this information can be shared with others.

You may include appropriate costs in your budget for open access.

For further information on open and enhanced access see the guidance at: <https://www.gov.uk/government/publications/dfid-research-open-and-enhanced-access-policy>

Project datasets

Data collection, analysis, management and storage protocols should be established to ensure the integrity of research findings and their subsequent use within the research team, Darwin Initiative and eventual wider public domain.

The application should demonstrate that the publication of results and secure data storage has been thought about, a plan exists and appropriate resources are included.

Data protection and use of personal data

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

Defra is the data controller in respect of any personal data that you provide when you complete any Darwin application form.

Defra will use your personal data for the purposes of administering the Darwin Initiative.

Application form data will be held by contractors dealing with the administration, monitoring and evaluation of the Fund. Information from parts of the application form will be extracted into the Darwin Management database which is used to administer the Darwin Initiative. The extracted information contains contact information for both individuals and institutions. Information included in certain sections (which are marked clearly in the application forms) will be made publicly available through the website shortly after the final agreement and acceptance of project funding, if your application is successful. You will have the opportunity to revise the material as appropriate.

Applicants for Darwin Initiative funding must agree to any disclosure or exchange of information supplied on the application form (including the content of a declaration or undertaking) which Defra considers necessary for the administration, evaluation, monitoring and publicising of the Darwin Initiative. A completed application form signifies agreement to place certain details (i.e. name of the project and location of project work) on the Darwin Initiative and Defra websites, a Darwin Initiative circulation list, and to send data to British Embassies and High Commissions outside the UK and Governor's offices in Overseas Territories, including those outside the European Economic Area.

Application form data will also be held by contractors dealing with Darwin Initiative administration, monitoring and evaluation. Information (including personal data) may also be released on request, including under the Environmental Information Regulations 2004 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 Data Protection Act 1998.

Details relating to financial awards may be withheld at the outset of a request for information, subject to any order to disclose, if this is specifically requested by the grant/award recipient. Personal details (emails, phone numbers and personal salaries) will be withheld from project material posted on the Darwin website, although the total award will normally be made public.

Annex A: Guidance on Financial Issues

Applicants should ensure they read and follow this guidance carefully. Any further queries on financial issues should be directed to the Darwin Applications Unit.

Budget requirements at Stage 1 and Stage 2

The Stage 1 application does not require detailed information, only indicative budget totals per financial year.

The requested budget may vary between Stage 1 and Stage 2, although you should provide information about any substantial change within the text.

The Darwin Initiative is only able to reimburse costs within the year in which they are incurred so you should take account of this in planning your project budget, particularly if there are likely to be significant costs in March/April, to ensure that you have adequate budget in the appropriate financial year.

For Round 21, **you must** end your project by 31 March 2018.

Matched funding

For projects with matched funding it is important to ensure the work funded by the Darwin Initiative is clearly identified and accounted for if part of a larger piece of work. Darwin Initiative funding should not be subsumed into a larger programme – it should be possible to clearly identify what the funding will be used for and be possible to fully account for the expenditure against impact.

Balance of funding for Implementing Partners and Host country institutions

Applicants should ensure that an appropriate balance of funding between developed country/'external' partners and developing country costs is presented, including salary costs. Applicants are strongly advised to seek clear agreements with all partners (included in a Memorandum of Understanding (MoU) as appropriate) on levels of funding required by respective partners and how funding will be routed.

Overheads

Defra will decide whether the level of overheads charged to the Darwin Initiative is reasonable.

Full economic costs

Full Economic Costs are applied by UK Academic institutions. If your institution applies FEC you should apply the figure your institution uses though the Darwin Initiative will not pay FEC costs above 40%. The Darwin Initiative will also not pay FEC on any proportion of a salary that has matched funding.

Inflation on salaries

Costs declared for salaries should include expected salary increments along with a projection of likely annual inflation during the course of the project, up to a maximum of 3% per annum. The Darwin Initiative may ask for salary charges to be reduced if levels are considered too high.

Capital costs

Capital costs are substantial purchases and may include vehicles and large pieces of equipment. Items that may not last longer than the lifetime of the project, or are consumables such as printer ink or protective clothing, should not be identified as capital costs. You should also note that Darwin is unable to pay for the purchase of land or the construction of permanent buildings.

Capital costs paid from Darwin funds should be no more than 10% of the Darwin grant, except in particular cases where additional expenditure is essential for the project. It is expected that capital equipment will remain with the host country partners after the project has ceased. If any capital item is sold, a share of the proceeds in the same ratio as the grant contribution to the total set cost should be refunded to Darwin or offset against any further approved expenditure.

You may be asked for further information on this during the application process and will be asked to provide information about capital costs during and at the end of the project, if your application is successful.

Audit costs

An audit of project expenditure is required at the end of the project. A total of up to £1,500 can be allocated from your budget for these costs, but this amount will be ring-fenced and any underspend cannot be reallocated elsewhere. The audit must be carried out by a certified and independent auditor.

Sending and receiving money

For institutions with bank accounts outside the UK it is likely you will incur a charge for receiving Darwin funds. This cost can be built into your budget as an overhead.

Annex B: CVs and Expertise of Project Team

Stage 2 applicants must submit CVs for the senior team including the Project Leader, in English. These are 1 page CVs intended to demonstrate that the project will have sufficient expertise to carry out the work.

The CVs should be suitably tailored for the work outlined. Below are some useful hints to help applicants. **Table 2** also provides a handy summary of what aspects of the CV our reviewers look at and what this demonstrates to reviewers.

Useful Approaches

- **Make it clear what role the individual will have in the project**

Use the CV as an opportunity to outline what the role will entail and why the individual is appropriate for this work.

- **Ensure the CV demonstrates the skills and expertise one would expect to have in order to undertake the role**

A tailored CV will help us to assess the skills and experience of the individual and whether there is sufficient expertise demonstrated in the team to undertake the intended role in that specific project.

Common Mistakes

- **Submission of academic style CVs for a practical role**

A CV that is heavily focused on academic qualifications, teaching and publication records does not often clearly demonstrate the practical skills the individual has to undertake field-based work with teams of people. In a 1 page CV, it is suggested you keep list of publications brief and focus more on the skills and experience that are relevant to the role.

- **An unbalanced team**

Ensure the skills of the team meet the requirements of the project. For example, if the project includes substantive livelihoods work one might expect to see a livelihoods expert or a socio-economist on the team.

Table 2: Summary of the main aspects of CVs reviewed and why

Section of CV	What this tells the Reviewer	Comments
List of academic qualifications	The individual has received formal training in this field	Ensure you provide details of where they were achieved and when.
List of publications	This individual is a good writer. The individual's research outputs are accepted by peers as being of good quality	This doesn't show that the individual has undertaken much or any of the practical work required to undertake the research.
List of courses/lectures given	The individual is a recognised teacher	This doesn't show that the individual is capable of undertaking practical field work particularly in a non-academic setting.
List of Post Graduate Students	This individual is a recognised research supervisor	This doesn't show that the individual is capable of undertaking practical field work, although may be relevant if the project involves significant mentoring of local students
List of funding received from donors/ research councils	The individual is good at leading research teams The individual is good at obtaining funds	
Previous roles/ positions	Depends – see comments	If this is a list of job titles i.e. lecturer, coordinator, researcher then it is unlikely this list will provide much useful detail. It is much more helpful to see a short summary on what the role entailed and ideally tailor it to the work expected to be carried out under the new project.
Skills and experience	The person has skills and experience that may or may not be relevant to their proposed role in the project	This can be a short list of bullet points or a more detailed narrative. You are highly recommended to tailor this list to ensure the relevance of the work proposed in the new project is highlighted.
Countries worked in	This individual has experience working in a range of environments (political, social, legislative etc.).	We do not expect all members of the team to have worked in the host country but, depending on their role in the project, we do expect team members will have had some form of experience working in similar developing countries especially if the individual has a senior role in the project.

Annex C: DFID funded projects

From 2012, Darwin projects funded by DFID must also clearly demonstrate how they will contribute to, or have a direct impact on, the economic development and welfare of poor people in **eligible** developing countries.

The goal of Round 21 is to produce, or put into use, enhanced knowledge of biodiversity and its benefits to poverty reduction and development. Projects may look to address the environmental, social, political or economic dimensions of governance and decision-making processes and the interactions between them in a way that benefits biodiversity and delivers obligations under at least one of the three biodiversity conventions supported by the Darwin Initiative.

Successful applicants will demonstrate a clear understanding of development needs in their target situation and outline their approach to addressing some of these development needs to achieve poverty reduction. The linkages between biodiversity conservation and its sustainable use, and poverty reduction are likely more complex therefore projects are encouraged to consider relevant social, cultural or political processes.

It is expected that in all cases the applicant will be able to demonstrate that the project will contribute to, or provide direct benefits to, both poverty reduction and biodiversity conservation – Darwin is looking for projects that can demonstrate a win-win for both poverty reduction and biodiversity conservation.

Projects should exhibit several (but not necessarily all) of the following features:

- delivering or putting into use research that can change people's lives, understanding or behaviour: producing evidence that can generate influence and effect among academics, practitioners and other users
- addressing an important policy question that affects biodiversity conservation and its sustainable use and development outcomes with special emphasis on poor people in eligible low income countries
- producing evidence that is based on a thorough understanding of political, social, economic and ecological drivers of change, which decision-makers can use to change policy and/or formulate new and appropriate policy responses
- improving existing and/or developing new and innovative tools, approaches, mechanisms and technologies for effective management of biodiversity conservation and its sustainable use, in the context of poverty reduction
- conducting research at scales that will lead to wider impacts on, and thus advances in, policy, decision-making and behaviour (e.g. local, regional, national, international)

Official Development Assistance (ODA)

Official Development Assistance (ODA) is defined as providing economic development and welfare benefits to a developing country which, in the case of the Darwin Initiative, is a Low Income, Lower Middle Income or Least Developed country by OECD definitions, but excluding India or South Africa. All DFID funded projects must meet the requirements of ODA.

A briefing note was produced in 2012 to help projects understand what these requirements are for Darwin Initiative projects.

Direct Benefit

This refers to projects that deliver practical on-the-ground outcomes. That is, you will be working directly with conservation challenges in host countries.

These projects will be expected to demonstrate what benefits will be achieved through the project. These benefits may have a direct economic impact (ie on household income, on GDP) or a direct impact on welfare issues (eg increased well-being, reduced vulnerability).

The Millennium Development Goals (MDGs) (<http://www.un.org/millenniumgoals/>) outline the major objectives DFID and its partners are working towards, which includes welfare issues such as hunger, water security, infectious diseases which have clear links to environmental management. In discussion are the sustainable development goals which are expected to come into effect beyond the 2015 target date of the MDGs.

For these direct impact projects it is important for projects to identify:

- what will the poverty benefits be as a result of the project? Are there risks for poor or vulnerable groups as a result of the work outlined? What is the scale of impact expected (ie 5 households see a small increase in income or 500 households see significant improvements in water security).
- who are the intended recipients? Will the project target specific groups ie rural poor, indigenous peoples or will the benefits be felt at a national scale?
- what is the potential sustainability of the venture?
- if the venture is dependent on production of a new product, is there a market for this product e.g. handicrafts, ecotourism, honey, and is this market expanding or contracting?
- how will you measure these poverty gains? is the Monitoring and Evaluating methodology (M&E) robust enough to measure impacts and progress?

Indirect Benefits

These projects tend to be more orientated towards research (be it policy or ecology or other), management effectiveness or capacity of institutions to implement biodiversity management measures. These types of projects may expect to have limited direct impacts on the ground (on poverty and/or biodiversity) that would be measurable in the life of a Darwin project. Despite this, they will still be expected to be working towards the objectives of the Darwin Initiative of biodiversity conservation and poverty alleviation.

To be eligible for DFID funding, these projects still need to be able to demonstrate how this work will contribute to the objectives of biodiversity conservation and poverty alleviation currently or in the future.

For example, a policy orientated research project will probably need to demonstrate that it is fully engaged with the policy environment in the target country, it has identified avenues for getting the results of this research heard and listened to by Government, NGOs, donor agencies or others that have substantial influence on the development of policy. It is also essential that the results of research are packaged in a format that is accessible to the policy makers (and influencers) in your host country.

For example, peer review papers are rarely read and used by policy makers and are often inaccessible to those outside academia.

It is not sufficient for ODA eligibility criteria for projects to merely release the results of research at the close of their project and hope that there is a suitable audience for the results.

Annex D: Measuring impact - guidance on the logical framework

Measuring impact

The Darwin Initiative is a results-focused fund which puts emphasis on measuring impact. As a government fund, the Darwin Initiative must be fully accountable for its actions and funded projects. In addition, DFID, as one of the funders of the Darwin Initiative, is bound by the International Development Act (2007) with funds classified as Official Development Assistance (ODA) which places certain requirements on DFID's reporting and accountability.

Monitoring and evaluation is not just about accountability. It should allow projects to review their progress and evaluate their success in reaching their identified objectives.

DFID uses the definition of evaluation agreed by the OECD Development Assistance Committee and widely accepted by the international development community:

"The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation, and results in relation to specified evaluation criteria."

This annex is not intended to be a fully developed resource for undertaking project level monitoring and evaluation. There are numerous resources available that provide useful step-by-step instructions for developing project level monitoring and evaluation systems including handy toolkits. Some of these resources include:

- World Bank Monitoring and Evaluation: Some tools, methods and approaches http://siteresources.worldbank.org/EXTEVACAPDEV/Resources/4585672-1251481378590/MandE_tools_methods_approaches.pdf
- Rogers 2012 Introduction to Impact Evaluation <http://www.interaction.org/document/introduction-impact-evaluation>
- Perrin 2012 Linking Monitoring and Evaluation to Impact Evaluation <http://mande.co.uk/2012/uncategorized/linking-monitoring-and-evaluation-to-impact-evaluation/>

Guidance on how to fill in the Logical Framework

A logical framework is an expression of the 'results chain'. That is, the results you expect to achieve as a result of the project outlined in your proposal. The figure below provides an example of a results chain.



Note: We have provided worked examples using an imaginary Darwin project. This is purely an example and is not taken from any existing Darwin projects.

Impact

The impact statement is a long-term objective that the project aims to achieve but is outside of the timeframe of the proposed project. The Impact is not intended to be achieved solely by the project. This is a higher-level situation that the project will contribute towards achieving. All Darwin projects are expected to contribute to poverty reduction and sustainable management of biodiversity and its products.

Worked Example – Impact

Food security is improved for Madagascar’s rural poor living in the Onilahy watershed as a result of micro credit schemes that reduces reliance on bushmeat that also improves biodiversity status of key bushmeat species.

Outcome

The outcome statement is the overarching objective of the project you have outlined. That is, what do you expect to achieve as a result of this project. There can only be one Outcome for the project and the outcome should identify what will change, and who will benefit. All Darwin projects should be able to detail how the project will contribute to reducing poverty and contribute to the sustainable use/conservation of biodiversity and its products irrespective of whether the country is eligible for DFID funds.

Worked Example – Outcome

Micro credit schemes support 10 rural communities in the Onilahy watershed to move from subsistence hunting to sustainable livelihoods which results in improved biodiversity status of key bushmeat species.

Measuring outcome – indicators

Indicators are the tools and mechanisms you will use to measure the changes your project is effecting. Indicators should be useful both for internal reflection but also for

external reporting. They should allow you to demonstrate what you have achieved and when.

Indicators at this level should be at 'outcome' level – i.e. these are relatively high level indicators and may not be achieved until in the closing stages of your project. It is therefore advisable to break these indicators down into milestones so that project progress can be assessed at regular intervals, not just at project end.

The Darwin Initiative strongly encourages the use of SMART indicators. That is:

- **S**pecific,
- **M**easurable,
- **A**chievable,
- **R**ealistic, and
- **T**imely.

The best indicators are quantifiable as well as holding some element of quality. In addition to being quantifiable, project leaders should consider ways of measuring quality and performance. It is unlikely that one indicator will be sufficient at this level.

The indicators should ideally cover not only environmental aspects, but also social, economic and institutional elements of intended change.

Provide detail of what you will measure to assess your progress towards achieving this outcome. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure the outcome – if you have more than three indicators please just insert a row(s).

Worked Example – Outcome Indicators

- Enhanced agricultural output reported for villages targeted under the micro-compensation scheme with yield increasing by 20% by year 3 from a baseline of xx tonnes per HH per year.
- Households involved in micro-credit scheme sees incomes increased from \$1.20 a day to \$1.50 a day by year 3.
- Bushmeat quotas agreed by community groups based on species in place by yr3.
- Population metrics of key bushmeat species show marked reduction in losses due to hunting by yr3 from a baseline of xx of species xxx captured per year.
- Bushmeat occurrences recorded in local markets reduce from 10 per visit to 7 by yr3.

Verifying outcomes

In order to verify that indicators have been achieved, it is important to identify during the design stage what materials you will use to verify this. In essence this is the 'source' material that supports your accounts of achievement. These could be public access documents such as annual reports, or could be materials that the project will need to collate and publish themselves. Examples of materials used includes: publications, surveys, meeting minutes, newspaper articles, project notes, reports, tapes, videos etc. It is important to remember these sources will be used by the project team to verify progress, but also by outside reviewers.

Worked Example – Verifying outcomes

- Agricultural yield, agricultural extension workers reports, Annual report Ministry of Agriculture
- Household economic surveys, focus group reports, satisfaction surveys.
- Hunting surveys, biodiversity surveys, household economic surveys, hunting group meeting minutes
- Market surveys, Ministry of Wildlife reports

Risks and important assumptions

It will be clear when checking this logic that achievements are also dependent on external conditions which are outside the control of the project. Risks and assumptions should be aspects that are outwith your control therefore it is important to maintain an understanding of these factors to ensure your project in its current format is still achievable – that is you should monitor the situation as if the situation changes it will necessitate a change in approach for your project.

Worked Example – Risks and important assumptions

- Madagascar remains relatively stable politically during implementation
- Natural disasters such as cyclones do not impact agricultural output
- Target communities remain open to working with the project

Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the project Outcome. That is, if the outputs are achieved then the logic is that the outcome will also be achieved. The logic of the chain from Output to Outcome therefore needs to be clear. Most projects should expect to require 3 or 4 outputs in order to achieve the intended outcome. Rule of thumb suggests more than 5 outputs for a project the size of Darwin Initiative projects

is excessively complex. Often, 2 or more outputs can be combined since they are steps in the same deliverable.

Worked Example - Outputs

1. Agricultural pilot farms established to generate better understanding of soil conservation, low tillage farming practices that improves yield and reduces fertiliser reliance. Understanding of economic potential of improved agricultural practice vs. hunting practice.
2. Bushmeat hunting practices understood including species composition (conservation status), hunting rates, calorific intake of hunting vs. agriculture, cultural practice (e.g. fadys) including gender and age of hunters, hunting seasons vs. breeding/seasonal sensitivities.
3. Bushmeat hunting quotas developed through participatory methods with hunting groups. Quotas set based on species composition and socio-economic needs as a balanced approach.
4. Micro-credit schemes established in 10 pilot villages supporting sustainable agricultural enterprises.

Measuring outputs

Much the same as for measuring outcomes, a series of indicators for each Output is expected. These indicators should allow you to measure the change effected by your project and your progress towards achieving the outputs. The output level indicators should not be a rewording of activities but capture quality as well as quantity, for example what was the outcome of training not simply that it was carried out.

Worked Example – Measuring Outputs

1. Agricultural pilot farms generate better understanding of soil conservation, low tillage farming practices that improve yield and reduces fertiliser reliance.
 - 1.1. 6 Pilot farms of 5ha minimum established by yr 1.
 - 1.2. Working paper outlining success of soil conservation techniques over dry and wet season accepted by Ministry of Agriculture
 - 1.3. Agricultural extension workers manual distributed within Onilahy watershed by yr 2
 - 1.4. Peer review paper submitted for publication on success of soil conservation techniques in improving agriculture yield in varying micro-climates.
 - 1.5. Socio-economic paper submitted to Ministries of Agriculture and Wildlife for consideration by yr 2.
 - 1.6. Regional Working group on bushmeat hunting established by yr 2.

2. Bushmeat hunting practices understood including species composition, hunting rates, calorific intake of hunting vs. agriculture, cultural practice (e.g. fadys).
 - 2.1. Bushmeat hunting review produced by yr 1 and submitted for Ministry of Wildlife for review;
 - 2.2. Workshop on bushmeat hunting held in partnership with Ministry of Agriculture by yr 2.
 - 2.3. Peer review paper submitted for publication on bushmeat hunting and its relation to cultural practices in SW Madagascar.

3. Bushmeat hunting quotas developed through participatory methods with hunting groups. Quotas set based on species composition and socio-economic needs as a balanced approach.
 - 3.1. Hunting quotas established through participatory planning with 10 hunting groups by yr 2
 - 3.2. Hunting groups self-reporting on success of venture submitted by yr 3.
 - 3.3. Income levels of hunting groups involved in project crease from \$1.20 per day to \$1.50 per day by year 3
 - 3.4. Bushmeat recorded in local markets reduces from 10 per visit to 7 per visit by year 3.

4. Micro-credit schemes established in 10 pilot villages supporting sustainable agricultural enterprises.
 - 4.1. 10 villages operating micro-credit schemes achieve 20% increase in HH income on average by yr 3 from a baseline of \$40 a month.
 - 4.2. 20% Female headed households report fewer 'hungry' months by yr 3 from a baseline of 4 hungry months a year.
 - 4.3. Agriculture yield in the 10 pilot villages increase by 20% by yr 3 from a baseline of xx kg per growing season.
 - 4.4. Project gets requests for inclusion in micro-credit schemes by end of yr 3.

Risks and important assumptions

Similar to the risks at outcome level except this relates to risks at the output level. Ensure that you list assumptions and risks that are critical to the delivery of the project. If the situation changes they are a risk to the success of the project therefore it is important that you continue to monitor these risks during the delivery of your project. If there are risks that are within the control of your project you should be able to manage these.

Worked Example – Risks and important

assumptions

Staff turnover remains manageable

Agreements can be signed for pilot farms

The Ministry of Agriculture remains committed to partnership

'Green farming' is more economical than bushmeat hunting.

Activities

This is the level at which most project developers are comfortable. Here you should be able to outline what the general activities are that need to be undertaken in order to achieve the outputs and therefore the outcome of the project. Activities should be designed in a way that their completion should be sufficient and indicators should not be necessary. Only summarised main activities are required, but these should be numbered against the output that they relate to.

Worked Example – Activities

1. Agricultural pilot farms generate better understanding of soil conservation, low tillage farming practices that improves yield and reduces fertiliser reliance.
 - 1.1. Sign lease agreements with 6 farmers for pilot sites and establish experimental plots
 - 1.2. Data collection and analysis of yields
 - 1.3. Extension workers manual developed and published
 - 1.4. Working paper submitted
 - 1.5. Peer review paper submitted
2. Bushmeat hunting practices understood including species composition, hunting rates, calorific intake of hunting vs. agriculture, cultural practice (e.g. fadys).
 - 2.1. Bushmeat surveys undertaken (before, during and after)
 - 2.2. Economic surveys of hunting and agriculture households
 - 2.3. Socio surveys completed of cultural attachment to hunting
3. Understanding of economic potential of improved agricultural practice vs. hunting practice.
 - 3.1. Stakeholder engagement workshop at launch of project
 - 3.2. Working group established
 - 3.3. Results workshop

4. Micro-credit schemes established in 10 pilot villages supporting sustainable agricultural enterprises.
 - 4.1. Launch workshop to discuss micro-credit
 - 4.2. Micro-credit facilities established in 10 villages
 - 4.3. HH survey of economic return and agricultural yields