

# Darwin Initiative - Round 23

## How to apply for funding

**Main Projects: Stage 1 and Stage 2 applications**

**Small Schemes: Post Projects and Fellowships**



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This publication is available at [The Darwin Initiative - GOV.UK](#)

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## Purpose of this document

This guidance provides information on how to apply for Darwin Initiative funding for projects in developing countries only.

This document covers all Darwin funding schemes except Darwin Plus, which funds projects in the UK's Overseas Territories and has [separate guidance](#).

A separate '[Finance for Darwin](#)' document outlines the financial requirements for applicants and projects for all Darwin schemes.

## Aim of the Darwin Initiative

The Darwin Initiative is managed by the Department for Environment, Food and Rural Affairs (Defra). In line with the [UK Government's Aid Strategy](#) published in November 2015, the Darwin Initiative supports developing countries to conserve biodiversity and deliver welfare and poverty benefits. Darwin is the UK's primary mechanism to champion biodiversity conservation and support the development of vibrant in-country conservation sectors.

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).

Projects must also be able to demonstrate how they will help to achieve the Global Goals for Sustainable Development (SDGs).

## Is your project eligible?

Applications to the Darwin Initiative must satisfy OECD criteria for development assistance projects targeting the objectives of the Convention on Biological Diversity and must:

- provide biodiversity benefits in developing countries by contributing to:
  - protection or enhancement of ecosystems, species or genetic resources through in-situ or ex-situ conservation or remedying environmental damage;
  - integration of biodiversity and ecosystem services within host country development objectives and economic decision making, through institution building, capacity development, strengthening regulatory and policy frameworks or research; or
  - host country efforts to meet their obligations under at least one of the international conventions/agreements listed above
- generate evidence on biodiversity conservation and its benefits to poverty reduction and development or directly benefit people in eligible countries
- consider whether their project is likely to contribute to reducing inequality between persons of different gender

## Priority issues for projects funded in Round 23

The Darwin Initiative is a grants scheme to fund biodiversity projects in developing countries: however, projects must also deliver clear benefits to the welfare of poor people (see Annex D for more details).

Supporting biodiversity / nature / landscape should be the aim of all Darwin projects. Projects are expected to address key threats affecting biodiversity such as:

- habitat loss or degradation
- climate change
- invasive species
- over-exploitation

In addition, applications are particularly invited that focus on:

- agro-biodiversity that generates alternative livelihoods
- food security and water security
- biodiversity and health
- integrating natural capital related data, information, and knowledge into policy development and decision making
- enhancing the extent and management of protected areas in the marine environment

## What countries are eligible for Darwin Initiative funding?

Table 1 summarises all the countries eligible for Darwin funding. All countries that appear in columns 1-3 are eligible for funding. Countries in column 4 are eligible for funding 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.

Countries highlighted with a star are likely to graduate from the OECD's list of Upper-Middle Income Countries and may not be eligible for funding. If you are proposing to submit an application for a project in one of these countries, please [contact us](#) to discuss before submission.

**Table 1: Eligible countries for Darwin Initiative funding**

| Least Developed Countries  | Other Low Income Countries<br>(per capita GNI <= \$1,045 in 2013) | Lower Middle Income Countries<br>(per capita GNI \$1,046-\$4,125 in 2013)  | Upper Middle Income Countries<br>(per capita GNI \$4,126-\$12,745 in 2013)   |
|--|---|--|--|
| Afghanistan<br>Angola<br>Bangladesh<br>Benin<br>Bhutan<br>Burkina Faso<br>Burundi<br>Cambodia<br>Central African Rep.<br>Chad<br>Comoros<br>Congo, Dem. Rep.<br>Djibouti<br>Equatorial Guinea<br>Eritrea<br>Ethiopia<br>Gambia<br>Guinea<br>Guinea-Bissau<br>Haiti<br>Kiribati<br>Laos<br>Lesotho<br>Liberia<br>Madagascar<br>Malawi<br>Mali<br>Mauritania<br>Mozambique<br>Myanmar<br>Nepal<br>Niger<br>Rwanda<br>São Tomé & Príncipe<br>Senegal<br>Sierra Leone<br>Solomon Islands<br>Somalia<br>South Sudan<br>Sudan<br>Tanzania<br>Timor-Leste<br>Togo<br>Tuvalu<br>Uganda<br>Vanuatu<br>Yemen<br>Zambia | Kenya<br>Korea, Dem. Rep.<br>Tajikistan<br>Zimbabwe               | Armenia<br>Bolivia<br>Cameroon<br>Cape Verde<br>Congo, Rep.<br>Côte d'Ivoire<br>Egypt<br>El Salvador<br>Georgia<br>Ghana<br>Guatemala<br>Guyana<br>Honduras<br>India<br>Indonesia<br>Kosovo<br>Kyrgyzstan<br>Micronesia, Federated States<br>Moldova<br>Mongolia<br>Morocco<br>Nicaragua<br>Nigeria<br>Pakistan<br>Papua New Guinea<br>Paraguay<br>Philippines<br>Samoa<br>Sri Lanka<br>Swaziland<br>Syria<br>Tokelau<br>Ukraine<br>Uzbekistan<br>Viet Nam<br>West Bank and Gaza Strip | Albania<br>Algeria<br>Antigua and Barbuda*<br>Argentina*<br>Azerbaijan<br>Belarus<br>Belize<br>Bosnia & Herzegovina<br>Botswana<br>Brazil<br>Chile*<br>China<br>Colombia<br>Cook Islands<br>Costa Rica<br>Cuba<br>Dominica<br>Dominican Republic<br>Ecuador<br>Fiji<br>FYR Macedonia<br>Gabon<br>Grenada<br>Iran<br>Iraq<br>Jamaica<br>Jordan<br>Kazakhstan<br>Lebanon<br>Libya<br>Malaysia<br>Maldives<br>Marshall Islands<br>Mauritius<br>Mexico<br>Montenegro<br>Namibia<br>Nauru<br>Niue<br>Palau<br>Panama<br>Peru<br>Serbia<br>Seychelles*<br>South Africa<br>St Lucia<br>St Vincent & the Grenadines<br>Suriname<br>Thailand<br>Tonga<br>Tunisia<br>Turkey<br>Turkmenistan<br>Uruguay*<br>Venezuela*<br>Wallis and Futuna |

# How to apply for a Darwin project

The following information applies to ALL Darwin applications.

Application forms are available on [.gov.uk](https://www.gov.uk).

Applications will be administered independently by LTS International.

## Applicant organisations

Applications must come from an organisation, individuals are not eligible to apply. Applicant organisations can be based in any country although applications should preferably have a UK connection, consistent with the UK Aid Strategy. 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.

Governments and their agencies are not expected to lead on projects, though they may often be partners. We are particularly interested to receive bids involving, or led-by, in-country, local NGOs. Darwin funding is not intended as a substitute for activities that would normally be part of a government's core functions (such as full-time staff salaries or routine management activities).

## Project Leader

The Project Leader should have a minimum of 10 years of relevant experience.

## Matched funding/Co-Finance

Matched funding is not obligatory but is highly desirable. See the '[Finance for Darwin](#)' document for additional information.

## 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 and financial requirements currently in use can be found on the [Darwin website](#) and in the '[Finance for Darwin](#)' document. You should read these before making an application to be sure your organisation can meet these conditions. The Darwin Initiative retains the right to amend the conditions at any time.

## Partnerships and Ethics

Darwin projects are expected to meet the following key principles of good and ethical 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 and associated traditional knowledge
- 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.

## Fraud, bribery and corruption

Defra has a 'zero tolerance' approach to fraud, bribery & corruption. Consequently any occurrence of possible fraud, bribery or corruption will be investigated and may result in termination of grant. All projects are required to have transparent processes in place to identify and address fraud and error risk.

## Monitoring and Evaluation

Projects must be able to produce robust evidence of their contribution to biodiversity conservation and the welfare of poor people. All projects are expected to allocate up to 5% of their project budget for monitoring and evaluation purposes throughout the life of the project. This will include data collected by the project which clearly demonstrates the impact of the project, including how indicators have been met (i.e. increase in welfare for people, biodiversity benefits). Annex E provides more information on monitoring and evaluation.

## **Engaging with Darwin M&E reviews**

All projects funded by the Darwin Initiative must comply with monitoring and evaluation requests which may include providing supplementary reports on other aspects of project activities. The Darwin Initiative regularly commissions evaluations and reviews of the Darwin portfolio which could take place during the life of the project (i.e. mid-term reviews) or after a project has completed (i.e. closed project evaluations or thematic reviews). It is important to the success of the Darwin Initiative for all projects to fully engage in such reviews and evaluations. Failure to meaningfully engage with Darwin M&E work may result in an organisation no longer being considered eligible for future funding from the Darwin Initiative.

## **Gender**

All applicants should consider whether their project is likely to contribute to reducing inequality between persons of different gender. Applicants are encouraged to provide indicators disaggregated by gender where possible, including at a household level.

## **Security considerations and political sensitivities**

All applicants are encouraged to make contact with UK Embassies and British High Commissions in the relevant host country regarding proposed Darwin projects. The relevant Embassies and High Commissions may be consulted about Stage 2 applications and their views taken into account in the selection process. If you have the support of the local UK Embassy/High Commission (including through the provision of a formal letter of support) it will strengthen your application.

If you have a successful Darwin project, UK Embassies and High Commissions may also like to publicise the announcement of a new award or be involved in any formal launch so involvement at an early stage may prove useful.

If you feel you may need advice on any security or political sensitivities, or if the relevant Embassy needs to be aware of sensitivities before making any announcement, please tick the relevant box on the application form.

Where project work relates to issues of human rights, organised crime or conflict, please consult the [UK Government's Overseas Security and Justice Assistance Guidance](#) for full consideration of these matters.

## **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. All outputs from Darwin projects should be made available on-line and free to users whenever possible. This includes all derived and raw data on species, land cover and land use, through appropriate national, regional and global databases.

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 publishing open access.

For further information on open and enhanced access can be found on [.gov.uk](#).

## Help completing the application

Please read this guidance and look at past [examples of funded projects](#) before requesting additional assistance. If you can't find the answer, please contact Eilidh Young.

Email: [Darwin-applications@LTSI.co.uk](mailto:Darwin-applications@LTSI.co.uk)

Telephone: 0131 440 5181

## Format

All applications must be submitted:

- in Word/Excel format using the Darwin application forms
- in comprehensible English
- in font size not less than Arial 11pt (unless set by the template)
- within specified word limits

## Reasons for rejection

Your application will be rejected if it does not meet our criteria. The reasons for rejection are set out below. If your application is rejected at Stage 1 on any of the points below, it will not be assessed for technical merit. If any of these points apply at Stage 2 or to a Post or Fellowship application, your application may still be assessed, but the points will be noted and your application will be scored accordingly.

Reasons for rejection are:

- incomplete (mandatory questions not completed)
- not written in clear English
- over specified word limits (this will be strictly enforced)
- start/end dates outwith Round 23 period
- certification section incomplete
- signature typed not handwritten
- incomplete or missing budget
- missing letters of support from the lead organisation or main partners unless an exception has been agreed before the deadline (for Stage 2/Post applications only)
- missing 2 years accounts (for Stage 2/Post applications only)
- accounts not audited/ independently verified (for Stage 2/Post applications only)
- accounts unsigned (for Stage 2/Post applications only)
- missing CVs (all except Stage 1)

## Results of applications

Once the results are agreed, all project applicants (both successful and unsuccessful) will receive notification by email to the Project Leader identified in the application. Only applicants whose applications were competitive but not shortlisted will receive additional feedback.

## **Acceptance of applications**

If you are successful you will receive an offer of funding or, in the case of a Stage 1 proposal for a main project, an invitation to Stage 2. 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.

## **Resubmission of applications**

If your application is unsuccessful, 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 on the correct forms and in accordance with the guidance applicable to the round in which the resubmission is made.

# Darwin Initiative projects – Main projects

## Size of award

There is no minimum or maximum award size. The funding pot in any given year is, however, limited. In previous rounds, awards have ranged from £80,000 to around £310,000 (with an average project award of about £290,000) for a 3 year Darwin project. Project budgets should preferably show an even spread over the funding period and should not as a general rule be front-loaded as this restricts the number of new projects that can be awarded in any year.

## Length of grant and start date

The minimum length of a Darwin project is one year (12 months) and the maximum length is now four years (48 months).

Your project is expected to run to the financial year from 1 April to 31 March. Applicants for Round 23 should plan to start on **1 April 2017** (you cannot start earlier). You cannot start your project after **1 November 2017**. Approval is required to change any dates after the grant is awarded and approval is not guaranteed.

## How to Apply – Stage 1 and Stage 2

There is a two stage application process for Main project applications due to the high level of competition.

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

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

## Submitting your application

### Stage 1 applications - key dates:

- Application (by e-mail only) deadline - 2359 GMT on **Wednesday 10 August 2016**.
- Acknowledgement – by midday on Tuesday 16 August 2016.

NB: If you have not received an acknowledgement by 16 August (pm), please call +44 (0)131 440 5181. **Please do not call between 10 and 16 August.**

### Stage 2 applications – key dates

- Invitations expected to be issued by early November.
- Application (by e-mail only) deadline - 2359 GMT on **Monday 5 December 2016**.
- Acknowledgement – by midday on Thursday 8 December 2016

NB: If you have not received an acknowledgement by 8 December (pm), please call +44 (0)131 440 5181. **Please do not call between 5 December and 8 December.**

## Supporting material for your application – Main and Post Project

If the following **essential** material is not included with your application it will be rejected as incomplete.

| Application                                      | Essential materials for eligible application  | Optional materials for application   |
|--|---|--|
| Stage 1 Application                              | Stage 1 application form  | None   |
| Stage 2 Application/<br>Post Project Application | Stage 2 / Post project application form   | Brief covering letter – this may also address the feedback from Stage 1                      |
|  | Budget table in Darwin format including exchange rate and its source  | Letters of support from stakeholders   |
|  | Letters of support from applicant organisation <i>and</i> key partners who are essential to the success of the project          | Details of any dialogue with the relevant Embassy or High Commission in the host country/ies |
|  | Details of past experience and previous contracts/ awards<br>(if new to Darwin as a lead organisation)                          |  |
|  | 1 page CVs for key project personnel named at Q11 <sup>1</sup>  |  |
|  | Applicant organisation's last 2 years signed and audited or independently verified accounts, clearly identifying currency shown |  |

Additional documents or annexes falling outside of the list above will not be passed to the Darwin Expert Committee (see "Assessment Process" below) for their consideration unless they have been specifically requested by or on behalf of the Committee.

### Letters of support

Letters of support should be on headed paper and must be in English or with an English translation. 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 confirm the applicant organisation's formal agreement to support the project
- to show your ability to meet deadlines and to be able to achieve results with local contacts.

<sup>1</sup> See Annex C for more guidance

## **Stage 2 Applicants workshop**

We will be holding a workshop in London in November 2016. This will be for applicants invited to Stage 2. This workshop is to provide support and guidance for those applying for funding. You will receive details of this workshop if you are invited to Stage 2.

# Darwin Initiative projects – Post Project Awards

The application form for Round 23 Post Project Awards can be found on [.gov.uk](https://www.gov.uk).

## What is a Darwin Post Project?

Post Project funding is for projects that have previously received funding from the Darwin Initiative and is aimed at consolidating and enhancing the legacy of the original project.

Post projects must:

- demonstrate **additional** and **lasting impacts** and gains in the host country;
- build on their initial investment of Darwin funding to seek a greater impact than is achievable by the end of the Main project;
- ensure that **host country partners from the main project play a leading role** in implementation of the Post Project;
- ensure that a **substantial level** of the Post Project award **will be allocated to personnel and resources in the host country/ies**.

Post Project funding is not:

- for main projects **that have not achieved their expected objectives** within the agreed timescale;
- **for the completion of work** that has already been funded by the Darwin Initiative i.e. it is not a top-up facility for work that was intended under the original project, nor is it simply to allow another field season for data gathering;
- **an alternative** to a clearly defined and well-implemented exit strategy.

Details of previous Post Project awards can be found on the [Darwin website](#).

## What can be funded?

Having read all the guidance available, you can decide whether to apply for a Post Project or a new Main Project. There is no requirement to apply for a Post Project simply because you are coming to the end of a Main Project and have a strong concept for additional work. You cannot apply for a Post Project and a Main Project for the same work in the same round i.e. if you have submitted a Stage 1 application to Round 23 for the same work, you cannot now submit a Post Project application.

Post Project funding is available for projects for a period of **up to 2 years** (24 months) in duration, though applications should clearly justify funding for this length of time. Shorter projects should be considered.

## Start date and length of Post Projects

Your Post Project should start after the Main Project has finished. The Darwin Initiative will not fund an overlap.

Most Post Projects start within one year of the end of the Main Project. If your Post Project will have a significantly longer gap, please contact Darwin Applications for advice.

Applicants for Round 23:

- should plan to start on 1 April 2017 (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 2017;
- require approval to change a start date after the grant is awarded.

## **How to Apply – Post Projects**

The application process for Post Projects is a one stage process.

Please note that project applications must meet the published administrative, technical and financial criteria in order to be considered. Details are available under Main Projects above and would encompass those criteria for Stage 2 projects.

### **Submitting your application**

Applications must be received by e-mail by 2359 GMT on Monday 7 November 2016. Please do not send a hard copy.

We will acknowledge receipt of your application not later than midday on Thursday 10 November.

### **Supporting documents**

Your application should contain the same essential material as that outlined for Stage 2 applications above. If this is not included with your application it will be rejected as incomplete.

# Darwin Initiative projects – Fellowship Awards

## What is a Darwin Fellowship Award?

Fellowship funding is aimed at building capacity in developing countries.

The Fellowship programme is intended to support Fellows to draw on UK technical and scientific expertise in the fields of biodiversity and sustainable development to broaden their knowledge and experience. The outcome of a Fellowship should be that the Fellow has increased knowledge and ability to strengthen the host country's implementation of the priority Conventions and build capacity to do so.

Details of previous Fellowship grants awarded can be found on the [Darwin website](#).

## Who can apply for Fellowship funding?

Applications for Fellowship funding should come from an organisation (the Lead Organisation) and not an individual. There should be a named individual within the Lead Organisation responsible for the application, called the Project Leader.

## Eligibility of the organisation

The Lead Organisation:

- must have expertise in natural resource management;
- can be either a public or private sector organisation;
- should provide experts from within the organisation with a proven track record and at the forefront of their discipline(s) to work closely with or supervise the Fellow. This expertise is typically expected to be a minimum of 10 years of relevant experience.

The Lead Organisation is responsible for the Darwin Fellow appropriate to their position as a member of the Darwin Initiative Fellowship Programme.

The Lead Organisation is also responsible for supporting the administration of the Fellow's travel and entry to the UK as well as subsistence payments. Please ensure you consider the support required to secure an appropriate visa – there is no pre-agreed visa scheme for this award.

## Eligibility of the individual

Darwin Fellowships will support promising individuals who:

- have a link with a recent or current Darwin Initiative project; or
- are currently involved directly in the implementation of the key biodiversity conventions and agreements listed above

**and**

- are working in biodiversity or related fields or whose work may have an impact on biodiversity;
- are from countries rich in biodiversity but poor in financial resources (see Table 1);
- have at least five years relevant work experience, or a degree from a university/equivalent higher-education institution and at least two years' work experience in a relevant field;

- demonstrate the ability and willingness to train others and/or disseminate knowledge (including for policy development) and technology upon their return to their respective communities, organisations or work;
- provide evidence of support for their application from their government or organisation;
- have a good working knowledge of the English language (if they are to be based in the UK).

**Note:** Age will not be a consideration. Applications for Fellowships for mid-career as well as early-career applicants are encouraged.

## What can be funded?

Where needs are clearly identifiable and demonstrable, the Department is willing to consider support for Fellows:

- undertaking formal qualifications (where these are linked to the broader criteria of the scheme and the course is no longer than a year);
- broadening their own experience of working for the conservation or sustainable use of biodiversity through appropriate related work experience. This may include training on how to write applications for funding or a period of mentoring/networking with partner organisations;
- developing policy skills (for example, attendance at relevant national or international workshops or meetings).

Applicants must be able to demonstrate that the Fellowship work will contribute to the implementation of the objectives of 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 Fauna and Flora (CITES); and/or the Global Goals for Sustainable Development.

Fellows should demonstrate how the skills and knowledge they acquired during the Fellowship will be applied in their country to spread knowledge or expertise (e.g. through training others, practical application, or wider dissemination). Where relevant, a strategy should be developed during the term of the Fellowship for the effective implementation of skills learnt during the training period.

## Funding

Eligible costs (depending on the nature of the Fellowship) include a monthly subsistence, Lead organisation expenses, travel costs and fees for academic qualifications. Defra is also willing to consider contributing towards the cost of English language training at the start of the award and this should be included in the budget. Details are set out below.

Applications will be considered on their merits in the light of available resources. There are limited funds available in each financial year for new Fellowships. The Department will not be able to fund all eligible applications.

If you are applying for funding from other scholarship bodies, you should consider the implications of being successful in more than one application. If you withdraw we may not be able to offer the funds to anyone else.

The Department reserves the right to terminate the Fellowship at any time and reclaim any monies paid for part or full months remaining.

|  | Maximum <sup>2</sup>             | Comments  |
|--|----------------------------------|---|
| <b>Arrival allowance</b>                                 | £300                             | Flat rate, one off allowance to meet immediate costs e.g. appropriate clothing and footwear   |
| <b>Contribution<sup>3</sup> to Fellow's living costs</b> | £1,200 pcm                       | Based within London (per calendar month)  |
|  | £1,000 pcm                       | Based outside London (per calendar month)   |
| <b>Lead organisation expenses</b>                        | £300 pcm                         | These monthly costs can also cover any organisations working with the Fellow and can include "bench fees" (e.g. the cost of laboratory and desk space), overheads, IT equipment, costs of employment, supervision and research costs. This rate may be reviewed by Defra where a Fellowship takes place outside the UK.   |
| <b>Return economy airfare to UK</b>                      | Up to £2,000                     | To cover actual <sup>4</sup> travel costs from home country to the UK, plus travel to and from airports; also includes the cost of any visas or other necessary travel documents including appropriate insurance and medical cover for the duration of the Fellowship.  |
| <b>Travel / conference fees</b>                          | Up to £500<br>OR<br>Up to £1,500 | An additional provision (up to £500 for local UK travel <b>OR</b> up to £1,500 for international travel) may be included for actual travel costs and conference fees during the course of the project where this will contribute to development of policy skills (for example, attendance at national or international workshops, meetings or flights to undertake fieldwork).  |
| <b>Academic fees</b>                                     | Reduced cost                     | Reasonable fees (i.e. not a full overseas fee) for academic qualifications will be granted, but a Fellowship consisting entirely of a programme of study towards an academic qualification will not be eligible for bench fees in addition to course fees.  |
| <b>Language training</b>                                 | Up to £2,000                     | You may include up to £2,000 as a contribution towards an intensive English language course at the start of the Fellowship if you think this may be required before the Fellow is accepted for a course of academic study. These funds will be ring fenced and should be surrendered back to Defra if they are not required for this purpose – they cannot be moved to a different budget line if the course is not required. |

## English language funding

If English is not the first language of the proposed Fellow, it is strongly recommended that you consider undertaking an English language course at the beginning of the Fellowship. This is particularly pertinent if the Fellow intends to undertake an academic qualification in the UK.

<sup>2</sup> Costs incurred outside the UK will be agreed on a case by case basis – please discuss with the Darwin Applications Unit

<sup>3</sup> This is an Allowance and need not be supported by receipts for actual costs. You are expected to ensure the Allowance claimed demonstrates good value-for-money.

<sup>4</sup> That is, can only be claimed against receipts for actual costs incurred

## Start date, length and location of Fellowships

Fellowships will be provided for **up to 14 months** to cover a full academic year and time for an English language course or finishing up analysis.

Fellowships should start on or after 1 July 2017 and finish on or before 1 October 2018.

Darwin Fellows will typically be based in UK institutions for the majority of the Fellowship, but we will also consider Fellowships based in the Fellow's own country or other Darwin target countries (for example, on a regional project) where this is appropriate. In such cases there should still be an appropriate level of UK input.

Fellows are not limited to working in or with the Lead Organisation. They should be given the opportunity to establish contacts with other biodiversity institutions, intergovernmental and nongovernmental organisations. The value of contact with, and work in, the private sector should also be considered.

## Conditions of funding

At the end of the Fellowship, the Fellow should be able to do at least one of the following:

- be capable of giving training within their communities and organisations in the field of biodiversity conservation and/or sustainable use, and more generally provide a reliable source of good practice and information;
- have the tools to solve practical country-specific problems related to the sustainable use and/or conservation of biodiversity and/or to make a greater contribution to policy development in the field of biodiversity;
- be able to disseminate widely the information and knowledge gained during the Fellowship.

## How to Apply – Fellowship Awards

### Submitting your application

Applications must be received by e-mail by 2359 GMT on Monday 7 November 2016. Please do not send a hard copy.

We will acknowledge receipt of your application not later than midday on Thursday 10 November 2016. 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 7 and 10 November.

### Supporting documents

Your application must also include:

- **CVs** (maximum one page) for the Fellow and Lead Organisation Project Leader and any other key project personnel listed at Q5.
- **Letter of support from the Lead Organisation** expressing their intention to collaborate and endorsement of the proposed Fellowship, and the value of the proposed Darwin Fellowship to the biodiversity of the Fellow's country.
- **Letter of support from the proposed Fellow's employer or government** of the expected value of the Fellowship.

## Reporting

The Lead organisation is responsible for ensuring that the following reports are submitted:

- an interim report, at the mid-point, providing a brief account of experience gained and showing progress against the programme of work;
- a final report, no more than one month after the completion of the Darwin Fellowship, showing how the Fellow has achieved his/her objectives, and the objective and criteria of the Darwin Fellowship Programme.

Both reports should be compiled by the Darwin Fellow in consultation with the Lead Organisation and using the templates provided on the Darwin website.

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.

# Assessment Process

Applications will be assessed by the Darwin Expert Committee (DEC). Details of DEC members can be found on [.gov.uk](https://www.gov.uk).

The DEC follows a strict code of practice. If any member has been involved in the development of an application or is closely associated with the applicant or with a partner institution or organisation, they will declare their involvement and will not assess or be involved in discussions of 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 of the reasons for rejection.
- 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 funding.

## 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 criteria – Main and Post Projects

## Technical Assessment Criteria

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

### Score 1: Technical Merit of Proposed Project

#### Main and Post Projects

- 1) The project is focusing on the priority issues outlined in the Guidance for Round 23.
- 2) The methodology outlined is scientifically robust, clear and sufficient to achieve the outcome detailed in the application.
- 3) The project demonstrates a highly collaborative approach, involving local institutions or communities in developing country/ies.
- 4) The project has outlined a strong ethics statement.
- 5) The outputs and outcomes from the projects funded under the Initiative are new and additional, and will not cut across or duplicate work already being funded.
- 6) The project provides a clear plan of how it will make data and project outputs publicly available.
- 7) The project demonstrates it will build capacity at institutional or individual levels in developing countries.
- 8) The project demonstrates good value for money.
- 9) The project demonstrates an ability to leverage additional funding.
- 10) The CVs submitted are relevant to the project and demonstrate that the make-up of the project team has an appropriate mix of skills and experience.
- 11) The project has a well-defined exit strategy in place.
- 12) The project has a clear monitoring and evaluation plan in place.
- 13) Will have a clear and measurable outcome.
- 14) Will leave a sustainable legacy, through a real and lasting impact on biodiversity in the host country or in least developed, low, or lower middle income countries.
- 15) Includes work that is innovative and distinctive.

#### Post Projects – additional criteria

- 16) The proposed project builds on, embeds or expands the scope of previous work and ensures that host country partners from the main project play a leading role in implementation of the post project.
- 17) Must be a coherent, stand-alone project – it must be more than just an extension of the main project (not doing the same work for a longer period).
- 18) Will provide additional and lasting impacts and gains in the host country.
- 19) The total impact will be greater as a result of the Post Project.
- 20) A substantial level of the Post Project award will be allocated to personnel and resources in the host country/ies.

## **Score 2: Biodiversity Impact of Project**

### **Main and Post Projects**

- 1) Will make a clear contribution to the priority biodiversity conventions and agreements.
- 2) Will raise awareness of the value of biodiversity (and the services it provides)
- 3) Improves the conservation, restoration and sustainable use of biodiversity (including agrobiodiversity) at genetic, species or landscape/seascape scales.
- 4) Addresses how environmental risks, with a particular focus on biodiversity, will be appropriately assessed and managed
- 5) Clearly identifies which elements of biodiversity will benefit, over which area and how.
- 6) Integrates management of land, water and living resources to promote conservation and sustainable use in an equitable way.
- 7) Incorporates biodiversity and ecosystem services into host country development objectives and economic decision making.
- 8) Will deliver data and research to contribute to a better understanding of the links between biodiversity and the welfare of poor people.

## **Score 3: Welfare and Poverty Alleviation Benefits**

### **Main and Post Projects**

- 1) The application identifies clearly how the project will benefit poor people living in the host country/countries and should meet at least one of the following criteria:
  - advancing knowledge, evidence and impact in developing countries;
  - 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.
- 2) will help improve the lives of poor people whilst also contributing to the conservation and/or sustainable use of biodiversity.
- 3) clearly identifies who will benefit (and how many) and how they will benefit.
- 4) risks for poor or vulnerable groups will be sufficiently managed.
- 5) Has a strong M&E plan to measure impact and progress.
- 6) Has considered gender in its design and has provided disaggregated indicators by gender where possible.
- 7) The organisations identified as partners have sufficient expertise and experience to undertake the work identified.
- 8) The CVs submitted clearly outline the expertise of the team and is relevant to the project.

# Assessment Criteria for Fellowship Awards

Darwin Fellowship applications will be assessed against the following criteria.

The proposed Fellowship:

- draws on **UK expertise** in the field of biodiversity or convention implementation at a minimum of 10 years of relevant experience.
- will result in the **transfer of knowledge** and/or technology relating to biodiversity between the UK and the Fellow's country.
- is **collaborative**, involving the Darwin Fellow and the Lead Organisation in a dual partnership at all stages (including development of the proposal). Where relevant, the Fellow should demonstrate their own consultation and collaboration with local institutions or communities in the target country/ies.
- will **contribute, directly or indirectly**, towards implementation of the key biodiversity conventions and agreements listed above.
- where appropriate, Fellowship work will **raise awareness** of the potential worth of natural resources and encourage their sustainable use in order to directly or indirectly help eliminate poverty and develop sustainable livelihoods in those countries.
- will be of **high quality and scientific** (or other appropriate professional) **excellence**.
- will **leave a legacy**, through a real and lasting impact on the Fellow's capacity to help his/her country meet its obligations under the Conventions.
- **should be additional** – that is, the outputs and outcomes of the Fellowship will not cut across work being funded through other mainstream environmental or research programmes. Research projects, in particular, must tackle work in an area of biodiversity that has previously been neglected or undervalued.
- should be, wherever possible, **innovative and distinctive**. It should show a new approach to a problem or issue and not cover old ground - although tested methodology may be used for a new area or issue. To ensure Fellowship work is distinctive, applications should identify how any outputs will be badged and in what ways the Department's name and the Darwin name and logo would be used to help raise the Darwin profile.
- demonstrates **good value for money**. Both actual results from the Fellowship work, as well as the benefits of the Fellowship to the Fellow and their country's capacity to meet the objectives of conventions will be taken into account.

## Annex A: Assessment Scoring for ALL Darwin applications

| Score | Description   |
|-------|---|
| 6     | The proposed project <b>meets all the of assessment criteria</b> . 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 project <b>meets most of the assessment criteria</b> . 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 project <b>meets most of the assessment criteria</b> . 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 project <b>meets most of the assessment criteria</b> . 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 <b>meets some of the assessment criteria</b> . 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 project is unsatisfactory and <b>meets only a few of the criteria</b> 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. <b>Fails to meet any of the criteria outlined.</b>  |

## **Annex B: 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.

Main and Post 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.

Fellowship projects lasting longer than 6 months must provide an interim report half way through.

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.

### **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**

Information supplied in the application form, including personal data, will be shared between the Department and LTS for the administration, evaluation and monitoring of projects. Some information, but not personal data, may be used when publicising the Darwin Initiative including project details (usually title, lead organization, location and total grant value) on the GOV.UK and other websites. Personal data may be used by the Department and/or LTS to maintain and update the Darwin Initiative mailing list and to provide information to British Embassies and High Commissions in the countries where the project will take place.

Information (including personal data) relating to the project or its results may also be released on request, including under the 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 Data Protection Act 1998.

## Annex C: CVs and Expertise of Project Team

Most applications require CVs for key staff, including the Project Leader, in English. These are 1 page CVs intended to demonstrate that the project will have sufficient expertise to carry out all aspects of the work. The table below provides an indication of the sort of information our reviewers find useful and what is less relevant.

| Useful information   | What it demonstrates   | How reviewers will use this   |
|--|--|---|
| <b>List of funding received from donors/ research councils</b> | The individual is good at leading research teams<br>The individual is good at obtaining funds            | Good evidence of an experienced project leader in running projects of this type   |
| <b>Previous roles/ positions on similar projects</b>           | Previous and relevant experience   | If the roles listed are relevant to the proposed project it will demonstrate experience in leading or working on a similar type of project.   |
| <b>Skills and experience (tailored to match the project)</b>   | Previous experience and how relevant it is to the proposed role in the new project                       | If the experience is relevant and tailored to the project it will provide good evidence of the individual's suitability for the project   |
| <b>Countries worked in</b>                                     | 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. |
| Less useful information:                                       | What it demonstrates   | How reviewers will use this   |
| <b>List of courses/ lectures given</b>                         | 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.  |
| <b>List of job titles held</b>                                 | Range of experience but not necessarily all relevant to the role on the project                          | If this is a list of job titles i.e. lecturer, coordinator, researcher then it is unlikely this list will provide much useful detail.   |
| <b>List of published papers</b>                                | Academic or scientific achievement but may not be relevant to the project                                | A list of all papers ever published is of little interest to reviewers. A tailored list of papers, relevant to the project, will demonstrate expertise in this area.  |
| <b>List of Post Graduate Students</b>                          | 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  |

## Annex D: Demonstrating Welfare and Poverty Alleviation Benefits

Darwin projects must 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 Darwin Initiative published a learning note on poverty which you [can read here](#).

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 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 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)

Typical eligible project activities include:

- preparation of national biodiversity plans, strategies and programmes (NBSAPs); biodiversity inventories and assessments; development of legislation and regulations to protect threatened species; development of incentives, impact assessments and policy and legislation on equitable access to the benefits of genetic resources;
- establishment of protected areas, environmentally oriented zoning, land use and regional development planning;
- protecting endangered or vulnerable species and their habitats, e.g. by promoting traditional animal husbandry, [in situ conservation of] formerly cultivated / collected plants or ex-situ conservation (e.g. seed banks, zoological gardens);
- capacity building in taxonomy, biodiversity assessment and information management of biodiversity data; education, training and awareness raising on biodiversity;
- research on ecological, socio-economic and policy issues related to biodiversity, including research on and application of knowledge of indigenous people;

- supporting development and use of approaches, methods and tools for assessment, valuation and sustaining of ecosystem services.
- integration of biodiversity concerns into sectoral policy, planning and programmes;
  - water resources protection and rehabilitation; integrated watershed, catchment and river basin protection and management;
  - sustainable agricultural and farming practices including substitution of damaging uses and extractions by out-of-area plantations, alternative cultivation or equivalent substances; integrated pest management strategies; soil conservation; in-situ conservation of genetic resources; alternative livelihoods;
  - combating deforestation and land degradation while maintaining or enhancing biodiversity in the affected areas;
  - promotion of sustainable marine, coastal and inland fishing;
  - sustainable use of sensitive environmental features for tourism.

## 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. All Darwin projects must meet the requirements of ODA.

[An ODA briefing note was produced in 2012](#) to help projects understand what these requirements are for Darwin Initiative projects.

We expect Darwin projects to deliver practical on-the-ground outcomes and provide direct and indirect benefits to both biodiversity and poverty alleviation in host countries.

## Direct Benefits

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, improved food and water security, a reduction in infectious diseases linked to environmental management).

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 (i.e. 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 i.e. 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?
- data disaggregated by gender where possible

## Indirect Benefits

Projects that are more orientated towards policy, management effectiveness or capacity of institutions to implement biodiversity management measures may have limited direct impacts on the ground. 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 ODA-eligible funding, these projects will 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 need to demonstrate that it will contribute to or effect a change in policy in the target country. It will have identified avenues of engagement with 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 the host country. Use of Executive Summaries in reports which provide a short, non-technical explanation of what the project has achieved are invaluable. Peer review papers are rarely read or used by policy makers and are often inaccessible to those outside academia.

It is not sufficient to merely release the results of research at the close of a project and hope that there is a suitable audience for the results. The impact of the project must be evaluated and presented in a clear and succinct manner.

## Annex E: Monitoring and evaluation - guidance on the logical framework

To ensure continued funding of the Darwin Initiative all projects must be able to demonstrate the impact of their projects, not only in terms of whether they have met their intended objectives but, from a wider perspective, how they have contributed to the overall aims of the Darwin Initiative. With this in mind each project must have a clear M&E plan in place at the outset. **Projects are expected to allocate up to 5% of their project budget to M&E throughout the life of the project and beyond.**

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:

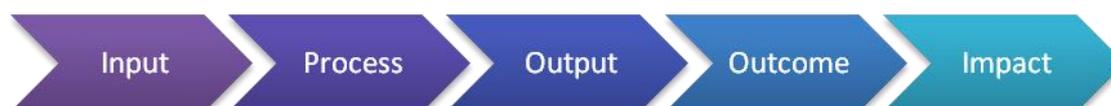
- [World Bank Monitoring and Evaluation: Some tools, methods and approaches](#)
- [DFID How to Note: guidance on using the revised Logical Framework](#)
- [DFID: Review of the use of 'Theory of Change' in International Development](#)
- [The Magenta Book: HM Treasury guidance on what to consider when designing an evaluation.](#)
- [BOND – Some useful online materials for monitoring and evaluation.](#)
- [Rogers 2012 Introduction to Impact Evaluation](#)
- [Perrin 2012 Linking Monitoring and Evaluation to Impact Evaluation](#)
- [Darwin Initiative Logframe Information Note](#)

### The logical framework

Before you develop your log-frame it may be useful to consider and discuss with your project partners the following questions about your intended project:

- What are you trying to achieve?
- How will your outputs be delivered?
- What external factors/risks may affect your delivery?
- What assumptions are you making around these external factors?
- How can you mitigate these risks?

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. It is vital that the development of a logframe is realistic as the success of your project will be measured against it. The figure below provides an example of a results chain.



## **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.

## **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.

## **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:

- **Specific,**
- **Measurable,**
- **Achievable,**
- **Realistic, and**
- **Timely.**

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).

## **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.

## **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.

## **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.

## **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.

## **Activities**

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.

## Annex F: Example Logframe

This is a worked example of a fictitious Darwin project. The measures and indicators are meaningless but demonstrate how you might develop a logframe for your project.

| Project summary   | Measurable Indicators   | Means of verification   | Important Assumptions   |
|---|---|---|---|
| <p><b>Impact:</b><br/>Agriculture is managed sustainably at the national level with resultant increases in biodiversity and welfare of people</p>   |   |   |   |
| <p><b>Outcome:</b><br/>Sustainable agriculture and pilot micro-enterprise rolled out in 7th District resulting in increased access to food during the hungry months for 12,000 people. There is an associated reduction in land clearance for agriculture and increase in terrestrial biodiversity in agricultural areas.</p> | <p>0.1 12,000 people in 7th District (sample = n) report a 50% reduction in number of days they go hungry during the dry season from a baseline of 15 per month (2016) to 7 per month by 2020.</p> <p>0.2 Micro-enterprises registered in 7th District during 2014-2019 record an average income of £17 per person per month (against national average of £4 per month) with 50% headed by women</p> <p>0.3 Botanical and invertebrate diversity in project areas (particularly pollinator species) shows an increase of at least 10% annually from baseline (to be established in the first year)</p> <p>0.4 Agricultural productivity increases from a baseline of 3 tonnes per hectare in 2016 to 4 tonnes per hectare in 2020.</p> <p>0.5 Land cleared for agriculture slows from 200 hectares per year in 2016 to 20 hectares per year in 2020</p> | <p>0.1 Household survey reports for 2016, 2018 and 2020</p> <p>0.2a Local Government registrations of new enterprises in 2015, 2017 and 2019</p> <p>0.2b Survey of enterprise income generation in 2015, 2017 and 2019</p> <p>0.3 Quarterly botanical and invertebrate surveys carried out in fixed sample plots on field margins.</p> <p>0.4 Survey of agricultural productivity in 2016, 2018 and 2020.</p> <p>0.5 Satellite imagery of District 19 in 2016 and 2020.</p> | <p>Enterprises continue to be registered by the Local Government and records remain open to scrutiny</p> <p>Increases in agricultural productivity does not correlate with a decrease in price for agricultural commodities in 7th District</p> <p>Satellite imagery remains free to non-profit organisations</p> <p>Reduced pesticide use and improved field margin management lead to an increase in beneficial invertebrate populations.</p> |

| Project summary   | Measurable Indicators   | Means of verification   | Important Assumptions   |
|---|---|---|---|
| <p><b>Outputs:</b></p> <p><b>1.</b> Training and capacity building provided for small holders on microenterprise generation and sustainable agriculture</p> | <p>1a. 1,000 small holders (40% women) attend 3 day training course in sustainable agriculture (200 in year 1, 400 in year 2, 400 in year 3)</p> <p>1b. 50 agricultural extension workers attend 1 week training course in sustainable agriculture</p> <p>1c. By year 2, 2,000 small-holders apply sustainable agricultural practice including reduced pesticide use (# of litres of pesticide applied pa – 22 litres per smallholder in 2016, 5 per smallholder in 2020)</p> | <p>1a. Training course attendance certificates</p> <p>1b. Training course attendance certificates</p> <p>1c. Local government records of pesticide distribution in 7th District in 2016, 2018 and 2020</p>                      | <p>Up to 90% of Agricultural extension workers are able to attend training courses</p> <p>Small-holders continue to apply 5-to-1 training distribution to other small-holders</p> |
| <p><b>2.</b> Communities are trained in the maintenance of field margins for biodiversity benefits.</p>   | <p>2a. 50 agricultural extension workers and 20 teachers (at least 50% women) attend 2 day training course on managing field margins and the benefits of pollination</p> <p>2b. 50% of community members report increased awareness of benefits of pollinators and potential harm of insecticides by project end against year 1 baseline (to be established).</p>   | <p>2a. Training course attendance certificates; surveys before and after training demonstrating a change in perception on the value of non-productive land on agricultural margins</p> <p>2b. Community perceptions surveys</p> |   |
| <p><b>3.</b> Microenterprises established with seed-funding under a VSLA model</p>  | <p>3a. Business plans for microenterprises submitted to local government for approval (20 in year 1, 20 in year 2, 20 in year 3) with 50% female membership and an average membership of 4 people each.</p>   | <p>3a. Project reports on business plan's submitted</p> <p>3b. Local government registration from Commerce Division in 2016, 2018 and</p>   | <p>Cost of registration of microenterprises remains at a rate of 15 dollars per registration.</p> <p>Small holders see value of participating in VSLA scheme</p>                  |

| Project summary  | Measurable Indicators  | Means of verification   | Important Assumptions  |
|--|--|---|--|
|  | 3b. Microenterprises registered to trade in 7th District (20 in year 1, 20 in year 2, 20 in year 3).   | 2020.   | Commerce Division continues to report annually on the number of microenterprises registered (new and recurring).   |
| 4. Research outputs developed and shared with target audiences (local government, small holders and international development community)         | <p>4a. Journal article on application of sustainable agriculture and its effect on yield by year 2 submitted to open access journal</p> <p>4b. Workshop hosted by Ministry of Agriculture on applying sustainable agricultural practice in 7th District</p> <p>4c. Policy brief downloaded from project website at least 200 times in year 2</p> <p>4d. Pop up survey of who is downloading document shows breakdown of practitioners, policy makers, researchers etc.</p> | <p>3a. Journal confirmation email</p> <p>3b. Workshop proceedings</p> <p>3c. Google analytics for year 2.</p> <p>3d. Pop up survey results</p>        | Government remains committed to co-hosting research outputs of project   |
| 5. Local Government in 7th District adopts the training course developed by Darwin project as standard for all new agriculture extension workers | <p>4a. Training manual developed for training course is incorporated into Agriculture Extension worker manual by end of year 2</p> <p>4b. All new intake extension workers undertake sustainable agriculture training as standard</p>  | <p>4a Agriculture Extension worker manual and letter of support from Ministry of Agriculture</p> <p>4b. Training records of new extension workers</p> | <p>New extension workers are employed within the 3 year project to test suitability of training materials</p> <p>Local Government deem training course to be of sufficient quality, and applicability, to roll it out more widely.</p> |

| Project summary   | Measurable Indicators | Means of verification | Important Assumptions |
|---|-----------------------|-----------------------|-----------------------|
| <p><b>Activities</b> (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)</p> <p>1.1</p> <p>1.2</p> <p>1.3 etc.</p> |                       |                       |                       |