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# IWTEVR11\1030

## **Informing Trade Patterns for Vietnamese Sustainable Sharks and Rays Fisheries**

Vietnam lacks comprehensive data on shark and ray trade and supply chains, hampering effective enforcement, conservation and management efforts. These gaps affect elasmobranchs protection and communities involved along the trade. The project seeks to uncover trade patterns and critical intervention pinpoints, to develop evidence-based, inclusive management strategies for sustainable fisheries. Using mixed research methods, the study will focus on key fishing areas and involve local stakeholders to gather crucial insights and provide inclusive solutions.

## PRIMARY APPLICANT DETAILS

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**Surname** Gill  
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## CONTACT DETAILS

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# IWTEVR11\1030

Informing Trade Patterns for Vietnamese Sustainable Sharks and Rays Fisheries

## Section 1 - Contact Details

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### PRIMARY APPLICANT DETAILS

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### CONTACT DETAILS

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<b>Title</b>	Mrs
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### GMS ORGANISATION

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Type	Organisation
Name	TRAFFIC International
Phone (Work)	[REDACTED]
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Website (Work)	[REDACTED]
Address	[REDACTED]

## Section 2 - Title, Themes, Species & Summary


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### Q3. Title:


Informing Trade Patterns for Vietnamese Sustainable Sharks and Rays Fisheries

Please upload a cover letter as a PDF document.

 [TRAFFIC Cover Letter VN](#)

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### Q4a. Is this a resubmission of a previously unsuccessful application to any of the Biodiversity Challenge Funds?

No

### Q5. Which of the four key IWT Challenge Fund themes will your project address?

Please tick all that apply. Note that projects supporting more than one will not achieve a higher score, and ticking themes that your project does not address may negatively affect project scores.

- Ensuring effective legal frameworks and deterrents
- Strengthening law enforcement

### Q6. Species project is focusing on

Please include both the common name and scientific name.

Hammerhead sharks (*Sphyrna* spp.)

Mako sharks (*Isurus* spp.)

Thresher sharks (*Alopias* spp.)

Requiem sharks (*Carcharhinus* spp.)

### Do you require more fields?

Yes

Devil rays (Mobulus spp.)	Manta rays (Manta spp.)
Additional Elasmobranchs traded in Vietnam	No Response

## Q7. Summary of project

Please provide a brief non-technical summary of your project: the problem/need it is trying to address, its aims, and the key activities you plan on undertaking.

Vietnam lacks comprehensive data on shark and ray trade and supply chains, hampering effective enforcement, conservation and management efforts. These gaps affect elasmobranchs protection and communities involved along the trade. The project seeks to uncover trade patterns and critical intervention pinpoints, to develop evidence-based, inclusive management strategies for sustainable fisheries. Using mixed research methods, the study will focus on key fishing areas and involve local stakeholders to gather crucial insights and provide inclusive solutions.

## Section 3 - Countries, Dates & Budget Summary

### Q8. Country(ies)

Which eligible host country(ies) will your project be working in?

Country 1	Vietnam	Country 2	No Response
Country 3	No Response	Country 4	No Response

Do you require more fields?

No

### Q9. Project dates

<b>Start date:</b>	<b>End date:</b>	<b>Duration (e.g. 2 years, 3 months):</b>
01 April 2025	30 September 2026	1 year, 6 months

### Q10. Budget summary

Year:	2025/26	2026/27	Total Request
Amount:	£57,181.00	£42,714.07	99,895.07

### Q11. Do you have matched funding arrangements?

No

**Q11. If no matched funding is proposed, please explain why.**

There is currently no initiative gathering evidence on sharks and rays trade and fisheries in Vietnam.

**Q12. If you have a significant amount of unconfirmed matched funding, please clarify how you will deliver the project if you don't manage to secure this?**

Not applicable.

**Q13. Have you received, applied for or plan to apply for any other UK Government funding for the proposed project or similar?**

No

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## **Section 4 - Problem statement & Gap in existing approaches**

### **Q14. Problem the project is trying to address**

**Please describe the problem your project is trying to address in terms of illegal wildlife trade and its relationship with poverty. What is the need, challenge or opportunity?**

**Please describe the level of threat to the species concerned. You should also explain which communities are affected by this issue, and how this aspect of the illegal trade in wildlife relates to poverty or efforts of people and/or states to reduce poverty.**

Over a third of sharks and rays, later referred to as "sharks"[a], are now endangered due to overexploitation[1], driven by legal and illegal fisheries meeting the high demand for fins, gills, and meat. Historically, sharks were abundant in the Southeast and Southwest regions of Vietnam[2]. Nowadays, while they are commonly found in Vietnamese offshore waters, they are mostly caught as bycatch[3] in offshore longlines and trawling operations. Existing insights on local catch are minimal and derived from previous incidental shark research[4], as Vietnam's research priorities are often directed toward more commercially valuable marine species[5].

Besides, Vietnam's active role in sharks trade is well documented through UN ComTrade database and TRAFFIC's research[6][7][8] since 1996, showing that Vietnam is importing, exporting and re-exporting shark products[9]. However, the species composition of these trade flows remains unclear, making it impossible to determine if CITES-listed species are being traded without proper permits, especially now that most of the traded species with threatened status in the IUCN Red List have been listed in CITES Appendix II (since 2014, 2017 or 2023). This lack of species-level data, combined with missing catch records, poses a significant conservation risk to CITES-protected sharks that may be moving through Vietnam's markets undetected.

In parallel, the Vietnamese legislation also lists 29 species[b], including some CITES listed, in Group I, Appendix II of Decree 37/2024/ND-CP as Endangered, Precious, and Rare Aquatic Species, strictly prohibiting their commercial exploitation if caught within Vietnamese waters.

However, the Vietnamese Government's capacity to implement and ensure compliance with these regulations is limited; due to insufficient resources to collect preliminary data and evidence on protected species trade, and further complicated by challenges in species identification and traceability once sharks are brought ashore and processed, and law enforcement officers lacking the capacity to identify imported products that are usually frozen or dry shark fins.

The data deficiency on the status of shark trade and critical pathways of supply chains seriously hinders the development and implementation of effective enforcement and management strategies for conserving and

regulating the region's elasmobranch populations. Vietnam risks becoming a hub for non-certified shark fins of CITES-listed species, threatening the long-term economic stability of stakeholders involved in the trade.

In particular, Illegal Wildlife Trade (IWT) can impact vulnerable populations relying on shark fisheries for survival and those in the supply chain- traders, processors, and distributors – who may not fully understand and identify which species are legal to trade. Combined with weak law enforcement, the economic pressures and lack of knowledge can push struggling communities into illegal activities, including women, who predominantly work in post-harvest processing and trading, while men typically handle the fishing.

Data on these vulnerable groups is limited, and they are likely excluded from important fisheries policy discussions and management decisions affecting their livelihoods.

Addressing this complex issue requires a holistic approach that combines improved data collection, strengthened enforcement mechanisms, and sustainable management practices while also considering the socioeconomic needs of stakeholders at different stages of the trade chains.

## Q15. Gap in existing approaches

**What gap does your project fill in existing approaches? Evidence projects should describe how the improved evidence base will be used to design an intervention and the gap the intervention will fill.**

This project addresses critical gaps in combatting the IWT in sharks in Vietnam:

**Weak enforcement:** despite the existing regulations, enforcement remains limited, because of species identification difficulties but also as information lacks on the scale, scope, or actors involved in the illegal capture, transport, processing and sale of sharks and rays and their products. Our project will create a comprehensive evidence base to identify intervention pinpoints along trade chains and inform enforcement authorities.

**Sustainable fisheries:** lack of insights on IWT prevents the Government from managing fisheries sustainably. By providing policy recommendations and critical trade pathways, the project will develop effective management strategies and initiate inclusive discussions for a future National Plan of Action (NPOA).

**Reporting on international trade:** the lack of documentation and traceability also hinders efforts to understand the full extent of Vietnam's role in international trade. Our research will clarify Vietnam's position in global trade networks and support the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) Management Authority in meeting its obligation to report to CITES and collect data on shark trade, as requested by the Animals and Standing Committee.

## Section 5 - Objectives & Commitments

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### Q16. Which national and international objectives and commitments does this project contribute towards?

**Consider national plans such as NBSAPs and commitments such as London Conference Declarations and the Kasane and Hanoi Statements. Please provide the number(s) of the relevant commitments and some brief information on how your project will contribute to them. There is no need to include the text from the relevant commitment.**

This project aligns with several national and international commitments aimed at combating IWT and conserving endangered species.

National Objectives:

Vietnam's Law on Fisheries (2017): Mandates protection, exploitation, farming, and trade of marine species; including measures to regulate shark fishing practices and illegal trade. This project will provide essential data to inform decision-making on illegal trade of sharks[10].

Law on Biodiversity (2018): Emphasises protection and sustainable development of endangered species. Our project addresses data gaps on illegal sharks to supports conservation efforts[11].

CITES (2023): Vietnam, a signatory regulates international trade of sharks listed in Appendices I and II. This project will support Vietnam's CITES compliance by providing data on illegal capture and trade[12].

International Commitments:

London Conference Declarations (2014), Kasane Statement (2015), and the Hanoi Statement (2016): Stress improving data collection and international collaboration to combat illegal wildlife trade. The project will directly support these efforts.

Comprehensive and Progressive Agreement for Trans-Pacific Partnership (CPTPP): Vietnam is committed to fight the illegal trade of sharks with the eight other signatories, the United Kingdom about to become the tenth. Signatories are committed by holding a dedicated shark-focused workshop in 2023, where TRAFFIC delivered the keynote on sharks trafficking.

Western and Central Pacific Fisheries Commission (WCPFC) Conservation and Management Measures: As a cooperating non-member, Vietnam must comply with several measures related to shark conservation (CMM 2010-07, 2011-04, 2014-05, 2019-04, 2019-05, 2022-04)

This project will strengthen Vietnam's capacity to fulfil these commitments, improve fisheries management practices, and contribute to global marine conservation efforts.

## **Section 6 - Method, Change Expected, GESI & Post Project Sustainability**

### **Q17. Methodology**

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

- How you have reflected on and incorporated evidence and lessons learnt from past and present activities and projects in the design of this project.
- The specific approach you are using, supported by evidence that it will be effective and justifying why you expect it will be successful in this context.
- How you will undertake the work (activities, materials and methods).
- What the main activities will be and where these will take place.
- How you will manage the work (governance, roles and responsibilities, project management tools, risks etc.).
- How you have engaged with partners or communities involved to design the project; if this has not been done please explain why.

The project outcome is an evidence-based picture of shark trade patterns, informing critical pathways and interventions pinpoints to develop management solutions for sustainable fisheries.

Our approach is based on evidence from successful global interventions. Key lessons include: 1) Capturing trade complexities through quantitative and qualitative methods; 2) Focusing on key fishing regions; 3) Engaging local stakeholders to ensure research sustainability.

## Objective 1: Comprehensive trade assessment

Data collection will cover five key fishing provinces across Vietnam's coastline: Quang Ninh, Binh Dinh, Khanh Hoa, Vung Tau, and Kien Giang, respectively representing the Gulf of Tonkin, the Central Coast, the Southeast and Southwest areas. These are essential fishing regions with developing fisheries, substantial fleets and extensive offshore fisheries, highly representative of the country's fishing industry and traded species[12][13].

### Activity 1.1: Desk-based monitoring

To start, TRAFFIC will conduct a desk-based review of the existing knowledge available from current and recent research and publications, focusing on Vietnam sharks' trade. It will include CITES and custom export and import reports and seizure analysis for incidents implicating Vietnam at any stage of the trade chain.

Besides, e-commerce platforms will be monitored to track the sale of shark products, identifying sellers, products, and prices to assess the extent of online sales and their contribution to the overall trade flows. TRAFFIC will use the methodology employed in current projects, leveraging its experience and mandate in this field.

### Activity 1.2: Field research

TRAFFIC and DFS will conduct 20 semi-structured interviews with each province's fishers, processors, traders, and key supply chain actors, at villages, landing sites, and markets. This number will be adjusted based on the number of boats per fishery and province. Using a standardised questionnaire with open-ended components, the interviews will follow the General Sampling Considerations from FAO's guidelines for sharks landing site monitoring[14]. They will cover local market demand, product usage, availability, prices, sale frequency, type of commodities, destinations.

Interviews at key landing sites will gather species information (with TRAFFIC supporting identification), volumes and trade destinations. Interviews with process factories will assess the volume, origin, prices, legality and destination of processed products, followed by research at export or seafood markets and restaurants in major cities.

### Activity 1.3 Critical intervention points mapping

Using data from Activities 1.1-1.2, TRAFFIC and a consultant will map the sharks trade flow from capture or import through processing and transportation, to national cities or international markets. This map will highlight legal and illegal supply chain routes and critical intervention points and recommendations, including where products are processed, stored, shipped and sold, highlighting weak links in enforcement and opportunities for improved regulation.

TRAFFIC has done similar mapping exercises crucial to understanding and addressing complex wildlife trade networks.

## Objective 2: Propose recommendations for a NPOA

### Activity 2.1: Policy recommendations

DFS and consultant will review Vietnam's key fisheries management laws to assess their effectiveness and identify enforcement gaps. This legal assessment report will propose additional targeted policy recommendations, including improved trade monitoring, stricter regulations for traders and exporters, and enhanced enforcement capacity. These recommendations will address domestic and international trade, ensuring alignment with CITES and other relevant conventions.

### Activity 2.2: Foster inclusive discussions

TRAFFIC, DFS and the provincial Sub-departments of Fisheries, will organise one validation workshop with representatives from each selected province, including key stakeholders from national and local authorities, fishing communities, field experts, scientific bodies and academics. This workshop will share and validate findings from Outputs 1 and 2, and introduce three key tools: SharkTrace[15], a digital traceability system for tracking legal shark products through the supply chain; TRAFFIC's 3D-printed shark fin identification tool[16] to support enforcement officers in species recognition, and the NPOA Evaluator[17], used by participants to score current shark trade assessment, recommendations and projected improvements. The workshop will ensure recommendations are practical, aligned with national priorities, and inclusive.

### Activity 2.3: Distribute recommendations

DFS will consolidate the workshop results in an official report, circulate it to 500 stakeholders through an official letter summarising the recommendations.

Project Management: DFS, involved in the proposal design, will be the project owner, spearhead policy analysis and stakeholder engagement. TRAFFIC and DFS will co-lead and co-design detailed work plans on trade research components. A project steering committee, including representatives from organisations and key government stakeholders will provide oversight. Quarterly reviews will assess progress and adjust project strategies as needed. Local fishing communities and traders in all five target provinces will be actively engaged in survey activities, ensuring that the proposed interventions are culturally appropriate and economically sustainable.

## Q18. Capability and Capacity

### **How will the project support the strengthening of capability and capacity of identified local and national partners, and stakeholders during its lifetime organisational or individual levels?**

While direct capacity building is not our primary objective, our research and data collection activities are based on strategic engagement and knowledge sharing, that will naturally improve stakeholders' understanding and skills in shark trade management:

National government agencies such as DFS will gain skills in interpreting complex trade data and knowledge of international conservation practices and traceability tools, giving them the capacity to continue to make informed, data-driven policy decisions. Additionally, CITES MA will improve its capability to meet its obligation to report.

Law enforcement agencies will receive knowledge to narrow down their efforts and identify specific capacity-building skills to strengthen their actions.

Local stakeholders will develop capabilities in accurate catch or trade reporting and the importance of it, increasing their capacity to engage in legal and sustainable fishing practices.

Scientific agencies, such as Vietnam Institute of Fisheries Economics and Planning (VIFEP) or other consultant selected, will acquire advanced research methodologies and will be equipped with the skills to continue the

research work in the future.

By launching a preliminary research, identifying intervention points and fostering discussions on sustainable sharks fisheries, the project enables DFS to continue additional research and conduct inclusive workshops to draft an NPOA for sharks eventually. The use of the NPOA evaluator will show what scores need improving that can be worked on in a future intervention. In addition, our efforts to initiate inclusive and participatory discussions for management solutions will ensure the participation of CSO partners in the future and continue to strengthen connections between Government, scientific agencies, and local stakeholders.

Our project prioritises gender equality and social inclusion by ensuring male and female stakeholders are equally involved in our research activities and consultations.

## **Q19. Gender Equality and Social Inclusion (GESI)**

**All applicants must consider how their project will contribute to promoting equality between persons of different gender and social characteristics. Please include reference to the GESI context in which your project seeks to work in.**

The project recognises the critical importance of promoting gender equality and social inclusion among Vietnam's sharks trade chains stakeholders that are at risk of being involved in IWT. Traders, processors, and distributors - may not fully understand which species are legal to trade, putting them at greater risk of involvement in illegal activities, that threatens their long-term economic stability. This is particularly the case for women who engage in post-harvest activities like processing, marketing and selling seafood while men engage in offshore fishing.

Besides, women are frequently excluded from decision-making processes, governance, and policy discussions related to fisheries management that affect their livelihoods. Similarly, socially vulnerable groups, including ethnic minorities and low-income communities, face difficult access to information, resources, and formal markets, placing them at a disadvantage in benefiting from sustainable fishing practices or policy reforms.

The project will inform the role of women and vulnerable communities in the shark and ray trade and take proactive steps to ensure their meaningful involvement at all stages, from data collection to the development of management solutions. Specific actions include:

**Equitable Representation:** The project will involve women and vulnerable groups in data collection and in the development of management solutions, empowering them in decision-making and conservation efforts. This ensures their voices are heard, challenges are considered in policy recommendations, and the project outcome can benefit them. The project targets at least 40% female participation in surveys, interviews, and the workshop, with special outreach to engage vulnerable groups during interviews, and invite their representatives to the final workshop.

**Equitable Access to Information and Resources:** The project will provide equal access to information on sustainable fishing practices, bycatch reduction, and legal regulations. The project will collaborate with local Sub-departments of Fisheries to involve underrepresented groups in interviews and arrange logistics for the participation of their representative in the final workshop.

**Addressing Economic Disparities:** By mapping the trade chain and identifying the roles women and vulnerable groups play in the sharks trade, the project will recommend ways to improve their access to resources and formal markets. This will help reduce the risk of being involved in illegal or unsustainable practices and improve their economic resilience.

Mitigating Negative Impacts: The project acknowledges that stricter regulations may impact vulnerable stakeholders. To mitigate this, the project will involve these communities in developing management solutions, considering alternative livelihoods and economic opportunities. This includes exploring sustainable fishing practices and alternative species to reduce reliance on shark and ray bycatch.

Gender- Sensitive Governance: By promoting gender equality in decision-making and policy implementation, we will address excluding women and other vulnerable groups from governance structures. This will ensure that regulatory changes are sensitive to these communities' socioeconomic realities.

By ensuring meaningful participation and addressing structural inequalities in preliminary discussions and research, we aim to significantly enhance gender equality and social inclusion in decision making processes for marine conservation. We will gather gender, age and Indigenous Peoples and local communities (IPLC) disaggregated data to inform equitable policy recommendations.

## Q20. Change expected

**Detail the expected changes to both illegal wildlife trade and poverty reduction this work will deliver. You should identify what evidence will be gathered and how it might be used to inform future interventions. Please include who will benefit from these interventions, considering both people and species of focus a) in the short-term (i.e. during the life of the project) and b) in the long-term (after the project has ended) and the potential scalability of the approach.**

**When talking about how people will benefit, please remember to give details of who will benefit, differences in benefits by gender or other layers of diversity within stakeholders, and the number of beneficiaries expected. The number of communities is insufficient detail – number of households should be the largest unit used.**

Short term

Significant improvements in understanding shark trade patterns, such as group of species, trade volumes, routes, and key actors in the illegal trade chain (Output 1) will be published digitally and shared with national and international stakeholders, including CITES Parties through the CITES Committees, providing primary evidence for more targeted research and future interventions.

This trade assessment will provide insights into consumer preferences and identify at least 5 targeted interventions to inform 4 key enforcement agencies (Vietnam Customs, Environmental Police, DFS, CITES MA). It will also support CITES MA in meeting reporting on sharks trade.

The final report, informing at least 10 regulatory and policy actions against illegal and unsustainable shark catch and trade, will be distributed to 20 Vietnamese government agencies, NGOs and CSOs, representing 500 stakeholders through DFS' official letter.

During the trade assessment, interviews will enhance knowledge about sustainable practices and legal requirements among 100 fishers, traders, and processors. At least 30% of participants in research and workshops will be from vulnerable communities, with 40% women representation, improving their equal access to information and resources.

Long-term

Research findings will improve enforcement efforts through targeted interventions against the illegal shark trade. This enhanced enforcement will primarily benefit at least six groups of sharks species protected by national and international regulations, supporting population recovery and ecosystem balance.

Improved awareness of traders, processors, and distributors about sharks' illegal trade will help reduce their

risks of being involved in illegal activities.

The project's participatory approach will reduce structural inequalities in fisheries management decision-making, ensuring discussions remain inclusive beyond the project's lifespan, allowing vulnerable groups and women to contribute to sustainable management practices.

#### Potential scalability

The project's success will lay a strong foundation for expanding enforcement and conservation efforts. With additional funding, several avenues for expansion are envisioned:

1. Strengthen enforcement capacity: Building on key intervention points and findings delivered by the project, the Vietnamese Government will be able to narrow down and target its efforts to build capacity for its law enforcement force, increasing species identification and traceability. The introduction of TRAFFIC's tools including 3D-printed shark fin identification materials and the SharkTrace digital traceability system - will enable potential expansion. These tools could be customised and implemented across major ports, trading and process hubs.
2. National Plan of Action (NPOA): Research findings will inform Vietnam's NPOA using the Evaluator tool to identify improvements. If endorsed, the NPOA will support long-term viability of economic activities, benefiting fishers (particularly those on 24,000 offshore fishing vessels[18], processors and traders, while supporting poverty reduction through improved livelihoods.
3. Adapt and replicate the research model to other Vietnam's marine species which trade dynamics are not documented: The project's standardised research approach - combining landing site monitoring, market surveys, and stakeholder engagement across five diverse provinces to create a model adaptable to other marine species trade. Digital traceability and identification tools for sharks and rays can be modified for other threatened marine species, creating a comprehensive approach to marine trade management.

## Q21. Pathway to change

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

The project will gather detailed data on shark bycatch, trade routes, and supply chains and critical intervention points, coupled with a regulatory review to assess gaps in Vietnam's compliance with CITES and WCPFC measures. This data-driven approach will inform the Government, who, together with expert and local communities' participation, will propose solutions for improved management solutions of sharks populations. In parallel, information on trade routes and supply chains actors, coupled with their involvement in project activities, will provide enforcement agencies and CITES with valuable data and knowledge to increase enforcement and ensure Vietnam fully implements CITES requirements to Review the Significant Trade for listed sharks.

The expected Outcome is to provide critical intervention points and recommended management solutions for sustainable fisheries of sharks populations.

Long-term impacts include a decrease in the illegal trade of CITES-listed species and a decrease in the risks for traders, processors, and distributors to be involved in illegal activities. The project will ensure the long-term inclusion of all stakeholders along the trade chain in decision-making processes so they can benefit from legal fisheries practices and sustainable livelihoods while conserving shark populations.

## Q22. Sustainable benefits and scaling potential





**Q22a. How will the project reach a sustainable point and continue to deliver benefits post-funding? How will the required knowledge and skills remain available to sustain the benefits? How will you ensure your data and evidence will be accessible to others?**

The project will generate crucial evidence on shark trade in Vietnam, informing policy, enforcement and conservation efforts beyond the funding period. Findings and methodologies will be published in open-access formats to enhance international knowledge on sharks IWT. At the local level, the project's validation workshop will introduce key tools including the NPOA Evaluator, SharkTrace digital traceability system, and TRAFFIC's 3D-printed identification tools, ensuring practical knowledge remains embedded within Vietnam's institutions. Circulating preliminary findings to 500 stakeholders across coastal provinces will support broad knowledge retention. Evidence gathered through 100 stakeholder interviews, and supply chain mapping will inform specific enforcement and conservation measures, particularly at identified critical trade points. A project steering committee will provide quarterly oversight and strategic guidance. Regular collaboration with DFS during policy analysis and stakeholder engagement will build lasting knowledge for evidence-based enforcement, clearing a pathway to Vietnam's future NPOA implementation.

**Q22b. If your approach works, what potential is there for scaling the approach further? What might prevent scaling, and how could this be addressed?**

The project approach will directly inform targeted enforcement strategies at critical points along trade chains and identify potential measures for Vietnam's future NPOA. Working across five provinces spanning from the Gulf of Tonkin (Quang Ninh), Central Coast (Binh Dinh, Khanh Hoa), Southeast (Vung Tau) to Southwest (Kien Giang), the project's comprehensive methodology combining quantitative and qualitative methods creates a scalable model of understanding complex trade networks. The method of integrating land site monitoring, market surveys, and stakeholder engagement can be adapted for other marine species trade assessment in Vietnam. The introduction of tools like SharkTrace for supply chain transparency and species identification can strengthen enforcement capacities at trading hubs and processing factories. Close partnership with DFS and engagement of local fishing communities ensures proposed solutions are practical and scalable. While challenges include varying provincial capacity, the standardised approach and stakeholder validation process provides a framework supporting broader marine conservation efforts.

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

-  [ADDITIONAL MATERIAL TRAFFIC Vietnam application](#)
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## Section 7 - Risk Management

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### Q23. Risk Management

Please outline the 7 key risks to achievement of your Project Outcome and how these risks will be managed and mitigated, referring to the Risk Guidance. This should include at least one Fiduciary, two Safeguarding, and one Delivery Chain Risk.

Risk Description	Impact	Prob.	Inherent Risk	Mitigation	Residual Risk
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<b>Fiduciary</b>	<p>Misuse of funds by project staff can significantly undermine project integrity and effectiveness. It may lead to financial losses, damage to reputation, and loss of stakeholder trust.</p>	Major	Unlikely	Moderate	<p>TRAFFIC adheres strictly to donor financial guidelines and maintains an organisation-wide Financial Policies and Procedures Manual. This manual outline strong financial controls with clear policies on fund usage and reporting, as well as a multi-level approval process for invoices and procurements to ensure effective monitoring of expenditures</p>	Minor
<b>Safeguarding (SEAH)</b>	<p>Fish market and researchers' safety is compromised as they collect data and interview fishers on sensitive topics relating Illegal, Unreported, and Unregulated (IUU) fishing.</p>	Major	Unlikely	Moderate	<p>TRAFFIC has clear guidelines and policy for sensitive activity, in addition to a code of conduct which provides guidance to ensure the safety and security of personnel. Local consultants will also be accompanied by research assistants and will have training and experience in fish market surveys and collecting sensitive data.</p>	Minor
<b>Safeguarding (HSS)</b>	<p>Retaliation risk to Fisher taking part in surveys: Fishers may face intimidation or violence from peers or criminal networks involved in IUU activities. Speaking out can lead to being shunned by the community, losing social connections, or facing backlash from fellow fishers.</p>	Major	Unlikely	Moderate	<p>TRAFFIC follows strict procedures to ensure that the information is confidential, that participation is voluntary, and establishes a safe space for dialogue. By collaborating with local leaders and community organisations, TRAFFIC builds trust and credibility, encouraging fishers to openly discuss sensitive issues in a safe environment</p>	Minor

<b>Delivery Chain</b>	Data collected in each five provinces are insufficient to generate recommendations at the national level.	Moderate	Possible	Major	The five selected provinces are key fishing regions with extensive fleets and frequent shark encounters. To ensure enough data is collected, DFS will provide support and encourage collaboration from the provinces by issuing official letters. DFS will also accompany the consultant/surveyor on the field to support cooperation if needed.	Minor
<b>Risk 5</b>	Political developments lead to changes or loss of governmental support, and DFS rejects the research findings and recommendations.	Severe	Rare	Major	TRAFFIC has a strong working relationship with DFS and CITES MA, evidenced by formal support letter of DFS. The project is co-designed with both agencies align with their annual workplans. Government champions will be identified and engaged throughout project implementation. Quarterly meetings enable early identification of concerns and necessary adjustments.	Minor
<b>Risk 6</b>	Government project approval is delayed, which delays the project implementation	Moderate	Possible	Major	TRAFFIC will work closely with DFS and prepare all required documents per Decree 80/2020/NĐ-CP dated 8 July 2020. TRAFFIC involved DFS in the proposal development stages. The approval process was anticipated in the timeline, recruitment can start with desk based activities, before receiving official approval.	Minor
<b>Risk 7</b>	Adverse currency exchange rates and/or high in-country inflation means that insufficient funds to implement activities as planned and costed.	Moderate	Possible	Moderate	TRAFFIC will adhere closely to the work plan to ensure timely project execution and ensure the alignment of reimbursements with project implementation. Provisions will be made in case of potential exchange rate losses due to unfavourable currency exchange rates and inflation.	Minor

## Section 8 - Project Sensitivities and Workplan

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### Q24. Project sensitivities

Please indicate whether there are sensitivities associated with this project that need to be considered if details are published (detailed species location data that would increase threats, political sensitivities, prosecutions for illegal activities, security of staff etc.).

Yes


Please provide details.





### Q25. Workplan

Provide a project workplan that shows the key milestones in project activities.

 [Workplan VN Sharks](#)

 25/10/2024

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## Section 9 - Monitoring and Evaluation

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### Q26. Monitoring and evaluation (M&E)

Describe how the progress of the project will be monitored and evaluated, making reference to who is responsible for the project's M&E.

**IWT Challenge Fund projects are expected to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. M&E is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact.**

The Programme Office Director, supported by DFS, will oversee M&E activities, ensuring they inform project management and delivery throughout the implementation cycle. This approach includes monthly internal progress meetings, stakeholder coordination meetings, and quarterly review and adaptation sessions. The regular check-in will assess progress against planned timeframes, identify challenges, and implement mitigating actions. Any significant setbacks affecting deliverables will be promptly communicated to DEFRA for collaborative problem-solving.




The effectiveness of the key project activities, such as the validation workshop, will be monitored through pre- and end of event assessments. The evaluations will measure changes in participants' awareness, knowledge and understanding of the sharks and rays trade issues, providing valuable insights into the project's impact on stakeholder engagement.

To ensure the quality and reliability of our research, all market research activities will adhere to TRAFFIC's established guidelines. The protocols, developed from extensive global experience, will be applied to the design of research questionnaires and interview methodologies. Furthermore, TRAFFIC's teams for MEL, and Data, Research and Enforcement Support will provide additional quality assurances, enhancing the credibility of our findings.

Our M&E framework will use both quantitative and qualitative indicators to capture the project's impact. Quantitative measures will include the number of stakeholders engaged, research outputs produced, and policy recommendations developed. Qualitative indicators will assess stakeholder satisfaction, the quality of research findings, and the relevance of policy recommendations. This approach allows us to evaluate both the project's outputs and its long-term impacts.

Quarterly review sessions will facilitate adaptive management, bringing together the project team and key stakeholders to reflect on progress, discuss challenges, and develop solutions. This iterative process ensures lessons learned are quickly incorporated into project implementation. Halfway through the project a mid-term reflection session will be held to review the progress of the project in more depth, its strengths and weaknesses, its impacts so far (including any unintended positive or negative impacts), the identified project risks and the logic of the intended pathway to change, as well as identify any external issues or opportunities and determine if any strategic adaptations are needed to increase the success of the project. Finally, an end of project M&E Report will evaluate results against the indicators for each output and reflect on lessons learned and how future activities can be improved.

Stakeholder engagement is a key of our M&E approach. We will implement participatory monitoring mechanisms involving local communities, fishing industry representatives, and relevant authorities. This inclusive strategy enriches our data collection and promotes ownership and sustainability of project outcomes.

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

## Section 10 - Indicators of success & Standard Indicators

### Q27a. Indicators of success

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

SMART Indicator

Means of Verification

<b>Outcome</b>	By September 2026, recommendations for targeted enforcement and inclusive management solutions for the management and conservation of sharks and rays in Vietnam are developed and distributed (Target: 20 agencies, >500 stakeholders)	Copy of trade assessment report (output 1) and of the report on recommendations for the inclusive management and conservation of sharks and rays in Vietnam (output 2)  Copy of the letter issued by DFS and distribution list
<b>Output 1</b>	<p>1.1 By December 2025, desk-based research and online monitoring surveys in Vietnam determine sharks and rays trade channels and patterns, and clarify hotspots for field research (target: at least 10 reports reviewed and 4 e-platforms surveyed)</p> <p>1.2 By March 2026, market surveys and integrated interviews with actors of the supply chain are conducted and quantitative data on catch and trade flows of sharks and rays in five provinces available, (target: 100 interviews, 40% women, 25 locations surveyed )</p> <p>1.3 By June 2026, data collected is gathered in a trade flow mapping to determine the sharks and rays supply chain, identify key actors and critical interventions points.</p> <p>(Targets: at least 5 pinpoints and recommendations for intervention identified, TRAFFIC report distributed to at least 4 law enforcement agencies, 50 national stakeholders, 3 international forums)</p>	<p>1.1 Findings from online monitoring survey of e-commerce sites</p> <p>1.2. Copies of semi-structured interviews with fishers, processors, and traders. Findings of surveys available</p> <p>1.3 TRAFFIC report available, distribution list</p>

	2.1 By June 2026, gaps in enforcement are identified and policy recommendations are proposed. (Targets: 5 gaps and recommendations; legal assessment report presented to at least 40 stakeholders)	
<b>Output 2</b> Discussions are initiated and a report provides preliminary recommendations for the inclusive management of shark trade in Vietnam	2.2 By September 2026, the workshop participants learn and provide feedback about the specific preliminary recommendations, the proposed solutions and the introduced tools. (Targets: at least 40 national attendees including 40% women, presentation of 10 recommendations and 3 innovative tools, report disseminated to at least 20 agencies, at least 80% of participants consider their knowledge on the issues has improved after the workshop)	2.1. One legal/policy brief presented in the final workshop  2.2. Consolidated expert meeting report available; NPOA Evaluation scores available; pre and post-workshop assessments; workshop attendance list (disaggregated by province, gender, IPLC Status, type of participation (Governance, Citizen engagement)).
<b>Output 3</b> <i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<b>Output 4</b> <i>No Response</i>	<i>No Response</i>	<i>No Response</i>

## Activities

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

Activity 1.1. Conduct desk-based research, analysis of seizures and monitor e-commerce platforms for product listings and online trade patterns

Activity 1.2. Conduct field research and semi-structured integrated interviews in fishing communities, seafood markets, landing sites and fish process factories

Activity 1.3. Mapping the trade chain, from harvest or import, through transport and process stages, to final market destinations and providing critical intervention points

Activity 2.1. Conduct a legal and regulatory framework assessment and provide policy recommendations

Activity 2.2. Organise a validation workshop, initiating discussions and the NPOA Evaluator to propose management solutions.

Activity 2.3. Issue an official letter to disseminate the preliminary management solutions report to at least 500 stakeholders

## Important Assumptions

**Please describe up to 6 key assumptions that, if held true, will enable you to deliver you Outputs and Outcome.**

1. Fishermen in coastal communities, intermediaries and processors are willing to discuss and share local knowledge and practices
2. Key stakeholders, particularly Ministry officials, attend the workshop and support recommendations.
3. Selected provinces fisheries data are representative of the fisheries status in Vietnam for sharks and rays, and provide sufficient preliminary data.

## Q27b. Standard Indicators

Standard Indicator Ref & Wording	Project Output or Outcome this links to	Target number by project end	Provide disaggregated targets here
<b>e.g. IWTCF-A01: Number of people reporting they are applying new capabilities (skills and knowledge) 6 (or more) months after training</b>	<b>e.g. Output indicator 3.4 / Output 3</b>	<b>e.g. 60</b>	<b>e.g. Kenya, 30 non-indigenous women; 30 non-indigenous men</b>
IWTCF-B01: Number of criminal networks and related trade routes identified	Output indicator 1.3,	5	Vietnam, Province, Type (trade route); Estimated scale of network (small, medium, large)
IWTCF-B02: Number of illegal wildlife products/ shipments detected	Output Indicators 1.1, 1.2	5	Vietnam, Province, group of species
IWTCF-B13: Number of intelligence reports fed into management decisions on species protection	Output indicator 1 Output indicators 2.1 and 2.2	3	Vietnam
IWTCF-D08: Number of decision-makers attending briefing events	Output indicator 2.2	5	Vietnam; Gender (men, women, other); IPLC31 status (IPLC, other); Age
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>	<i>No Response</i>


No Response	No Response	No Response	No Response
No Response	No Response	No Response	No Response
No Response	No Response	No Response	No Response
No Response	No Response	No Response	No Response
No Response	No Response	No Response	No Response
No Response	No Response	No Response	No Response
No Response	No Response	No Response	No Response


## Section 11 - Budget and Funding


### Q28. Budget

Please complete the appropriate Excel spreadsheet, which provides the Budget for this application, and ensure the Summary page is fully completed. Some of the questions earlier and below refer to the information in this spreadsheet.

 [VN Sharks Defra Budget](#)

 28/10/2024

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 xlsx 38.16 KB

### Q29. Alignment with other funding and activities

This question aims to help us understand how familiar you are with other work in the geographic/thematic area, and how this proposed project will build on or align with this to avoid any risks of duplicating or conflicting activities.

**Q29a. Is this new work or does it build on existing/past activities (delivered by anyone and funded through any source)? Please give details.**

This project builds on global and regional initiatives while addressing Vietnam-specific needs. It builds upon 2015 research[10][11] providing baseline data, but the rapidly changing landscape of marine conservation and international trade necessitates updated research.

While the Missing Sharks initiative[19] has advanced our understanding of global data gaps for many shark species, Vietnam's unique context requires targeted research. The IUCN Shark Specialist Group's "Global Shark Trends Project"[20] and a meta-analysis[21] on the impact of international conservation highlight that region-specific data are crucial for effective conservation. The "Global Sharks and Rays Initiative" (GSRI)[22] further emphasises the need for localised research. In addition, while UN ComTrade data review shows existing trade of probably not CITES-listed species (as Vietnam showed no catch data or CITES permits), it is, however, unlikely that Vietnam's trade truly excludes all CITES sharks and rays species, given how many species are now CITES-listed, thereby confirming the need for comprehensive research.

By addressing Vietnam-specific data gaps and management challenges, this project will provide valuable insights to both national conservation efforts and global databases, enhancing our understanding of regional shark and ray populations.

**Q29b. Are you aware of any current or future plans for work in the geographic/thematic area to the proposed project?**

Yes

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

TRAFFIC is aware of the ongoing and planned initiatives in sharks conservation in Vietnam, including recent research into shark fisheries and DNA barcoding by Vietnamese marine research institutes. We are actively communicating with these researchers through the project's key counterpart DFS to ensure the project complements and enhances their work rather than duplicating efforts. Our project distinguishes itself by focusing on trade data and policy recommendations for sharks species, areas not deeply explored in current research. TRAFFIC will work with DFS to integrate findings from the DNA barcoding project to improve species identification in trade, enhancing the accuracy of our trade data analysis.

We have established communication channels with key stakeholders, including government agencies, NGOs such as WWF, IUCN, HSI, and ENV, and research institutes involved in ongoing projects. This collaboration ensures our work aligns with and supports current initiatives, creating synergies and maximising impact.

By leveraging these partnerships and incorporating lessons learned from other projects, we aim to address specific gaps in knowledge and practice. The project will provide a comprehensive understanding of Vietnam's shark trade, complementing existing research on fisheries and species identification and contributing to more effective conservation strategies.

## **Q30. Balance of budget spend**

**Defra are keen to see as much IWT Challenge Fund funding as possible directly benefiting communities and economies. While it is appreciated that this is not always possible every effort should be made for funds to remain in-country.**

Our budget for this project is carefully designed to prioritise local impact, with over █% of funding directly benefit Vietnam across five key provinces: Quang Ninh, Binh Dinh, Khanh Hoa, Vung Tau, and Kien Giang. This strategic allocation supports comprehensive research on shark trade patterns while maximising community benefits.

The majority of funds will be channelled through DFS as the project owner, supporting local employment and expertise. This includes field researchers, policy analysts, and community engagement specialists working across landing sites, markets, and processing facilities. The project will prioritise local procurement for workshops, research materials, and stakeholder engagement activities, ensuring economic benefits remain within them.

Significant local spending will support extensive fieldwork, including 100 structured interviews with fishers, traders, and supply chain actors across the provinces. The budget also covers a major stakeholder validation workshop and the distribution of findings to 500 stakeholders, building local capacity for sustainable fisheries management.

While most funding remains in-country, a portion supports TRAFFIC's essential technical oversight in trade research methodology, species identification expertise, and policy analysis. This international support ensures project quality while sustaining Vietnam's capacity to manage its marine resources.

## **Q31. Value for Money**

**Please demonstrate why your project is good value for money in terms of impact and cost-effectiveness of each pound spend (economy, efficiency, effectiveness and equity). Why is it the best feasible project for the amount to be spent?**

Our project offers exceptional value by addressing critical gaps in shark and ray conservation and trade management in Vietnam, a key player in the global shark trade. We ensure economy, efficiency, effectiveness, and equity in resource utilisation and impact generation.

We leverage existing partnerships and infrastructure to minimise overhead costs. By collaborating with local institutions and using TRAFFIC's established research methodologies, we maximise resource use. Our budget prioritises direct research and capacity-building activities, ensuring funds are directed towards tangible outcomes.

The project's efficiency is demonstrated through its focus on five key provinces, representing diverse fishing regions. This targeted approach allows for comprehensive data collection and analysis without costly nationwide surveys. Our multi-stakeholder engagement strategy ensures findings are quickly disseminated and integrated into policy recommendations, maximising impact.

Effectiveness is achieved through our evidence-based approach and adaptive management strategy. By combining quantitative trade data analysis with qualitative stakeholder insights, we ensure our recommendations are data-driven and practical. The project's focus on fostering stakeholder collaboration enhances the likelihood of sustainable, long-term impact. Equity is a core principle, reflected in our inclusive stakeholder engagement process. We ensure representation from diverse groups, including local fishing communities, traders, and policymakers, fostering a holistic understanding of the issues and promoting equitable solutions.

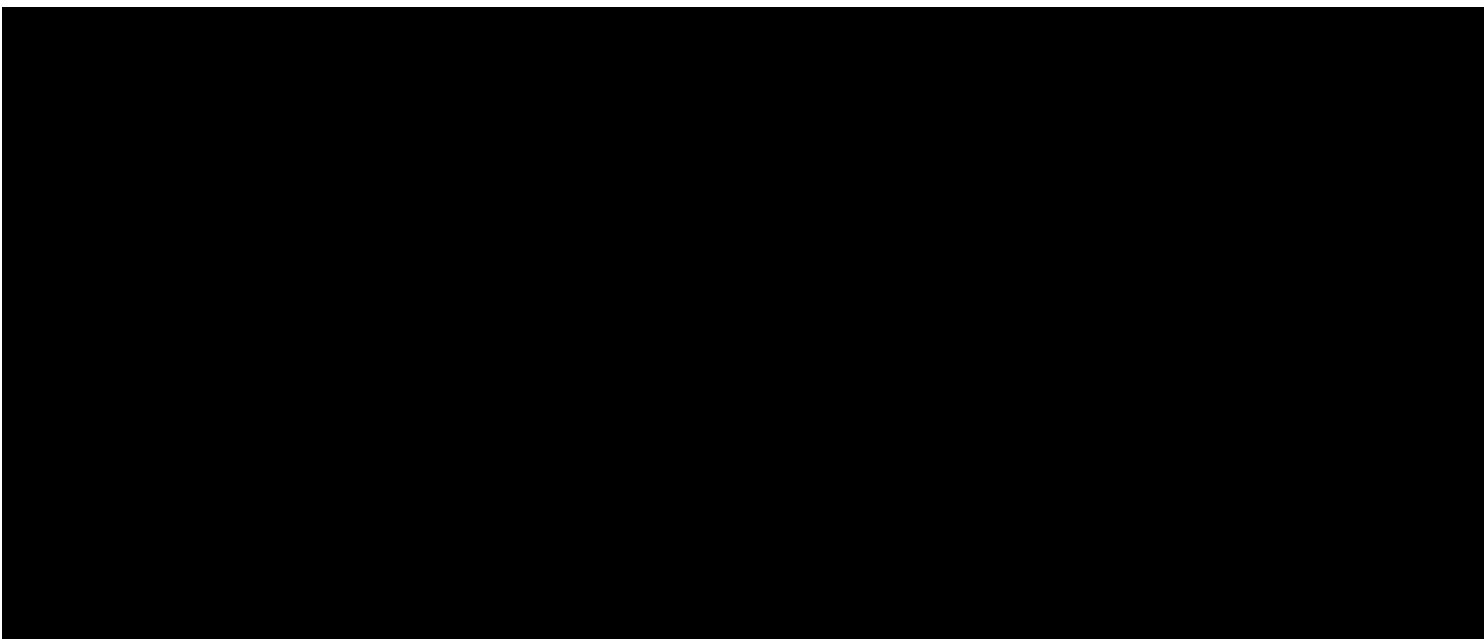
### **Q32. Capital items**

**If you plan to purchase capital items with IWT Challenge Fund funding, please indicate what you anticipate will happen to the items following project end. If you are requesting more than 10% capital costs, please provide your justification here.**

No capital items will be purchased in this project.

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

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### **Q34. Ethics**

**Outline your approach to meeting the key principles of good ethical practice, as outlined in the guidance**

The project follows the highest ethical standards. We ensure our activities do not harm any project stakeholders, local communities or ecosystems. Project activities' participants will be fully informed about the project's goals, risks, and benefits. We respect privacy and confidentiality complemented with strong data protection.

TRAFFIC research methods respect local customs and knowledge. We provide fair compensation and avoid exploiting vulnerable groups through insensitive interview questionnaires. Environmental sustainability is a core part of our work. For example, the project team would limit travel to essential trips only and encourage virtual meetings to reduce carbon emissions; or make project events paperless by using digital documents and

communications and avoid single-use plastics.

The project team ensures all activities meet local regulations and international standards. The team will regularly review implementation practices and adapt based on new considerations, taking into considerations technical and ethical advice by local partners and stakeholders. By promoting ethical awareness, the project aims to maintain integrity and achieve sustainable and fair conservation outcomes.

## Section 13 - FCDO Notifications

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### Q35. British embassy or high commission engagement

It is important for UK Government representatives to understand if UK funding might be spent in the project country/ies. Please indicate if you have contacted the relevant British embassy or high commission to discuss the project and attach details of any advice you have received from them.


Yes

Please attach evidence of request or advice if received.

 [VN Embassy contact email](#)

 25/10/2024

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## Section 14 - Project Staff

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### Q36. Project staff

**Please identify the core staff (identified in the budget), their role and what % of their time they will be working on the project.**


Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Trinh Nguyen (also safeguarding focal point and MEL lead)	<b>Project Leader</b>	9	Checked
Anh Tran	Project Officer	45	Checked
Glenn Sant	Senior Fisheries Advisor	3	Checked
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>	Unchecked


Do you require more fields?


No


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

---

 [Project staff's CVs](#)

 25/10/2024

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Have you attached all project staff CVs?

Yes

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## Section 15 - Project Partners

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### Q37. Project Partners

Please list all the Project Partners (including the Lead Organisation), clearly setting out their roles and responsibilities in the project including **the extent of their engagement so far.**

This section should demonstrate the capability and capacity of the Project Partners to successfully deliver the project, ideally evidencing meaningful and early engagement in the co-design of your project. Please provide Letters of Support for all project partners or explain why this has not been included.

Lead Organisation name: TRAFFIC International

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Website address: [www.traffic.org](http://www.traffic.org)

---

Why is this organisation the Lead Organisation, and what value do they bring to the project? (including roles, responsibilities and capabilities and capacity):

TRAFFIC is a leading non-governmental organisation working globally on trade in wild animals and plants in the context of both biodiversity conservation and sustainable development. Established in Vietnam since 2000, TRAFFIC has been at the forefront of responding to wildlife trade concerns in the country. Our long-term physical and online trade monitoring skills provides unparalleled insights into Viet Nam's wildlife trade dynamics, allowing us to make vital connections between domestic trade and international trafficking networks. Besides, TRAFFIC's in-house experts will offer their support for species identification and provide recommendations and tools for future hands-on enforcement and detection techniques.


Working closely with government bodies, particularly the Department of Fisheries and CITES MA, TRAFFIC Vietnam has made significant contributions to wildlife protection and marine turtle conservation, including the revision of Vietnam's National Plan of Action for marine turtles. Our strong partnerships with government, private sector, and civil society have established us as a trusted authority in conservation within both local and international communities.

Together with DFS, TRAFFIC will administer the grant and coordinate the project delivery. Strong in-house skills will be deployed to conduct the trade analysis, produce the comprehensive report, facilitate meetings, and introduce tools such as the NPOA Evaluator.

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International/ In-country Partner: International

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Allocated budget (proportion or value): 

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**Representation on the Project Board (or other management structure):**  Yes

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

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

Yes

**1. Partner Name:** The Department of Fisheries and Surveillance (DFS)

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**Website address:** <https://tongcucthuysan.gov.vn/en-us/Home>

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**What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):**

DFS plays a critical role in facilitating the project's success, particularly through obtaining the necessary governmental approvals for its implementation. As the primary government authority overseeing fisheries regulations, DFS will serve as the key focal point to engage and coordinate stakeholders at both the national and provincial levels, ensuring smooth project execution. They will work closely with provincial Sub-Departments of Fisheries to facilitate fieldwork, interviews, and surveys with fishers, traders, and other local actors, enabling comprehensive data collection on shark and ray trade.

In addition, DFS will lead the legal and regulatory assessment, identifying gaps in current enforcement and policy measures. They will also co-host the final workshop, ensuring that relevant stakeholders can validate findings and refine proposed management solutions. Finally, DFS will play a vital role in drafting and disseminating policy recommendations, leveraging their governmental position to influence national fisheries regulations and ensure the project's impact on shark and ray conservation is sustained.

**Explain how you have involved this partner within the development of the project and their expected role during its implementation.**

DFS has been closely involved in co-developing this proposal alongside TRAFFIC. As the project owner, DFS will lead the implementation phase, particularly by obtaining government approvals necessary for project activities. They will co-pilot the steering committee, ensuring that all project goals align with national priorities, and will be actively involved in monitoring and evaluating the project's progress. Their close coordination with TRAFFIC will ensure that the project is implemented effectively, meeting both national and international conservation targets.

**International/ In-country Partner** In-country

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**Allocated budget (proportion or value):** 

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**Representation on the Project Board (or other management structure):**  Yes

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

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**2. Partner Name:** *No Response*

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**Website address:** *No Response*

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What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity): *No Response*

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Explain how you have involved this partner within the development of the project and their expected role during its implementation. *No Response*

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**International/ In-country Partner** *No Response*

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**Allocated budget (proportion or value):** *No Response*

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**Representation on the Project Board (or other management structure):**  Yes  
 No

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Have you included a Letter of Support from this organisation?  Yes  
 No

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**3. Partner Name:** *No Response*

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**Website address:** *No Response*

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What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity): *No Response*

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Explain how you have involved this partner within the development of the project and their expected role during its implementation.

*No Response*

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**International/ In-country Partner**

*No Response*

---

**Allocated budget (proportion or value):**

*No Response*

---

**Representation on the Project Board (or other management structure):**

Yes

No

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Have you included a Letter of Support from this organisation?

Yes

No

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**4. Partner Name:**

*No Response*

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**Website address:**

*No Response*

---

What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):

*No Response*

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Explain how you have involved this partner within the development of the project and their expected role during its implementation.

*No Response*

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**International/ In-country Partner**

*No Response*

---

**Allocated budget (proportion or value):**

*No Response*

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**Representation on the Project Board (or other management structure):**

Yes

No

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Have you included a Letter of Support from this organisation?

Yes  
 No

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**5. Partner Name:** *No Response*

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**Website address:** *No Response*

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What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):

*No Response*

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Explain how you have involved this partner within the development of the project and their expected role during its implementation.

*No Response*

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**International/ In-country Partner** *No Response*

---

**Allocated budget (proportion or value):** *No Response*

---

**Representation on the Project Board (or other management structure):**

Yes  
 No

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Have you included a Letter of Support from this organisation?

Yes  
 No

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**6. Partner Name:** *No Response*

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**Website address:** *No Response*

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What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):

*No Response*

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Explain how you have involved this partner within the development of the project and their expected role during its implementation.

*No Response*

---

**International/ In-country Partner**

*No Response*

---

**Allocated budget (proportion or value):**

*No Response*

---

**Representation on the Project Board (or other management structure):**

Yes

No

---

Have you included a Letter of Support from this organisation?

Yes

No


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


*No Response*

**Please provide a combined PDF of all letters of support in the order they are presented in the table.**

 [VN Sharks LOS](#)

 28/10/2024

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## Section 16 - Lead Partner Capability and Capacity

### Q38. Organisation Capability and Capacity

**Has your organisation been awarded Biodiversity Challenge Funds (Darwin Initiative, Darwin Plus or Illegal Wildlife Trade Challenge Fund) funding before (for the purposes of this question, being a partner does not count)?**

Yes

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

Reference No	Project Leader	Title
DAREX012	Anastasiya Timoshyna	Scaling conservation of Himalayan plants and fungi through sustainable trade

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DARINV013	Cara Flowers	Trialling Wild Harvest Improvement Projects for sustainable wild plant trade
IWTEV016	David Newton	Enhancing knowledge to tackle illegal trade of Madagascar's medicinal plants
IWTEV009	Simone Louw	Gathering evidence to address illegal trade in African fish maw
IWT108	Xu Ling	Demand reduction and behaviour change along China's parrot supply chains
28-026	Anastasiya Timoshyna	Himalayan plants for people: sustainable trade for biodiversity and development

**Have you provided the requested signed audited/independently examined accounts?**

Yes

## Section 17 - Certification

### Certification

**On behalf of the**

Trustees

**of**

TRAFFIC International

**I apply for a grant of**

£99,895.07

**I certify that, to the best of our knowledge and belief, the statements made by us in this application are true and the information provided is correct. I am aware that this application form will form the basis of the project schedule should this application be successful.**

(This form should be signed by an individual authorised by the applicant institution to submit applications and sign contracts on their behalf.)

- I have enclosed CVs for key project personnel, a cover letter, letters of support, a budget, Safeguarding and associated policies and project workplan.
- Our last two sets of signed audited/independently verified accounts and annual report (covering three years), or other evidence of financial capacity as set out in the Finance Guidance, are also enclosed.

Checked

**Name** Richard Scobey

**Position in the organisation** Executive Director

<b>Signature (please upload e-signature)</b>	<a href="#">Certification VN Sharks</a>
	28/10/2024
	09:52:16
	pdf 43.46 KB
<b>Date</b>	28 October 2024

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

<a href="#">TRAFFIC FY23 Annual Accounts and report</a>	<a href="#">TRAFFIC FY22 Annual Accounts and report</a>
25/10/2024	25/10/2024
17:02:15	17:01:57
pdf 3.39 MB	pdf 934.16 KB

**Please upload the Lead Partner's Safeguarding Policy as a PDF**

<a href="#">Code of Conduct October 2024</a>	<a href="#">Sexual Harassment Policy - Aug 2024</a>
25/10/2024	25/10/2024
17:04:01	17:03:50
pdf 673.36 KB	pdf 449.33 KB
<a href="#">Whistleblowing Policy</a>	<a href="#">Safeguarding Policy</a>
25/10/2024	25/10/2024
17:03:44	17:02:38
pdf 568.78 KB	pdf 528.74 KB

## Section 18 - Submission Checklist

### Checklist for submission

	<b>Check</b>
<b>I have read the Guidance, including the "IWT Challenge Fund Guidance", "Monitoring Evaluation and Learning Guidance", "Standard Indicator Guidance", "Risk Guidance" and "Financial Guidance".</b>	Checked
<b>I have read, and can meet, the current Terms and Conditions for this fund.</b>	Checked
<b>I have provided actual start and end dates for the project.</b>	Checked
<b>I have provided my budget based on UK government financial years i.e. 1 April – 31 March and in GBP.</b>	Checked
<b>I have checked that our budget is complete, correctly adds up and I have included the correct final total at the start of the application.</b>	Checked
<b>The application been signed by a suitably authorised individual (clear electronic or scanned signatures are acceptable).</b>	Checked
<b>I have attached the below documents to my application:</b>	
<ul style="list-style-type: none"> <li>a <u>cover letter</u> from the lead organisation</li> </ul>	Checked
<ul style="list-style-type: none"> <li>my <u>budget</u> (which meets the requirements above) using the template provided.</li> </ul>	Checked

<ul style="list-style-type: none"> <li>• a signed <u>copy of the last 2 annual report and accounts (covering three years)</u> for the Lead Partner, or other evidence of financial capacity as set out in the Financial Guidance, or provided an explanation if not.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• my completed <u>workplan</u> as a PDF using the template provided.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• a copy of the <u>Lead Partner's Safeguarding Policy, Whistleblowing Policy and Code of Conduct (Question 33)</u>.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• <u>1 page CV or job description for all the Project Staff</u> identified at Question 35, including the Project Leader, or provided an explanation of why not, combined into a single PDF.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• a <u>letter of support</u> from the Lead Partner and partner(s) identified at Question 37, or an explanation of why not, as a single PDF.</li> </ul>	Checked
I have been in contact with the FCDO in the project country(ies) and have included any evidence of this. If not, I have provided an explanation of why not.	Checked
My additional supporting evidence is in line with the requested evidence, amounts to a maximum of 5 sides of A4, and is combined as a single PDF.	Checked
(If copying and pasting into Flexi-Grant) I have checked that all my responses have been successfully copied into the online application form.	Checked
I have checked the IWT Challenge Fund website immediately prior to submission to ensure there are no late updates.	Checked
I have read and understood the Privacy Notice on the IWT Challenge Fund website.	Checked

### We would like to keep in touch!

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

Checked

### Data protection and use of personal data

Information supplied in the application form, including personal data, will be used by Defra as set out in the **Privacy Notice**, available from the [Forms and Guidance Portal](#).

This **Privacy Notice must be provided to all individuals** whose personal data is supplied in the application form. Some information may be used when publicising the IWT Challenges Fund including project details (usually title, lead organisation, project leader, location, and total grant value).