

Department for Environment, Food and Rural Affairs

# Application form for Illegal Wildlife Trade Challenge Fund Round 3

## Stage Two

July 2016

Please read the [guidance notes](#) before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required. The guidance notes are available at:

<https://www.gov.uk/government/collections/illegal-wildlife-trade-iwt-challenge-fund>

### 1. Name and address of lead organisation

Notification of results will be by email to the Project Leader

<b>Applicant Organisation Name:</b>	Wildlife Conservation Society
<b>Address:</b>	██ ██ ██████████
<b>City and Postcode:</b>	████████████████████ ██
<b>Country:</b>	██████████ ██
<b>Project Leader name:</b>	████████████████████
<b>Email:</b>	████████████████████
<b>Phone:</b>	████████████████████

### 2. Stage 1 reference and project title

<b>Stage 1 Ref:</b> 283	<b>Title (max 10 words):</b> Strengthening transcontinental cooperation to combat IWT between Vietnam and Mozambique
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### 3. Project dates, and budget summary

<b>Start date:</b> 1 July 2017		<b>End date:</b> 30 June 2020		<b>Duration:</b> 3 years
<b>2017/18</b> £110,238	<b>2018/19</b> £157,694	<b>2019/20</b> £102,127	<b>2020/21</b> £29,657	<b>Total request</b> £399,718

Proposed (confirmed and unconfirmed) co-financing as % of total Project cost	■
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#### 4. Summary of Project

Please provide a brief summary of your project, its aims, and the key activities you plan on undertaking.

(max 80 words)

Intelligence has highlighted a major trade network for rhino horn and ivory from Mozambique to Vietnam. Enforcement cooperation between the two countries is nascent and there is insufficient trust between enforcement officers to ensure effective, sustained enforcement actions. To combat transcontinental crimes, WCS will facilitate effective, strategic, intelligence-led enforcement to serve as a model for Asia-Africa cooperation. Key activities include developing legal formalities for cooperation, building capacity for joint actions, and educating the Vietnamese community living in Mozambique.

#### 5. What will be the outcome of the project?

(See Guidance Notes 3.1 and 4, and Annex B - guidance on developing a logframe)

This should be an action orientated statement e.g. training provided to the judiciary results in increased successful prosecutions of poaching. **This should be the same as the outcome statement given in Question 24.**

(max 50 words)

By catalysing judicial and law enforcement processes through the establishment of intelligence-led policing, increased south-south political coordination, and greater compliance amongst overseas Vietnamese communities, the illegal trafficking of wildlife along a major Africa-to-Asia route involving Mozambique and Vietnam is significantly and demonstrably curtailed.

#### 6. Which of the three key IWT Challenge Fund objectives will your project address?

##### 6.a Put an X in all that apply

(See Guidance Note 3.1)

1. Developing sustainable livelihoods for communities affected by illegal wildlife trade	
2. Strengthening law enforcement and the role of the criminal justice system	X
3. Reducing demand for the products of the illegal wildlife trade	

**6b. Which of the commitments made in the London Conference Declaration and / or the Kasane Statement does this project support? Please provide the**

**number(s) of the relevant commitments: there is no need to include the text from the relevant commitment.**

(See Guidance Notes 4.1 and Annex A)

<p><b>London Conference Declaration: I; XV &amp; XVI</b>  <b>Kasane Statement: 3; 5 &amp; 9</b></p>
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## 7. Country(ies)

(See Guidance Notes 3.4 and 4.4)

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

<b>Country 1:</b> Vietnam	<b>Country 2:</b> Mozambique
<b>Country 3:</b>	<b>Country 4:</b>

## 8. About the lead organisation:

What year was your organisation established/ incorporated/ registered?	1895								
What is the legal status of your organisation?	<table> <tr> <td>NGO</td> <td>Yes</td> </tr> <tr> <td>Government</td> <td>No</td> </tr> <tr> <td>University</td> <td>No</td> </tr> <tr> <td>Other (explain)</td> <td></td> </tr> </table>	NGO	Yes	Government	No	University	No	Other (explain)	
NGO	Yes								
Government	No								
University	No								
Other (explain)									

How is your organisation currently funded?	(Max 100 words) WCS receives support from a diverse group of government and private sources. These include the U.S. Agency for International Development (USAID), UK government, Norwegian government, Global Environment Facility (GEF), World Bank, European Union, UNDP, German government, Agence Française de Développement (AFD), U.S. Fish and Wildlife Service (USFWS), Gordon and Betty Moore Foundation, Liz Claiborne and Art Ortenberg Foundation, John D. and Catherine T. MacArthur Foundation, Margaret A. Cargill Foundation, The Rockefeller Foundation, The Howard G. Buffett Foundation, The Paul G. Allen Family Foundation, Doris Duke Charitable Foundation, The Leona M. and Harry B. Helmsley Charitable Trust, and blue moon fund.
Have you provided the requested signed audited/independently examined accounts?	Yes See below in Section 27.

**8b. Provide detail of 3 contracts/projects previously undertaken by the lead organisation that demonstrate your credibility as an organisation and provide track record relevant to the project proposed.** These contacts should have been held in the last 5 years and be of a similar size to the grant requested in your IWT Challenge Fund application.

<b>Contract/ Project 1 Title</b>	<b>UK Government's IWT Challenge Fund / Cutting Out the Middleman: Combatting Wildlife Trafficking in Vietnam</b>
Contract Value/ Project budget	£ [REDACTED]
Duration	1 April 2014 – 31 March 2017
Role of organisation in project	Project Lead

Brief summary of the aims, objectives and outcomes of the project.	<p>The project is aimed at enhancing capacity and commitment of Vietnam's government, criminal justice system, and civil society to effectively enforce laws to disrupt and dismantle wildlife trafficking networks. To date, this project has strengthened:</p> <ol style="list-style-type: none"> <li>1. [REDACTED]</li> <li>2. <i>National policy to address IWT.</i> WCS leveraged support from the UNODC and completed an ICCWC Toolkit assessment on Forest and Wildlife Crime. Based on that analysis, WCS and the CITES MA drafted a National Target Program on Combating the Illegal Trade and Consumption of Wildlife that is undergoing national consultations at present; and</li> <li>3. <i>International cooperation.</i> WCS facilitated bi-lateral dialogues between Vietnam and Mozambique, Tanzania, Kenya and South Africa that has led to the agreement and development of a series of cooperation MoUs and the initiation of negotiations on a Mutual Legal Assistance Treaty between Vietnam and Mozambique, including the proposal to station a Vietnamese Law Enforcement officer in the Maputo Embassy.</li> </ol> <p>Among other substantial results, this project enabled a sampling of rhino horn and ivory stockpiles and the transfer of those samples to laboratories in South Africa for analysis, the first time this has ever been achieved. Additionally, our intelligence-led policing approach and effort to support prosecution and judiciary agencies have led to conviction of a Vietnamese wildlife trader Phan Huynh Anh Khoa, who was coordinating a transnational wildlife crime network.</p>
Client contact details (Name, e-mail, address, phone number).	<p>Victoria Pinion  Email: <a href="mailto:IWT-Fund@ltsi.co.uk">IWT-Fund@ltsi.co.uk</a>  LTS International, Pentlands Science Park, Bush Loan,  Penicuik, EH26 0PL, UK  Tel: +44.131.440.5500</p>

<b>Contract/ Project 2 Title</b>	<b>MacArthur Foundation / Breaking the Gridlock: Building Government Commitment To Effectively Address Wildlife Trafficking in Viet Nam</b>
Contract Value/ Project budget	US\$ [REDACTED]
Duration	1 September 2015 – 31 August 2018

Role of organisation in project	Project Lead
Brief summary of the aims, objectives and outcomes of the project.	The project aims to build political commitment at the highest levels of government to combat wildlife trafficking and address conservation issues more broadly in Viet Nam. WCS will cultivate and activate an influential conservation constituency, including government champions, media, parliamentarians, civil society organizations, and high-wealth private sector individuals, to lobby for policy changes and effective enforcement of wildlife protection laws. WCS will support the Vietnamese government to implement an effective wildlife crime prevention outreach campaign that demonstrates political commitment, and informs Vietnamese citizens about the risks of partaking in wildlife crimes in Viet Nam and in African countries (e.g., including via messages from imprisoned Vietnamese citizens in Africa, partnerships with Vietnamese private companies operating in Africa, high-profile enforcement actions, and public events such as destruction of rhino horn stockpiles).
Client contact details (Name, e-mail, address, phone number).	John D. and Catherine T. MacArthur Foundation ██ ██

<b>Contract/ Project 3 Title</b>	<b>Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) / Breaking the Gridlock: Building and strengthening trans-continental enforcement partnerships and government commitment to effectively address and combat wildlife trafficking in Vietnam</b>
Contract Value/ Project budget	€ ██████████
Duration	23 June 2014 – 31 April 2017
Role of organisation in project	Project implementation: coordinating and managing project activities
Brief summary of the aims, objectives and outcomes of the project.	The project aims to reduce pressure on rhino species across Africa by strengthening policy and enforcement efforts to combat wildlife trafficking networks in Viet Nam. We aim to generate the political commitment required to implement a strategic wildlife crime prevention program that will reduce consumption and tackle wildlife trafficking networks through effective enforcement actions against major wildlife traffickers. The overall goal of our work is to catalyse judicial and law enforcement processes through increased south-south political coordination, and more effective crime prevention approaches, to significantly curtail the illegal trafficking of wildlife along a major Africa-to-Asia route involving Mozambique and Viet Nam.

Client contact details (Name, e-mail, address, phone number).	Giulia Kraemer Email: [REDACTED] [REDACTED] [REDACTED] [REDACTED]
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## 9. Project partners

**Please list all the partners involved (including the Lead Organisation) and explain their roles and responsibilities in the project.** Describe the extent of their involvement at all stages, including project development. This section should illustrate the capacity of partners to be involved in the project, and how local institutions, local communities, and technical specialists are involved as appropriate. Please provide written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships. **Details on roles and responsibilities in this project must be given for the Lead Organisation and all project partners.**

<b>Lead Organisation name:</b>	Wildlife Conservation Society (WCS)
<b>Website address:</b>	<a href="http://www.wcs.org">http://www.wcs.org</a>
<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>	<p>WCS is a US-based non-profit organization that works in nearly 60 countries around the world. WCS has been working to address wildlife trade in Vietnam for over a decade by developing broad relationships with local civil society groups, media and key government agencies at central and provincial levels. We have generated a wide range of reliable data on a number of wildlife trade issues, including commercial wildlife farming and illegal wildlife trade dynamics in key localities. We have trained almost 1000 law enforcement officers from a range of agencies in wildlife crime investigation and enforcement techniques, and distributed a number of technical handbooks and guides. We have assisted central agencies to review and propose criminal intelligence analysis systems, inter-agency agreements, and national legislation, and have supported bi-lateral dialogues.</p> <p>Through a previous IWT-funded project, WCS has been working to strengthen the commitment and capacity of Vietnamese and Mozambique government agencies to combat wildlife trafficking through criminal intelligence analysis systems, inter-agency agreements and cooperation, national legislation, and bilateral dialogues. WCS will oversee implementation of all activities and reporting for this project.</p>

<b>Partner Name:</b>	Viet Nam Supreme People's Procuracy (SPP)
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<b>Partner Name:</b>	Mozambique National Administration of Conservation Areas (ANAC)
<b>Website address:</b>	N/A
<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>	ANAC is responsible for managing Mozambique's Conservation Areas and all wildlife throughout the country, including investigating wildlife crime. A recent amendment to the Conservation Law in Mozambique officially gives ANAC the mandate to investigate wildlife crimes and allows them to bring cases directly to the Prosecuting Authority – Mozambican Attorney-General's Office (PGR), making ANAC the most appropriate government authority to engage with on this project in Mozambique. Their Intelligence and Investigations Department will engage with the Vietnamese attaché to share information.
<b>Have you included a Letter of Support from this organisation?</b>	Yes

## 10. Project staff

Please identify the core staff on this project, their role and what % of their time they will be working on the project. Please provide 1 page CVs for these staff.

Please include more rows where necessary.

<b>Name (First name, Surname)</b>	<b>Role</b>	<b>% time on project</b>	<b>1 page CV attached?</b>
Hoang Bich Thuy	Project Leader	22%	Yes
Tran Xuan Viet	Law Enforcement Assistance Coordinator	63%	Yes
Dang Nguyet Anh	Law Enforcement Assistance Officer	40%	Yes
Scott Robertson	Regional Coordination	10%	Yes
Alastair Nelson	Mozambique Coordinator	10%	Yes

## 11. Species project is focusing on

(See Guidance Note 4.2)

Where there are more than 4 species that will benefit from the project's work, please add more boxes.

1. African Elephant ( <i>Loxodonta africana</i> )	2. White Rhinoceros ( <i>Ceratotherium simum</i> )
3. Black Rhinoceros ( <i>Diceros bicornis</i> )	4.

## 12. Problem the project is trying to address

What specific aspect(s) of the illegal trade in wildlife will your project address? Please describe the level of threat to the species concerned. Please 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 alleviate poverty.

(Max 300 words)

Effective, strategic, intelligence-led enforcement approaches are urgently required to combat wildlife trafficking networks operating between Africa and Asia. Growing Asian demand for rhino horns, elephant ivory, pangolin scales, lion bones and freshwater turtles and tortoises continues to drive poaching pressure on those species across the African continent. Mozambique remains a key country in the global trafficking network for many of these species and represents a crucial entry point for enforcement. Mozambican citizens are heavily involved in the poaching of rhinos in South Africa and elephants in their own country, where - in cooperation with Vietnamese and Chinese criminal groups - horns and tusks are trafficked by air, road, or sea to neighbouring Tanzania and Asian consumer markets including Vietnam, Thailand and China.

Despite the high profile that wildlife trafficking now receives at a global level, and substantial recent investment in law enforcement cooperation, wildlife trafficking flows remain largely undeterred. For example, not one person has been jailed in Vietnam for rhino horn crimes in the last five years despite numerous seizures being made. International mechanisms (e.g. Interpol, World Customs Organization) and regional support initiatives (e.g. Wildlife Enforcement Networks, Operation Cobra) have provided greater opportunities for coordination between countries but are only as strong as their members, and are hampered by geopolitics and lack of trust between enforcement officers. Memorandum of Understandings and bilateral agreements are failing to translate into effective sustained actions, leaving law enforcement cooperation in the meeting room rather than in the field, where it is most needed.

Similarly, legal frameworks are insufficient to enable proactive intelligence sharing among different countries; international secure communication channels provided by Interpol and WCO are underused; and countries do not plan law enforcement together strategically. To combat organized criminal networks that communicate and cooperate internationally, national agencies must cooperate at similar levels.

## 13. Methodology

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

- How you have analysed historical and existing initiatives and are building on or taking work already done into account in project design
- How you will undertake the work (materials and methods)

- How you will manage the work (roles and responsibilities, project management tools etc.).

Please make sure you read the Guidance Notes, particularly Section 3, before answering this question.

(Max 750 words - this may be a repeat from Stage 1, but you should update or refine as necessary. Tracked changes are **not** required.)

Our proposed activities will build upon the results of our previous IWT project (see Section 8b) that influenced high-level political commitment in Vietnam and Mozambique to combat wildlife trafficking. [REDACTED]

[REDACTED] This cooperation was evidenced through recent meetings in Hanoi between the Mozambican Minister of Interior and the Vietnamese Ministry of Public Security, during which strengthening anti-crime cooperation was discussed. Harnessing this momentum, we plan to take a four-pronged approach to operationalise bilateral cooperation between law enforcement agencies in Vietnam and Mozambique to address IWT, focusing on:

***Building political commitment***

WCS will facilitate the development, adoption and effective communication of legal mechanisms for enforcement cooperation, including a Mutual Legal Assistance Treaty (MLAT) and Standard Operating Protocols (SOPs) for joint investigations. WCS will also support regular bi-lateral meetings between Vietnam and Mozambique government staff at multiple levels (e.g. ports, key municipalities, and central agencies) to build and sustain commitment to and accountability for progressing cooperative actions.

***Enhancing law enforcement capacity for cooperative actions***

Interpol provide critical services to member countries to enable secure information sharing and access to a series of important global databases. However, in addition to these tools, many countries (e.g. UK, US, Australia, France) have found that deploying law enforcement officers in priority countries is a highly effective way to catalyse greater collaborative action and build the required trust for intelligence-sharing. Indeed, the USFWS Office on Law Enforcement is currently deploying a number of regional agents in US embassies.

[REDACTED]

[REDACTED]

***Gathering and sharing intelligence***

[REDACTED]

[REDACTED]

***Outreach campaign for Vietnamese citizens in Mozambique***

Since 2012, there has been at least one arrest per year of a Vietnamese citizen travelling within or from Mozambique trafficking wildlife products, mainly rhino horns, valuing more than a million US dollars. WCS will develop a strategic crime prevention outreach campaign that targets Vietnamese residing in or travelling to Mozambique. This will involve a) Knowledge-Attitude-Practices (KAP) surveys towards IWT and crime prevention among the Vietnamese community in Mozambique, b) development of a mitigation strategy and interventions including online/offline tactics to increase perceived risks of law enforcement and build support within these communities; and c) working with Vietnamese companies in Mozambique to support the development of zero tolerance policies for wildlife trafficking and gift giving by staff.

The project will be managed by the WCS Vietnam program, who have established close working relationships with the SPP and MPS in Vietnam. WCS Mozambique will provide technical support in intelligence and investigations through an ongoing attaché to Vietnam Embassy and ANAC who serves as national head of Law Enforcement. This will enable us to facilitate cooperation with ANAC and the Environmental police.

**14. Beneficiaries**

Who will benefit from the work outlined above, and in what ways? How will this contribute to sustainable development for the reduction of poverty? Is it possible to quantify how many people are likely to benefit from this intervention e.g. number of households, and how do you intend to monitor the benefits they accrue?

If your project is working in an Upper Middle Income Country, please explain how benefits will be delivered to people living in poverty in Low and/or Low Middle Income countries. Include, where possible, information on whether and how there are ways to

support the most vulnerable communities, including women.

If your project is focused on demand reduction, it can be harder to make a direct link between your project and beneficiaries in low income countries. Demand reduction projects should clearly demonstrate their indirect links to poverty reduction, for example, by identifying the source countries for the products concerned.

(Max 750 words)

The project will enhance criminal justice cooperation between Vietnam and Mozambique through the adoption of an MLAT and protocols for joint-investigations and information sharing and also through the deployment of an IWT attaché. This will result in improved governance, rule of law, and overall security in Mozambique and Vietnam. Poor governance and corruption stifle local economic growth and development and suppress local empowerment and entrepreneurship.

This project will strengthen law enforcement against Vietnamese people trafficking wildlife out of Mozambique that will disrupt supply chains and reduce poaching pressure. This will help disrupt transnational wildlife crime networks that exacerbate socio-economic inequalities, provoke social conflict, and threaten the wellbeing of people living in areas where poaching of wildlife occurs. Reducing poaching pressure will also help secure wildlife populations that are crucial to Mozambique and South Africa's wildlife-related tourism industries, which support many livelihoods and are a key contributor to socio-economic development. Tourism is labour intensive, with low barriers to entry and dominated by small to medium-sized enterprises; as a result the tourism sector employs a higher number of women and young people than many other industries. This project will help reduce the negative, destabilizing effects of poaching and organized crime on tourism-based livelihoods and security in these communities.

## 15. Gender

(See Guidance Note 3.5)

Under the International Development (Gender Equality) Act 2014, all applicants must consider whether and how their project will contribute to reducing inequality between persons of different gender. Explain how your project will collect gender disaggregated data and what impact your project will have in promoting gender equality.

(Max 300 words)

Gender equality is a core value for WCS. We do not anticipate our project increasing gender inequality in any way, and can point to several benefits to women in source countries, especially Mozambique (see previous section), that should help improve gender equality. Additionally, we will offer equal training opportunities to persons of different genders while implementing the activities related to law enforcement capacity building. Our Project Leader Hoang Bich Thuy and key personnel Dang Nguyet Anh are both women who will provide strong leadership for this project. Our efforts to be inclusive of people of all genders and the strong female leadership on this project will help to promote gender equality in this sector, which is currently heavily male-dominated, in both Mozambique and Vietnam.

## 16. Impact on species in focus

How will the species named in Question 11 above benefit from the work outlined above? What do you expect the long-term impact on the species concerned to be?

(Max 200 words)

WCS's strategy to combat wildlife trafficking aims to reduce poaching of wild species by increasing the risk for criminals of being convicted and given an effective penalty that deters them from offending. Under this project, WCS will support partners to identify priority individuals responsible for trafficking wildlife from Mozambique to Vietnam and catalyse effective enforcement action against them that leads to their arrest and conviction. Through this we expect to see an increase in effective convictions and penalties, and a degradation of the criminal network trafficking rhino horn and elephant ivory to Vietnam. By disrupting these networks, we expect to have a positive impact on wildlife species, particularly African elephant, white rhinoceros and black rhinoceros.

## 17. Exit strategy

State how the project will reach a stable and sustainable end point, and explain how the outcomes will be sustained, either through a continuation of activities, funding and support from other sources or because the activities will be mainstreamed in to "business as usual". Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

The dynamic nature of organised wildlife crime requires a similarly dynamic response of governments and civil society. This project is therefore unlikely to ever reach an 'end point,' although the threat of poaching can be significantly reduced with effective enforcement that targets both criminal networks and weak and/or corrupt enforcement officers involved in wildlife trade.

By working closely with relevant government agencies in both Vietnam and Mozambique, piloting new approaches to bi-lateral cooperation that can be extended with state support, and supporting the adoption of legal instruments (MLAT and SOPs) we will have impact beyond the project period.

[Redacted text block]

## 18. Funding

18a) Is this a new initiative or a development of existing work (funded through any source)? Please give details

(Max 200 words):

This project is built on WCS's existing work funded through grants from the IWT Challenge Fund, the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ-Polifund) and the MacArthur Foundation - all of which are due for completion by August 2017 or earlier. Under these grants we have created initial communications and agreements on MLAT development and attaché plan between relevant agencies including the Ministry of Public Security and Supreme People's Procuracy of Viet Nam and the Ministry of Interior of Mozambique. Two bilateral meetings for Viet Nam and Mozambique were held in May 2015 and November 2015 on strengthening cooperation on trans-national wildlife crime. With this new IWT fund, we will build on our current success to enable existing commitments become real actions.

18b) Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?

No

18c) Are you applying for funding relating to the proposed project from other



sources?

No

## Funding and budget

**Please complete the separate Excel spreadsheet which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet.**

<https://www.gov.uk/government/collections/illegal-wildlife-trade-iwt-challenge-fund>

**Please refer to the Finance Information document for more information.**

**NB: Please state all costs by financial year (1 April to 31 March) and in GBP.**

Budgets submitted in other currencies will not be accepted. Use current prices – and include anticipated inflation, as appropriate, up to 3% per annum. The IWT Challenge Fund cannot agree any increase in grants once awarded.

## 19. Co-financing

### 19a) Secured

Provide details of all funding successfully levered (and identified in the Budget) towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity, as well as any your own organisation(s) will be committing.

(See “Financial Information for IWT” and Guidance Note 3.4)

#### Confirmed:

- MacArthur Foundation £ [REDACTED]
- U.S. Department of State’s Bureau of International Narcotics and Law Enforcement Affairs (INL): £ [REDACTED]
- U.S. Agency for International Development (USAID): £ [REDACTED]

### 19b) Unsecured

Provide details of any co-financing where an application has been submitted, or that you intend applying for during the course of the project. This could include co-financing from the private sector, charitable organisations or other public sector schemes.

Date applied for	Donor organisation	Amount	Comments
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N/A	GIZ	£ [REDACTED]	We apply on an annual basis.
N/A	USFWS	£ [REDACTED]	We plan to apply to the CWT funding stream next year.

### 19c) Justification

If you are not proposing co-financing, please explain why.

(max 150 words)

**N/A**

## 20. Capital items

If you plan to purchase capital items with IWT 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.

(max 150 words)

**N/A**

## 21. Value for money

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

(Max 250 words)

WCS makes long-term, on-the-ground commitments, providing value for money by building upon established partnerships in-country and applying the contextual knowledge and lessons learned to plan culturally-appropriate and feasible projects. In both Vietnam and Mozambique, WCS is an established partner of the host government and an integral leader in the conservation community—this positions us to deliver results and make significant impact.

For this project, WCS will take several measures to maximize economy, efficiency and effectiveness of project funds, such as:

- Building on the progress of a previous IWT project, which has already laid the groundwork for many of the activities proposed here;
- Working with local government partners as integral members of the team builds long term capacity in country and promotes sustainability of interventions
- Ensuring that interventions are guided by and respond to the needs of agencies helps build a sense of ownership among beneficiaries and maximizes impact
- Monitoring of resources, activities and implementation ensure effective project operations, value for money, increased national partner capacities, and adaptive management

The approach outlined in this proposal involves a small WCS team with specific skills and experience relevant to Vietnam and Mozambique. It will build on existing government structures and by increasing the capacity and building political and civil society support for increased action, we will, with a comparatively small investment, mobilise and leverage significant investment of resources towards these issues from the Government of Vietnam.

## 22. Ethics and human rights

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

(See Guidance Notes 5.4 and 6.1)

(Max 250 words)

WCS is a founding member of the Conservation Initiative for Human Rights (<http://community.iucn.org/cihr>) and works with people to ensure ethical approaches to biodiversity conservation. These efforts are supported by the WCS Institutional Review Board (IRB), which is charged with reviewing the level of risk to human subjects in research, assessing the methodology and protections afforded those subjects, and ensuring that they are exposed to no greater risk than they would experience in everyday life. Our partnerships with local people across the region strive to understand natural resource governance and law enforcement in the context of valuing and applying traditional knowledge to addressing biodiversity and poverty alleviation challenges.

We do not foresee any specific issues in this project as regards promoting the rule of law as in Vietnam and Mozambique the law is applied regardless of ethnicity or religion. The protection of informants will follow international best practices in terms of maintaining their anonymity and will be a core element of our training programs.

[REDACTED]

Finally, WCS is working closely on this project with the UK Embassy in Hanoi and High Commission in Maputo, and we foresee a strong partnership between WCS, the Foreign and Commonwealth Office (FCO), the National Crime Agency (NCA), and host governments through this work. We intend to complete an OSJA for this project based upon the national OSJAs for Vietnam and Mozambique that will be shared with WCS before the project starts. We will share our project-specific OSJA with the IWT Challenge Fund as soon as it is completed.

## 23. Outputs of the project and Open Access

Please describe the project's open access plan and detail any specific costs you are seeking from the IWT Challenge Fund to fund this.

(See Guidance Note 5.5)

(Max 250 words)

The project will make all outputs including the policy briefing paper, meeting proceedings, minutes and knowledge assessment available on the WCS Viet Nam website (currently under-development). Intelligence where it includes private information and/or actionable information will be available only to relevant law enforcement agencies.

## 24. Project monitoring and evaluation

### Logical framework

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

**Annex B and Annex C in the Guidance Notes provides helpful guidance on completing a logical framework.**

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<b>Impact:</b> Reduced poaching of wild populations of rhinoceros and elephant in Southern and East Africa through disruption of trans-continental wildlife trafficking networks			
(Max 30 words)			

<p><b>Outcome:</b> By catalysing judicial and law enforcement processes through the establishment of intelligence-led policing, increased south-south political coordination, and greater compliance amongst overseas Vietnamese communities, the illegal trafficking of wildlife along a major Africa-to-Asia route involving Mozambique and Vietnam is significantly and demonstrably curtailed.</p> <p>(Max 50 words)</p>	<p><b>0.1</b> By the end of Y3 the number of people arrested and convicted for wildlife trafficking between Mozambique and Vietnam has at least doubled from the 2015 baseline of 5 to at least 10</p> <p><b>0.2</b> By the end of Y3 criminal networks trafficking wildlife between Mozambique and Vietnam show signs of disruption and degradation (e.g. Reduced criminal activity, key individuals prevented from operating, new routes being established, network 'collapse') resulting in lower activity</p> <p><b>0.3</b> By the end of Y3, the reports submitted to the CITES Standing Committee from the Secretariat, Rhino Working Group, and IUCN Specialist Group are in consensus that progress in enforcement cooperation is being made between Mozambique and Vietnam</p>	<p><b>0.1.</b> Law enforcement reports to CITES-SC, Vietnam WEN</p> <p>[REDACTED]</p> <p><b>0.3</b> CITES Standing Committee documents/proceedings</p>	<p><b>(i)</b> Re-shuffling of central government level officers does not have negative impacts on project implementation.</p> <p><b>(ii)</b> WCS maintains itself as a credible, loyal and trusted partner with the Vietnamese and Mozambique government agencies in the field of conservation, and continues to cooperate with a range of agencies at multiple levels.</p> <p><b>(iii)</b> Corruption and inefficiency of law enforcement officers and the judiciary does not prevent effective enforcement</p> <p><b>(iv)</b> Political and economic relationships between Vietnam and Mozambique continue to develop positively</p>
<p><b>Outputs:</b></p> <p><b>1.</b> Political commitment for cooperation between Vietnam and Mozambique to combat IWT is strengthened through legal mechanisms and improved protocols.</p>	<p><b>1.1</b> By the end of Y3, an MLAT between Vietnam and Mozambique has been enacted (baseline = agreement on MLAT development in place, no further actions to date)</p> <p><b>1.2</b> [REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p><b>1.1</b> Signed MLAT</p> <p><b>1.2</b> Vietnam WEN meeting minutes</p>	<p><b>(i)</b> SPP, MPS, ANAC and the Attorney-General's office in Vietnam and Mozambique continue to support collaboration with WCS on IWT issues and maintain commitment to furthering bi-lateral enforcement cooperation</p> <p><b>(ii)</b> The Vietnamese embassy and corporations in Mozambique continue to be supportive to IWT issues and collaboration with WCS</p>

<p><b>2.</b> Enhanced capacity for cooperative law enforcement actions on IWT between Mozambique and Vietnam</p>	<p><b>2.1.</b> By the end of Y1, a Vietnamese IWT attaché is deployed in Mozambique for a one-year pilot period (baseline = no such attaché exists)</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p><b>2.1.</b> Activity reports of the attaché</p> <p><b>2.2.</b> Law enforcement agency reports to Vietnam WEN and CITES Standing Committee</p>	<p><b>(iii)</b> The Vietnam MPS continues its plan for wider deployment of IWT attachés globally and Mozambique remains a pilot case.</p> <p><b>(iv)</b> Vietnamese people and businesses continue to work and visit Mozambique</p>
<p><b>3.</b> Vietnam and Mozambique proactively share information and actionable intelligence on African rhino horn and ivory trafficking networks</p>	<p><b>3.1.</b> The number of criminal cases initiated based upon information shared between the two countries increases from 0 (2015) to at least 4 by the end of Y3</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p><b>3.1</b> Law enforcement agency reports to CITES SC/Vietnam WEN</p> <p><b>3.2.</b> Intelligence report archive</p>	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
<p><b>4.</b> Vietnamese residents in Mozambique perceive a greater risk in partaking in wildlife crimes</p>	<p><b>4.1.</b> Among Vietnamese people living and travelling to Mozambique, awareness and perceived risk of wildlife trafficking increases by at least 50% between Y1 and the end of Y3</p> <p><b>4.2</b> By the end of Y3, 75% of the Vietnamese community in Mozambique has participated in awareness-raising activities (baseline = 0%)</p> <p><b>4.3.</b> By the end of Y3, at least one major Vietnamese corporation in Mozambique has publicly enacted a zero tolerance policy for wildlife trafficking and gift giving by staff (baseline = 0)</p>	<p><b>4.1.</b> Knowledge, Attitude and Practices research report</p> <p><b>4.2.</b> WCS Activity reports</p> <p><b>4.3</b> Published corporate policies</p>	

**Activities** (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)

**1.1. Prepare draft MLAT and SOPs with Vietnamese agencies**

WCS will provide technical and financial support to the Department of International Cooperation and Mutual Legal Assistance (Supreme People Procuracy) to organize a series of consultancy meetings in Hanoi for representatives from SPP, MPS (Departments of International Cooperation, Anti-smuggling Police, Environment and Economic Crime police), Ministry of Justice, Ministry of Foreign Affair and the CITES Management Authority to gather recommendations and to finalise drafts of the MLAT and SOPs for joint-enforcement operations.

**1.2. Secure agreement on MLAT and protocols for enforcement cooperation**

WCS will support a joint-agency 5-day mission to Mozambique for WCS, the Supreme People’s Procuracy, Ministry of Foreign Affairs and the Office of the President to meet with counterpart agencies in Maputo including the Prosecutor General’s office, ANAC and Ministry of Interior to negotiate and finalise the MLAT and SOPs. WCS Mozambique Program will support the Prosecutor General’s office to prepare for this trip.

[Redacted]

**2.2. Conduct bi-lateral meeting to formalise the IWT Attaché deployment plan**

We will provide technical and financial support for a formal meeting with participants from Vietnam including the Ministry of Public Security, Ministry of Foreign Affair and Vietnam Embassy with their counterpart agencies in Mozambique from the Ministry of Interior and ANAC to finalise the deployment plan. The selected IWT attaché will also join the trip to understand the criminal context in Mozambique and build relationships with law enforcement partners in Mozambique.

[Redacted]



[REDACTED]

**4.1. Conduct KAP survey in Mozambique**

In cooperation with the Vietnam Embassy in Maputo, WCS and a KAP survey expert will carry out interviews with over 500 Vietnamese people living in Mozambique. Furthermore, focus groups in-depth interviews (e.g. travel industry, state-owned enterprise leaders, and Vietnamese community leaders) will be carried out to fully understand the demographics, transience and Knowledge-Attitude-and Perceptions of Vietnamese citizens in Mozambique to IWT issues.

**4.2. Develop a mitigation strategy and intervention development**

Based on the results from the KAP survey, WCS will coordinate informal and formal consultancy meetings with relevant agencies including MPS, CITES MA, MOFA and the Vietnam Embassy in Mozambique to develop a mitigation strategy and interventions including online/offline tactics to increase perceived risks of law enforcement and build support within these communities, especially focussing on key groups such as the travel industry, state-owned enterprise leaders, and Vietnamese community leaders.

**4.3. Develop model zero tolerance policies for wildlife trafficking and gift giving by staff among Vietnamese companies in Mozambique**

Currently, WCS is working with Viettel Group on a Short Message Service program for Vietnamese communities in Mozambique and pre-deployment briefing packs to Vietnamese staff. Through this proposed project, we will extend our activities for the mitigation strategy and intervention to Vietnamese communities in Mozambique. WCS and the Vietnam Embassy in Mozambique will select key Vietnamese enterprises in Mozambique to support the development of zero tolerance policies for wildlife trafficking and gift giving by staff. These policies will first be adopted by the Viettel Group.

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

Complete the following table as appropriate to describe the intended workplan for your project. Please add/remove columns to reflect the length of your project. For each activity (add/remove rows as appropriate) indicate the number of months it will last, and fill/shade only the quarters in which an activity will be carried out. The workplan can span multiple pages if necessary.

Please note: WCS is planning to begin this project on 1 July 2017. We have therefore designed our workplan to start in Q2 of Year 1 so as to align with the UK government's fiscal years and IWT Challenge Fund's reporting schedule.

Activity	No of months	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Output 1 Political commitment for cooperation between Vietnam and Mozambique to combat IWT is strengthened through legal mechanisms and improved protocols.</b>																	
1.1	Prepare draft MLAT and SOPs with Vietnamese agencies	6															
1.2	Secure agreement on MLAT and protocols for enforcement cooperation	6															
<b>Output 2 Enhanced capacity for cooperative law enforcement actions on IWT between Mozambique and Vietnam</b>																	
2.1	Finalise preparations for the Vietnamese IWT attaché	3															
2.2		2															
2.3		12															
<b>Output 3 Vietnam and Mozambique proactively share information and actionable intelligence on African rhino horn and ivory trafficking networks</b>																	
3.1		9															
<b>Output 4 Vietnamese residents in Mozambique perceive a greater risk in partaking in wildlife crimes</b>																	
4.1	KAP survey in Mozambique	3															

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4.2	Develop a mitigation strategy and intervention development	2																				
4.3	Develop model zero tolerance policies for wildlife trafficking and gift giving by staff among Vietnamese companies in Mozambique	6																				

## 25. Monitoring and evaluation plan (M&E)

Describe, referring to the indicators above, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the projects M&E.

IWT Challenge Fund projects will need to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. M&E is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact. Additionally, please indicate an approximate budget and level of effort (person days) to be spent on M&E (see "Financial Information for IWT")

(Max 250 words)	
WCS will lead M&E of the project, working in close partnership with our partners in ANAC, MPS, and SPP. We will utilise a combination of qualitative and quantitative information, anecdotal supporting evidence, and individual narratives.	
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Total project budget for M&E (this may include Staff and Travel and Subsistence Costs)	█
Number of days planned for M&E	72 days
Percentage of total project budget set aside for M&E	4%

## 26. FCO notifications

Please put an X in the box if you think that there are sensitivities that the Foreign and Commonwealth Office will need to be aware of should they want to publicise the project's success in the IWT Fund in the host country.

Please indicate whether you have contacted your Foreign Ministry or the local embassy or High Commission (or equivalent) directly to discuss security issues (see Guidance Notes) and attach

details of any advice you have received from them.

Yes (no written advice)  Yes, advice attached  No

While we have not been in contact with the local embassy to discuss security issues (as this is not relevant to our proposed project), we have been in direct contact with the embassy about the project generally.

### 27. Certification

On behalf of the trustees of the Wildlife Conservation Society (WCS)

I apply for a grant of £399,718 in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

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

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

- I enclose CVs for project principals and letters of support.
- Our most recent signed audited/independently verified accounts and annual report are also enclosed.

WCS's most recent audit and annual reports can be found through the following links:


  



Name (block capitals)	JOE WALSTON
Position in the organisation	Vice President, Field Conservation

Signed  (PDF) Date: 15 May 2017

 (pdf)

**If this section is incomplete the entire application will be rejected. You must provide a real (not typed) signature. You may include a pdf of the signature page for**

**security reasons if you wish. Please write PDF in the signature section above if you do so.**

## 28. Checklist for submission

	Check
Have you <b>read the Guidance Notes</b> (guidance for applicants, financial information, schedule of terms and conditions)?	Yes
Have you read, and can you meet, the current <b>Terms and Conditions</b> for this fund?	Yes
Have you provided <b>actual start and end dates</b> for your project?	Yes
Have you provided your <b>budget based on UK government financial years</b> i.e. 1 April – 31 March and in GBP?	Yes
Have you checked that your <b>budget is complete</b> , correctly adds up and that you have included the correct final total on the top page of the application?	Yes
Has your application been <b>signed by a suitably authorised individual?</b> (clear electronic or scanned signatures are acceptable, but not the use of a script font)	Yes
Have you included a <b>1 page CV for all the Project Staff</b> identified at Question 10, including the Project Leader?	Yes
Have you included a <b>letter of support from the main partner(s) organisations</b> identified at Question 9?	Yes*
Have you included a signed <b>copy of the last 2 years annual report and accounts</b> for the lead organisation?	Yes
Have you <b>checked the IWT website on GOV.UK</b> immediately prior to submission to ensure there are no late updates?	Yes

*\*Please note that while the SPP and MPS have not provided formal letters of support because this is not standard practice for these agencies, they have offered to meet with personnel from the UK Embassy in Vietnam to express their support for this project.*

Once you have answered the questions above, please submit the application, not later than midnight GMT on Monday 12 December 2016 to [IWT-Fund@LTSI.co.uk](mailto:IWT-Fund@LTSI.co.uk) using the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (e.g. whether the e-mail is 1 of 2, 2 of 3 etc.). You are not required to send a hard copy.

**DATA PROTECTION ACT 1998:** Information supplied in the application form, including personal data, will be shared between the Department and LTS for administration, evaluation and monitoring purposes. Some information, but not personal data, may be used by the Department when publicising the IWT Challenge Fund including project details (usually title, lead organisation, 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 IWT Challenge Fund mailing list and to provide information to British Embassies and High Commissions so they are aware of UK Government-funded projects being undertaken in the countries where they are located.

**ENVIRONMENTAL INFORMATION REGULATIONS 2004 and the FREEDOM OF INFORMATION ACT 2000:** Information (including

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personal data) relating to the project or its results may also be released on request, including under the Environmental Information Regulations 2004 and the Freedom of Information Act 2000. However, Defra will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the Data Protection Act 1998.



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Any enquiries regarding this publication should be sent to us at

[IllegalWildlifeTrade@defra.gsi.gov.uk](mailto:IllegalWildlifeTrade@defra.gsi.gov.uk)

[www.gov.uk/defra](http://www.gov.uk/defra)