Applicant: **Bennett, Rhett**
Organisation: **Wildlife Conservation Society**
Funding Sought: **£579,920.00**

IWTR8S2\1037

Equipping southwest Indian Ocean countries to combat illegal shark trade

Illegal trade in shark products occurs throughout East Africa, but government capacity to enforce trade controls is inadequate. The project aims to improve government capacity in Mozambique and Tanzania for monitoring trade in shark and ray products and enforcing trade controls. Key activities will include training of government staff for visual and molecular (genetic) identification of traded shark species, implementing improved resources for identification and monitoring, improving knowledge on trade and fisheries, and support to governments for policy improvement.

PRIMARY APPLICANT DETAILS

Name	Rhett
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Website	[redacted]
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Address	[redacted]

Section 1 - Contact Details

PRIMARY APPLICANT DETAILS

Name	Rhett
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Address	[redacted]

GMS ORGANISATION

Type	**Organisation**
Name	Wildlife Conservation Society
Phone	[redacted]
Email	[redacted]
Website	[redacted]
Address	[redacted]

Section 2 - Objectives, Species & Summary

Q3. Title:

Equipping southwest Indian Ocean countries to combat illegal shark trade

What was your Stage 1 reference number? e.g. IWTR8S1\1001

IWTR8S1\1120

Q4. Which of the four key IWT Challenge Fund objectives will your project address?

Please tick all that apply. Note that projects supporting more than one will not achieve a higher score.

- ☑ Ensuring effective legal frameworks and deterrents
- ☑ Strengthening law enforcement

Q5. Species project is focusing on

Where there are more than four species that will benefit from the project's work, please add more boxes using the selection option below.

Scalloped hammerhead shark (Sphyrna lewini); Critically Endangered; CITES appendix II	Shortfin mako shark (Isurus oxyrinchus); Endangered; CITES appendix II
Bottlenose wedgefish (Rhynchobatus djiddensis); Critically Endangered; CITES appendix II	Pelagic thresher shark (Alopias pelagicus); Endangered; CITES appendix II; Indian Ocean Tuna Commission retention ban

Do you require more fields?

⦿ Yes

Shortfin devil ray (Mobula kuhlii); Endangered; CITES appendix II; Indian Ocean Tuna Commission retention ban; CMS appendix I (requires prohibition)	*No Response*
No Response	*No Response*

Q6. Summary

Please provide a brief summary of your project, its aims, and the key activities you plan on undertaking. Please note that if you are successful, this wording may be used by Defra in communications e.g. as a short description of the project on the website.

Please write this summary for a non-technical audience.

Illegal trade in shark products occurs throughout East Africa, but government capacity to enforce trade controls is inadequate. The project aims to improve government capacity in Mozambique and Tanzania for monitoring trade in shark and ray products and enforcing trade controls. Key activities will include training of government staff for visual and molecular (genetic) identification of traded shark species, implementing improved resources for identification and monitoring, improving knowledge on trade and fisheries, and support to governments for policy improvement.

Section 3 - Title, Dates & Budget Summary

Q7. Country(ies)

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

Country 1	Mozambique	**Country 2**	Tanzania
Country 3	*No Response*	**Country 4**	*No Response*

Do you require more fields?

⦿ No

Q8. Project dates

Start date:	End date:	Duration (e.g. 2 years, 3 months):
01 July 2022	30 June 2024	2 years

Q9. Budget summary

Year:	2022/23	2023/24	2024/25	2025/26	Total request
Amount:	£219,191.00	£277,337.00	£83,392.00	£0.00	**£** 579,920.00

Q10. Proportion of IWT Challenge Fund budget expected to be expended in eligible countries: %

[redacted]

Q11a. Do you have matched funding arrangements?

⦿ Yes

What matched funding arrangements are proposed?

The following match is proposed, all of which is already secured:

1. Approximately US$[redacted] from a Shark Conservation Fund (SCF) grant in Mozambique and Tanzania will cover some community and government engagement sub-activities.

2. At least US$[redacted] from a Vulcan grant will be allocated for provision of a genetic testing toolkit and expert training to establish its use.

3. Approximately US$[redacted] from a global SCF grant will be allocated for salaries and consultant time, for species identification training, and support for policy development.

The total amount of matched funds is [redacted] GBP less than indicated at Stage 1. The reason for the reduction is that the matched funds (a grant from CEFAS for identification guide-related work linked to an existing IWT grant (IWT057)) have been spent on the proposed activities (shark and ray identification training in Mozambique) since the Stage 1 application development.

Q11b. Total confirmed & unconfirmed matched funding (£)

£[redacted]

Q11c. If you have a significant amount of unconfirmed matched funding, please clarify how you fund the project if you don't manage to secure this?

The total amount of unsecured matched funds is £[redacted] This will be sought through future grant proposals.

Section 4 - Problem statement & Gap in existing approaches

Q12. Project stage

With reference to the application guidance, please select the relevant project stage.

⦿ Main

Q13. 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. 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 reduce poverty.

Please cite the evidence you are using to support your assessment of the problem (references can be listed in your additional attached PDF document).

Chondrichthyan (shark and ray) catch levels in the Western Indian Ocean (WIO) are reportedly the third highest of all major fishing areas globally (FAO 2021), yet actual catch and trade quantities are an estimated three times greater than reported due to poorly monitored fisheries and limited species-level data. Industrial fishers catch at least 25 chondrichthyan species in the WIO, including CITES-listed and threatened (IUCN Red List) hammerhead, thresher and mako sharks and mobulid rays. In Mozambican and Tanzanian artisanal fisheries, threatened species comprise more than half the chondrichthyan catch in some areas (WCS unpublished data), including species listed on CITES (trade restrictions) and CMS appendix I (catch prohibition). As a result, 50% and 56%, respectively, of chondrichthyan species in Mozambique and Tanzania face high to extremely high risk of extinction.

Many coastal species are caught by coastal small-scale fishers and further offshore by commercial and industrial vessels. As fish and chondrichthyan stocks decline, commercial/industrial and illegal fishing vessels encroach on coastal areas, targeting and catching species important to small-scale fishers, who depend thereon for protein and livelihoods. Intense fishing has major negative impacts on coastal stocks, and on small-scale fisher livelihoods. Chondrichthyan fishing is driven by shark fin and meat trade, many aspects of which are unsustainable and illegal (e.g., mortality of threatened species, export of CITES-listed products without permits).

Genetic barcoding by WCS and Stellenbosch University, a leading genetics research facility and project partner, confirmed 84% CITES-listed and 90% Critically Endangered shark species in two illegal fin shipments in Mozambique (Asbury et al. 2021). Shark products are traded illegally from Mozambique and Tanzania to Asia, via unmonitored ports (IOC-SmartFish 2016). Headless, finless shark trunks (indicating illicit fin trade) are landed in coastal fisheries and appear to include threatened and CITES-listed thresher, mako and hammerhead sharks and wedgefishes. However, current human and technical capacity are inadequate for accurate species identification of trunks, fins or whole animals, facilitating undetected export and weak enforcement, and complicating prohibited species prosecutions.

Chondrichthyan legislation is inadequate in Tanzania and Mozambique. In both countries, adherence to environmental agreements is poor (particularly CITES trade controls), chondrichthyan export volumes are grossly underreported (UN Comtrade 2021), and legislative frameworks and human capacity (species identification, knowledge of implementation requirements and numbers of inspectors) are inadequate for trade control (CITES Secretariat 2021). All CITES-listed chondrichthyan species in both countries are threatened, with many targeted for export despite being Endangered or Critically Endangered. CITES permits and trade requirements are poorly implemented in Mozambique and Tanzania, e.g., the complete lack of non-detriment findings assessments for CITES-listed chondrichthyan species (a CITES export permit requirement) renders any international trade in these species from these countries in breach of CITES trade controls. Improved management and capacity for effective enforcement are critically needed to safeguard chondrichthyan species for sustainable and legal use, particularly fishery resources that support coastal fisher livelihoods. Without immediate action, further declines in threatened chondrichthyan populations will negatively affect coastal fishers, decreasing opportunities for sustenance and income from the legal trade in chondrichthyan products.

Q14. 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.** Extra **projects should also provide evidence of the intervention's success at a smaller scale.**

The project addresses major gaps in effective chondrichthyan trade controls in Mozambique and Tanzania, through improved knowledge, capacity building for improved species identification, monitoring and enforcement of trade controls, and improved policy.

Limited species-level information on chondrichthyan catches and trade: catch and trade surveys will provide improved

species-level knowledge on catches and trade dynamics;

Inadequate human capacity and technical resources for monitoring, enforcement and accurate species identification: inspectors will receive species identification training using the most comprehensive CITES-listed chondrichthyan identification guides to date (Abercrombie and Jabado 2022a, b, Jabado and Abercrombie 2022) and 3D-printed CITES-listed chondrichthyan species replica fins (recently developed by TRAFFIC), with training provided by Dr Rima Jabado, the guide's author; a rapid genetic sequencer, developed to genetically confirm CITES-listed shark/ray species in situ, will be implemented as part of customs checks in Mozambique.

[redacted]

Inadequate chondrichthyan policy/conservation measures: government departments and fishing communities will be engaged, to identify opportunities and gain support for improved policy/legislation for chondrichthyans.

Section 5 - Objectives & Commitments

Q15. 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.

The Convention on the Conservation of Migratory Species of Wild Animals (CMS) calls for protection of Appendix I species. Mozambique has prohibited CMS Appendix I chondrichthyan species, therefore strengthened capacity to identify these species in fisheries and trade will improve intervention and CMS adherence.

Commercial trade in CITES Appendix I and II species should be prohibited, and strictly controlled, respectively. Improved capacity to identify these species and intercept international trade therein (all of which is currently in breach of CITES controls), will improve legal implementation of CITES.

Improved enforcement and species identification capacity will facilitate improved enforcement of Indian Ocean Tuna Commission Resolutions 12/09, 13/05, 13/06 and 19/03, which respectively prohibit retention of thresher, whale and oceanic whitetip sharks, and mobulid rays.

The project will support adherence to UNEP's Nairobi Convention Conference of Parties Decision CP7/12: "Conservation of Sharks", which calls for regional collaboration, in consultation with CITES, CMS and other partners, on the conservation and management of sharks.

The project addresses Actions 3, 7 and 12 of the Kasane Statement.

The project will contribute to Mozambique's NBSAP Target 1 (action 1.5), Target 2 (actions 2.1, 2.3), Target 6 (actions 6.4, 6.8), Target 12 (action 12.8) and Target 19 (action 19.1), and several of Tanzania's NBSAP targets, notably Strategic goal A, Target 1; Strategic goal B, Target 6; and Strategic goal C, Target 12.

Improved chondrichthyan species identification and validation, and better enforcement of trade controls facilitated through project activities will ensure better implementation of MEAs and national fisheries legislations.

Section 6 - Method, Change Expected, Gender & Exit Strategy

Q16. Methodology

Describe the methods and approach you will use to achieve your intended Outcome and contribute towards your

Impact. Provide information on:

- **How have you reflected on and incorporated evidence and lessons learnt from past and present activities and projects in the design of this project?**
- **The need for this work and a justification of your proposed approach.**
- **How you will undertake the work (materials and methods).**
- **How you will manage the work (roles and responsibilities, project management tools, risks etc.).**

Proposed activities build on, advance and learn from previous and ongoing activities implemented by WCS and other organizations, in Mozambique, Tanzania and globally.

Capacity building activities will improve capacity of customs and fisheries inspectors in Mozambique and Tanzania to accurately identify shark and ray species visually, currently limited by inadequate training and identification resources. The project will improve species identification capacity using new, previously unavailable tools. The latest (January 2022) and most comprehensive CITES-listed shark/ray identification guides will facilitate capacity-building of key officials for visual species identification of CITES-listed, prohibited and threatened chondrichthyan species to enforce trade controls. Guides will be translated to Portuguese and Swahili, edited, printed and disseminated to customs agents and fisheries inspectors. Dr Rima Jabado (project partner and CITES guide author) will provide training. 3D-printed replica shark fins will be procured for “hands-on” training of customs agents and fisheries inspectors on species-level identification of CITES-listed sharks/rays. [redacted]

The project will also build capacity and expertise and provide resources to confirm species genetically (i.e., molecular confirmation), which are lacking in current monitoring and enforcement. To improve technical resources and human capacity for molecular monitoring of CITES-listed and prohibited shark/ray species trade, a rapid genetic sequencer (recently developed to genetically detect CITES-listed shark/ray species) will be installed, trialled, and become operational in 1 strategic Mozambique point of trade with 5 customs/fisheries inspectors trained on its operation. Dr Demian Chapman’s team (developer of sequencer, and project partner) will provide training and installation. Two Mozambique government technicians will also be trained to conduct genetic barcoding on shark/ray fins (laboratory-based barcoding for species identification), through an intensive 2-week training session in South Africa at Stellenbosch University Department of Genetics, led by Dr Aletta Bester-van der Merwe (project partner and WCS’s current forensic genetics collaborator).

Catch and trade surveys will address inadequate chondrichthyan species-level information resulting from limited species-level data collection, to support improved species-level management. WCS (and partner) catch surveys undertaken since 2018 provide accurate, species-level chondrichthyan catch data to inform national management measures. WCS will build on these surveys to improve information and monitoring of shark/ray catches and shark/ray value chains. We will do so by conducting coastal catch surveys (including genetic sample collection) to monitor shark/ray species caught; trade surveys to assess the value chain of shark/ray products; and laboratory-based genetic barcoding of samples collected during fishery or trade surveys or ad hoc sampling/confiscations. WCS, IIP and Stellenbosch University (IWT project partners) recently conducted “forensic” genetic assessments of shark fins confiscated in Mozambique, confirming extensive illegal trade in CITES-listed sharks, and validating a newly developed mini-barcoding assay for chondrichthyan species (Asbury et al. 2021), which this project will build on.

WCS will also work with IIP and Deep Sea Fishing Authority (DSFA) (Mozambique and Tanzania government project partners, respectively) to conduct a study to assess the viability of observer programs on domestic industrial/commercial vessels. This will include engagement with government agencies responsible for industrial fisheries, the Indian Ocean Tuna Commission and other relevant fisheries bodies, and engagement with industrial fisheries companies to understand the needs, opportunities and threats relating to development and implementation of an observer program.

The project will engage fishing communities and government agencies to improve fisher adherence to regulations and coverage of sharks and rays in existing policy and legislation. To address inadequate chondrichthyan policy and legislation, WCS currently supports Mozambique and Tanzania in developing National Plans of Action (NPOAs) for the Conservation and Management of chondrichthyans. WCS will also help improve the management framework for implementing trade controls for sharks/rays.

The project will engage one fishing community each in Mozambique and Tanzania to raise awareness, identify threats to

sharks/rays and fishers, and identify mechanisms for more sustainable local fisheries. WCS, IIP and DSFA will engage with relevant government agencies (e.g., customs and inspection agencies, fisheries management agencies, CITES authorities, prosecutors, and the judiciary) to raise awareness on conservation, trade issues facing sharks/rays, and the species most at threat; and to support policy development and improvement, such as policy amendments for improved management. This will be partly funded through matched funds.

Q17. Capability and Capacity

How will you support the strengthening of capability and capacity in the project countries at organisational or individual levels, please provide details of what form this will take and the post-project value to the country.

The project includes strong capacity building components including staff training, and provision of materials and equipment. These are intended to improve the currently limited expertise to identify products of CITES-listed and prohibited shark and ray species, as well as the limited capacity for species confirmation through unbiased and accurate molecular (genetic) methods. The project will disseminate the latest and most comprehensive CITES-listed shark and ray identification guides (translated to national languages and printed) and will procure two sets of recently developed 3D-printed replica CITES-listed shark fins, for each country. The guides and replica fins will be used for training during the project, to accurately identify CITES-listed shark and ray species, and will remain in country for training of new staff, refresher training, and applied inspections, beyond the project period.

A rapid genetic sequencing machine will be procured through matched funds, and made operational in Mozambique. A technician from the sequencer development team will train relevant staff to use the sequencer correctly and effectively, vastly improving capacity for enforcing trade controls. Two Mozambique government technicians will undertake genetic barcoding training at Stellenbosch University to gain the skills to run genetic barcoding in situ in Mozambique. These two capacity-building initiatives will provide the skills in Mozambique for genetic confirmation of species in trade and thus more effective enforcement, well into the future.

[redacted]

These measures will improve capacity to identify restricted and illicitly traded species, enabling more accurate and effective inspection and detection of illicit trade beyond the life of the project.

Q18. Gender equality

All applicants must consider whether and how their project will contribute to reducing inequality between persons of different gender. Explain how your understanding of gender equality within the context your project, and how is it reflected in your plans.

Fishery and related marketing, processing and trade activities in southern Africa are often highly segregated by sex. As such, regulatory changes (as well as fishery-induced declines in resources) may have different impacts on men and women.

Throughout implementation, the project will collect (where possible) and analyse gender-disaggregated data to understand the needs of men and women and the distinct impact of regulatory changes on them. Data collection, inclusive of discussions and interviews, will engage women and men as well as demographically diverse (class/ethnicity/age) samples of interviewees (as far as practicably possible). Data will be collected at times convenient to both women and men, taking into account women's responsibility for the majority of household activities and their limited time to participate in data collection. WCS has implemented socio-economic surveys to profile shark fishers in Mozambique and will do so in Tanzania in the near future. The vast majority of respondents have been male, as women are a minority among fishers. However, considering that women often comprise the vast majority of traders/processors, the chondrichthyan trade surveys proposed here will not only provide trade information but also improve our understanding of the different gender roles in shark and ray fishing and trade.

Collected data will be used to guide policy reform and management, conservation and enforcement actions, along with mitigating potential risks to fishery resources and fishers. This will be done in an adaptive manner to facilitate increased gender equality and gender-responsive project implementation. The WWF Gender and IWT tool kit will be referred to, to help guide actions to ensure gender equality in the project.

Q19. Change expected

Detail the expected changes to both illegal wildlife trade and poverty reduction this work will deliver. You should identify what will change and who will benefit, 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).

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. Demand reduction projects should demonstrate their indirect links to poverty reduction.

Illicit trade and fishery activities are conducted by unlicenced commercial vessels, IUU vessels, licenced and unlicenced foreign vessels, and by some artisanal/small-scale fishers in the coastal zone, to the detriment of other, law-abiding fishers operating in the same area.

The project aims to reduce the illegal trade and mortality of threatened and CITES-listed chondrichthyan species by:

raising awareness among small-scale fishers of existing regulations, punitive measures and benefits of sustainable fisheries, thus disincentivizing illicit fishing and trade;

raising awareness at government level of threats to these species and the associated conservation commitments needed; and

increasing capacity at government level to enforce trade (and fishery) controls across all fishery sectors through improved capacity for species identification, improved knowledge on catch and trade, and mechanisms to enable improved enforcement (providing materials, equipment and training).

Project activities will support the improved management framework for chondrichthyan fisheries and result in significantly more interceptions of traded illegal elasmobranch products, thus improving enforcement and deterring illicit trade. This links directly to the two key IWT Challenge Fund objectives this project aims to address: ensuring effective legal frameworks and deterrents and strengthening law enforcement.

Effective enforcement of trade controls, including CITES trade controls, will ensure that any trade in such species is either determined to be unsustainable and thus legally prohibited, or proven to be sustainable. Either outcome will benefit small-scale fishers, as international trade prohibition should reduce targeting by commercial/industrial sectors, without imposing restrictions on local consumption or domestic sale. Short-term conservation outcomes include reduced targeting of protected species by fishers, thus reducing mortality within these shark/ray populations. The long-term benefits will be healthier chondrichthyan populations. While the proposal identifies just five chondrichthyan species groups, many additional species will benefit from the project, such as Endangered grey reef sharks Carcharhinus amblyrhynchos, and Vulnerable great white Carcharodon carcharias, bull Carcharhinus leucas, silvertip Carcharhinus albimarginatus and copper Carcharhinus brachyurus sharks, confirmed in the illegal fin trade in Mozambique (Asbury et al. 2021).

Law-abiding coastal fishers—traditional, subsistence and artisanal—who depend heavily on the resource will benefit from activities. In the short term, they will benefit from reduced pressure on coastal resources through reduction in illicit trade, decrease in illegal and unsustainable activities among small-scale fishers and reduced conflict with commercial/industrial fisheries resulting from improved fishery enforcement. In the long term, coastal fishers will benefit from healthier chondrichthyan populations, which will support healthier ecosystems and more sustainable fisheries and livelihoods for local fishers. Accurate estimates of the number of beneficiaries are not possible, but coastal fishers in these countries total many thousands (e.g., in Mozambique, the last census (2012) revealed 343,000 artisanal fishers, representing 90% of the fisheries sector in the country). Management authorities will benefit, through reduced illicit activity, increased capacity, more sustainable fisheries and a strengthened legal framework for chondrichthyan management; directly addressing problems highlighted in the problem statement.

The project will trial new and implement recently developed resources. Successful implementation will allow project scale-up for broader implementation in the WIO.

Q20. Pathway to change

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

Raising awareness within fishing communities of existing regulations, punitive measures, poor chondrichthyan conservation status and sustainable fisheries benefits will provide incentives for improved regulatory support. Government-level awareness raising of regulatory requirements, trade controls, binding measures and level of (particularly illegal) chondrichthyan product trade will improve capacity and willingness for improved implementation and enforcement of regulatory measures.

Provision of training, materials, and equipment for accurate species identification and genetic barcoding will improve capacity to identify restricted and illicitly traded species, enabling more accurate and effective inspection and detection of illicit trade. Chondrichthyan catch and trade surveys and improved identification capacity of controlled/prohibited species in trade will improve knowledge on legal and illegal chondrichthyan trade dynamics. Improved knowledge (of species, policy requirements, trade dynamics) and identification capacity (human, technological) will improve enforcement, resulting in increased interceptions of, barriers to and prosecutions relating to illegal trade, thus reducing incentive, increasing deterrents and eliminating illegal actors. This will lead to reduced species mortality and illegal trade, leading ultimately to healthier populations. Coastal fishing communities will support more sustainable fisheries and benefit from reduced conflict with commercial/industrial fishers and reduced illicit activities, as a direct result of reduced targeting and mortality of threatened species.

Q21. Exit Strategy

How the project will reach a sustainable point and continue to deliver benefits post-funding? Will the activities require funding and support from other sources, or will they be mainstreamed in to "business as usual"? How will the required knowledge and skills remain available to sustain the benefits? How will your approach, if proven, be scaled?

The project will build technical capacity by providing new materials and equipment and by supporting agents to deliver more effective enforcement, while capacity-building activities will increase knowledge and skills of inspection staff for application during and after the project.

The project will provide the latest and most comprehensive translated CITES-listed shark and ray identification guides to inspection and customs staff, as well as two sets of 3D-printed CITES-listed shark species replica fins to each government. Materials will remain permanently in each country as long-term references for species identification, "refresher" training and training of additional personnel. [redacted]

In one Mozambique point of trade, a rapid genetic sequencer will be permanently operational to allow in situ confirmation of suspected CITES-listed or prohibited species in trade. Sufficient reagents for sample analysis for one year will be provided, allowing real-time detection (particularly during the project period when a spike in illegal trade interventions is expected). This pilot phase can be scaled up to other ports in Mozambique, Tanzania and other East African countries.

The global expert in shark and ray species identification and CITES identification guide author (Dr Rima Jabado) will train agents in both countries in species identification, focusing on CITES-listed shark and ray species. Agents will also receive training on effective use of these guides, operation of the rapid genetic sequencer, and use of the communications platform for rapid identification. Two Mozambique government technicians will further receive standard genetic sequencing training, to enable implementation of this method at a Mozambique laboratory.

Frequent application of training to real-life trade interventions will facilitate long-term retention of learned skills, while materials and equipment will remain in country for post-grant use.

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

IWT-R8-St2-Application-Form-References
21/03/2022
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Section 7 - Risk Management

Q22. Risk Management

Please outline the 6 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, one Safeguarding Risk, and one Delivery Chain Risk.**

Projects should also draft their initial risk register, using the Risk Assessment template**, and be prepared to submit this when requested if you are recommended for funding. Do not attach this to your application.**

Risk Description	Impact	Prob.	Gross Risk	Mitigation	Residual Risk
Fiduciary Inefficient spending, unaccounted funds, spending not aligned with approved budget	Medium	Rare	Medium	WCS' rigorous procurement and financial reporting processes and multi-tiered approval that is required for spending, according to specific protocols, will ensure spending according to budget, no unaccounted funds, and maximum value for money	Low
Safeguarding Fishing community beneficiaries taking part in project awareness raising activities face unintended harm from project staff or partners	High	Unlikely	Low	WCS has a robust Safeguarding Policy which is adhered to by all WCS staff and partners. Pre-recruitment checks are in place for all staff and include safeguarding clauses. WCS has a Global Grievance Redress Mechanism if an incident occurs to report any safeguarding concerns or complaints.	Low
Delivery Chain Effective implementation impeded by multiple stakeholders failing to fulfil their envisaged roles	Medium	Unlikely	Medium	Strong working relationships already exist with all project partners (and in some cases Memoranda of Understanding). Formal agreements developed specifically for the proposed project's activities will bind partners to delivering tasks timely and effectively, ensuring high quality outcomes. Clearly defined and discrete roles and responsibilities will ensure effective project implementation.	Low

Risk 4 Political will is limited, leading to poor uptake and implementation of the project's opportunities	High	Possible	Medium	Government agencies in both countries will be formal implementation partners on this project, which will ensure immediate involvement and uptake by both governments. An existing MOU with the Mozambique Ministry of the Sea, Inland Waters and Fisheries underpins a strong working relationship between WCS and the Mozambique government.	Low
Risk 5 Fishers are not willing to support more sustainable fishing practices or stricter regulations, making enforcement more challenging	Low	Possible	Medium	Fisher engagement at community level to raise awareness of i) the poor conservation status of sharks, ii) existing (and potentially new) regulations and iii) that trade regulations (e.g., CITES) do not affect domestic capture, consumption or sale, should promote support for reduced illegal trade and more effective trade control enforcement.	Low
Risk 6 Travel restrictions, such as those linked to COVID, adversely impact timely delivery of tasks, particularly those activities that rely on external expertise to deliver capacity building activities.	Medium	Possible	Medium	The strategic workplan will facilitate adaptive implementation. Short time frames required for implementation of several activities allow flexibility in their implementation timing within their respective budget year. Prior planning and early implementation at the start of the project will avoid delays or "running out of time" at year end.	Low

Section 8 - Implementation Timetable

Q23. Provide a project implementation timetable that shows the key milestones in project activities

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

Implementation Timetable Template

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

IWT-R8-Implementation-Timetable-Template
22/03/2022
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pdf 106.29 KB

Section 9 - Monitoring and Evaluation

Q24. 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. Additionally, please indicate an approximate budget and level of effort (person days) to be spent on M&E (see Finance Guidance).

A start-up workshop will be held at the beginning of the project, convening regional and global expertise to ensure a foundation is laid to implement the project theory of change, and to plan activities that will follow the project timeline and meet monitoring and evaluation benchmarks. In-country WCS staff in Tanzania and Mozambique will conduct project monitoring and evaluation, which will be overseen by the Project Lead. WCS will monitor progress of project implementation quarterly through a detailed implementation plan and project tracker, and produce project progress reports according to grant requirements.

The project team will obtain species-level information to support species-level management and monitoring of sharks and rays through catch-and-trade surveys. The data will measure changes in incident frequency of illegal capture of or trade in shark and ray products, and thus contribute valuable indicators to assess the project's impact.

WCS will conduct annual work planning to assess progress, along with conducting semi-annual progress reviews, and regular project team meetings, to ensure the project remains on track. While several activities span the duration of the proposed project, most are discrete in time (such as procurement of 3D-printed fins, species identification training, genetic barcoding training, and the installation of the rapid genetic sequencer), and have been planned to minimize any significant implementation delays. Their progress will therefore be evaluated in terms of whether the deliverable was completed adequately and on time.

The longer-term activities will be assessed against whether the frequency of events (e.g. weekly surveys) is being met. Visits to field sites are conducted as standard practice, by program staff in each country, to ensure that collection of data follows the data collection protocols, to ensure equipment is in order, and to provide additional training where necessary.

WCS staff in Tanzania and Mozambique will conduct a semi-annual grant "health check" to gather qualitative and quantitative data on project outputs and activities to confirm relevance to the project impact, outcome and assumptions. These data will be used to evaluate progress against project indicators; implementation of activities will be adjusted in response to any identified changes to the project timeline. Project work plans will be adapted and updated as needed based on the health check. The health check will also include an assessment of expenses to identify any variation between planned and actual expenses or any need to adapt project implementation accordingly.

Total project budget for M&E in GBP (this may include Staff, Travel and Subsistence costs)	£[redacted]
Percentage of total project budget set aside for M&E (%)	[redacted]
Number of days planned for M&E	30

Section 10 - Logical Framework

Q25. Logical Framework

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.

- Stage 2 Logframe Template

Please complete your full logframe in the separate Word template and upload as a PDF using the file upload below – **please do not edit the template structure other than adding additional Outputs if needed as a logframe submitted in a different format may make your application ineligible**. Copy your Impact, Outcome and Output statements and your activities below - these should be the same as in your uploaded logframe.

Please upload your logframe as a PDF document.

IWT-R8-St2-Logical-Framework
22/03/2022
13:39:17
pdf 30.92 KB

Impact:

Reduced mortality and illegal trade in regulated species, which in turn lead to healthier shark/ray populations and ecosystems, which support improved fisher catches, more sustainable fisheries, and more secure livelihoods.

Outcome:

Improved capacity for effective enforcement, improved fishery and trade knowledge, and fisher and government support for improved management facilitate reduced illegal trade in regulated/threatened shark/ray species, in Mozambique and Tanzania.

Project Outputs

Output 1:

Customs agents and fisheries inspectors have improved resources and capacity for visual and molecular identification of illegal shark and ray species in fisheries and trade, and species subject to trade controls

Output 2:

There is increased information and knowledge of threatened shark/ray species caught and traded, through surveys, to support enforcement

Output 3:

A scoping study is undertaken to evaluate whether and how observer programs could be implemented, to expand catch/fishery monitoring to commercial and industrial vessels

Output 4:

Improved regulatory framework for sharks and rays, and support from local fishing communities to adhere to improved or strengthened fishery and trade regulations

Output 5:

No Response

Do you require more Output fields?

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

◉ No

Activities

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

Output 1: Customs agents and fisheries inspectors have improved resources and capacity for visual and molecular identification of illegal shark and ray species in fisheries and trade, and species subject to trade controls
Activity 1.1 CITES shark/ray identification guides in local language are printed and disseminated to agents in Tanzania
Activity 1.2 Government staff in Tanzania trained on shark and ray identification and use of CITES identification guides
Activity 1.3 Rapid genetic sequencer for CITES listed shark/ray species is installed and operational in Mozambique
Activity 1.4 Government staff in Mozambique trained on use of rapid genetic sequencer
Activity 1.5 Government technicians from Mozambique trained in genetic barcoding for species identification
[redacted]

Output 2: There is increased information and knowledge of threatened shark/ray species caught and traded, through surveys, to support enforcement
Activity 2.1 Coastal fishery catch surveys are conducted in each country to increase information on CITES and threatened shark/ray species caught in coastal fisheries
Activity 2.2 Trade surveys are conducted to improve knowledge on trade in shark/ray products
Activity 2.3 Genetic barcoding is conducted to improve knowledge of shark/ray species in trade

Output 3. A scoping study is undertaken to evaluate whether and how observer programs could be implemented, to expand catch/fishery monitoring to commercial and industrial vessels
3.1 A scoping study with government agencies and commercial/industrial fisheries companies is completed to understand needs and risks of developing and implementing an observer program
3.2 A strategy for implementing commercial/industrial scale data collection through observer programs is developed

Output 4: Improved regulatory framework for sharks and rays, and support from local fishing communities to adhere to improved or strengthened fishery and trade regulations
4.1 Engagement with local fishing communities to gain commitment to supporting and adhering to local fishery and trade regulations
4.2 Governments are engaged to develop draft regulations or amendments to existing regulations, to support improved or strengthened fishery and trade regulations

Section 11 - Budget and Funding

Q26. Budget

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

Note that there are different templates for projects requesting under £100,000 and over £100,000. Please refer to the Finance Guidance **for more information.**

- Budget form for projects under £100k
- Budget form for projects over £100k

Please ensure you include any co-financing figures in the Budget spreadsheet to clarify the full budget required to deliver this project.

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

Please upload your completed IWT Challenge Fund Budget Form Excel spreadsheet using the field below.

External_Budget-for-IWT-R8-over-100k-Mar22-Final-MASTER - Copie (1)
21/03/2022
21:21:43
xlsx 100.71 KB

Q27. Funding

Q27a. Is this a new initiative or does it build on existing work (delivered by anyone and funded through any source)?

⦿ New Initiative

Please provide details:

The project includes both new initiatives and activities that build on existing work. The project will use CITES identification guides developed through a previous CEFAS/WCS IWT grant in Indonesia and subsequently expanded through a WCS/CEFAS/DEFRA partnership with Dr Rima Jabado, partner on this study for training. CITES-listed shark and ray 3D-printed replica fins, recently developed by TRAFFIC, will be procured and used in the country for training and identification reference/guides.

[redacted]

The rapid genetic sequencer will apply recently developed and cutting edge genetic and anti-wildlife trade technology in situ in Mozambique – representing one of the first real-life applications of this technology in this region. The molecular genetic barcoding training is a new initiative, intended to bring global expertise to Mozambique trade interventions in country. Proposed catch surveys will build on current surveys in Mozambique and Tanzania, that will end soon, while trade surveys will build on those recently and successfully conducted by WCS in Kenya and Madagascar.

Q27b. Are you aware of any current or future plans for similar work 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.

WCS is aware of plans to translate CITES identification guides to French, but not Portuguese or Swahili, which we will make available for interested stakeholders in other countries. WCS is liaising with the developers to avoid duplication of translation efforts. A virtual CITES identification training is planned for Mozambique, but there is little overlap with the proposed project as it will cover few marine species. We have liaised with the organisers to potentially disseminate the Portuguese translated guides for use during their training. Finally, we are aware of a project intending to make species-level biological and policy information available to prosecutors in selected southern African countries. The project includes “species profiles” for just two CITES-listed shark genera, however there will be no duplication, as WCS will draft the shark species profiles for that project. This will provide linkages to the proposed government level awareness raising activity, particularly inclusion of awareness raising with prosecutors and the judiciary as recommended by the IWT advisory group.

We are not aware of other activities or plans that are similar to or that overlap with the activities proposed in this application.

Q28. 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.

[redacted]

[redacted]

Two laptop computers will be purchased each for WCS staff in Mozambique and Tanzania, and one for the project technical assistant, for data management and analysis, development of the mobile communication platform, and identification of species recorded during surveys, and will continue to be utilized by WCS staff after the end of the project.

Two sets of 3D-printed replica fins of CITES sharks and rays will be procured for hands-on species fin identification training. These will remain in country after the project.

The total cost of capital items is approximately 3.1% of the total amount of IWT funding requested.

Q29. 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.

WCS has already put in place core staff (most core staff on this project are already in place), operational procedures and equipment, limiting recruitment costs and largely avoiding any capital expenditures or start-up costs. IWT funds will build on previous and existing work and resources to ensure good value for money, avoiding any duplication of efforts. Tools and resources used under this project (CITES identification guides and 3D-printed CITES-listed shark and ray replica fins) have already been developed at no cost to this project. These will be implemented at limited cost, to improve capacity for effective enforcement of illegally traded shark and ray products.

Considerable matched funding has been secured for “expert time”, minimizing consultant costs for this grant, and all project partners are already partners with WCS on other existing activities/projects, which will ensure efficiency in terms of delivering project outputs. Sustainability has been incorporated into project design, and trainings and resources will remain in country after the end of the project. Capacity-building of key stakeholders integral to the effective enforcement of IWT in the two counties will result in sustained change. WCS’s long-standing presence in Mozambique and Tanzania is a major asset for this project as the project benefits from our established and trusted relationships with government agencies and fishing communities, allowing immediate and efficient implementation of activities in the project timeframe, ensuring good value for money.

Section 12 - Safeguarding and Ethics

Q30. Safeguarding

Projects funded through the IWT Challenge Fund must fully protect vulnerable people all of the time, wherever they work. In order to provide assurance of this, projects are required to have appropriate safeguarding policies in place.

Please confirm the Lead Partner has the following policies in place and that these can be available on request:

Please upload the lead partner's Safeguarding Policy as a PDF on the certification page.

We have a safeguarding policy, which includes a statement of our commitment to safeguarding and a zero tolerance statement on bullying, harassment and sexual exploitation and abuse	Checked
We have attached a copy of our safeguarding policy to this application (file upload on certification page)	Checked
We keep a detailed register of safeguarding issues raised and how they were dealt with	Checked

We have clear investigation and disciplinary procedures to use when allegations and complaints are made, and have clear processes in place for when a disclosure is made	Checked
We share our safeguarding policy with downstream partners	Checked
We have a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised	Checked
We have a Code of Conduct for staff and volunteers that sets out clear expectations of behaviours - inside and outside the work place - and make clear what will happen in the event of non-compliance or breach of these standards	Checked

Please outline how you will implement your safeguarding policies in practice and ensure that downstream partners apply the same standards as the Lead Partner.

If your project involves data collection and/or analysis which identifies individuals (e.g. biometric data, intelligence data), please explain the measures which are in place and/or will be taken to ensure the proper control and use of the data. Please explain the experience of the organisations involved in managing this information in your project

WCS's safeguarding policy, mechanisms and whistle-blowing policy are incorporated into all staff and project participant trainings and M&E procedures. Policies are designed to ensure that WCS's conservation actions are consistent with best practices for social safeguards and comply with international human rights standards. The WCS Code of Conduct requires compliance with a set of principles and organizational policies including respect for human rights, safeguarding children and vulnerable adults, combatting human trafficking, respect in the workplace and protection of whistle-blowers. Under the Code of Conduct, all WCS personnel are held accountable for their actions and the actions of others under their management authority, and for ensuring compliance with the Code of Conduct. WCS personnel and WCS partners must report any suspected violation of the policy immediately. Reports or complaints from external sources such as members of the public and official bodies may be made through the WCS Global Grievance Redress Mechanism.

Our team is comprised of professionals with decades of experience in building and maintaining relationships with local communities. When working with communities on new projects, we ensure there is a process to obtain acceptance by the community following the concept of Free, Prior and Informed Consent regarding our initiatives.

Q31. Ethics

Outline your approach to meeting the key ethical principles, as outlined in the guidance.

WCS is a founding member of the Conservation Initiative for Human Rights and works to ensure ethical approaches to biodiversity conservation. These principles apply to our engagement with community and government entities globally. These efforts are supported by the WCS Institutional Review Board (IRB), which reviews 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.

WCS will ensure that staff involved in the design/conduct of data collection under this project receive appropriate guidance to ensure confidentiality, privacy and safety. All participants will be asked for consent prior to any interviews for data collection. Individuals' identities will not be recorded during surveys, ensuring their rights, privacy, and safety, and safeguarding them from direct or indirect impacts of project activities. All of WCS's shark surveys in the WIO that involve human subjects, have been approved by the WCS IRB, including the catch surveys proposed under this project. Staff involved in data collection, processing, storage or analysis have received training in human subject research.

Section 13 - FCDO Notifications

Q32. FCDO Notifications

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

No

Please indicate whether you have contacted FCDO 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.

IWT Emails
22/03/2022
17:05:16
pdf 1.04 MB

Section 14 - Project Staff

Q33. 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.

Please provide 1-page CVs or job description, further information on who is considered core staff can be found in the Finance Guidance.

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Rhett Bennett	**Project Leader**	82	Checked
Dave van Beuningen	Project technical assistant and data management	82	Checked
Sarah Markes	Communications and design	2	Checked
Hugo Costa	In-country coordination in Mozambique	10	Checked

Do you require more fields?

◉ Yes

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Rosalina Cossa	In-country implementation in Mozambique	81	Checked
Jorge Sitoe	In-country implementation in Mozambique	41	Checked
Jean Mensa	In-country coordination in Tanzania	10	Checked

Tanzania marine program coordinator	In-country implementation in Tanzania	10	Checked
Abdallah Abdulla	In-country implementation in Tanzania	50	Checked
Diane Detoeuf	Development of and technical support for data collection app and database	1	Checked
Steven Gallo	Development of and technical support for online database and data visualization for reporting	1	Checked
No Response	*No Response*	0	Unchecked

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

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

CVs_JDs
21/03/2022
21:37:01
pdf 1.47 MB

Have you attached all project staff CVs?

◉ Yes

Section 15 - Project Partners

Q34. Project partners

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

This section should demonstrate the capability and capacity of the Project Partners to successfully deliver the project. Please provide Letters of Support for all project partners or explain why this has not been included.

Lead partner name:	Wildlife Conservation Society
Website address:	https://www.wcs.org/; https://www.wcs.org/our-work/wildlife/sharks-skates-rays

Details (including roles and responsibilities and capabilities and capacity):	The project PI and other WCS core staff will be responsible for the implementation of this proposed project, including all liaison with government partners and stakeholders; coordination among partners; coordinating activities; planning travel, meetings, workshops and trainings; scoping study on implementation strategy for industrial/commercial observer program in each country; development of mobile phone rapid communication platform for real-time species identification; fishery catch and trade surveys; genetic sample collection; presentation of findings and support to governments to develop policy; grant management and reporting; disbursement of funds to partners; and financial management and reporting. Lead partner will administer funds necessary for this partner's involvement in the project.
Allocated budget (proportion or value):	£[redacted]
Represented on the Project Board	⦿ Yes
Have you included a Letter of Support from this organisation?	⦿ Yes
Have you provided a cover letter to address your Stage 1 feedback?	⦿ Yes

Do you have partners involved in the Project?

⦿ Yes

1. Partner Name:	Mozambican National Oceanographic Institute (InOM), former National Fisheries Research Institute of Mozambique (Instituto Nacional de Investigação Pesqueira), Mozambique
Website address:	http://www.iip.gov.mz/
Details (including roles and responsibilities and capabilities and capacity):	InOM will be the formal government partner in Mozambique, and facilitate all aspects of the project there. InOM will facilitate all permitting, engage on policy development, coordinate activities with other government departments (such as Customs and the National Administration of Fisheries), support the implementation of catch and trade surveys, and be responsible for uptake of recommendations and translating these to policy. InOM will also be the beneficiary of the genetic barcoding training provided by Stellenbosch University, for 2 technicians. WCS is currently partnering with InOM and other stakeholders, to develop a National Plan of Action for the conservation and management of sharks and rays (NPOA-Sharks) in Mozambique. Lead partner will administer funds necessary for this partner's involvement in the project (including e.g., participant travel costs, accommodation, meals, workshop printed materials)..
Allocated budget:	£[redacted]

Represented on the Project Board	⦿ Yes
Have you included a Letter of Support from this organisation?	⦿ Yes

2. Partner Name:	Deep Sea Fishing Authority (DSFA), Zahor el Kharousy (Director), Tanzania
Website address:	https://www.dsfa.go.tz/
Details (including roles and responsibilities and capabilities and capacity):	The DSFA will be the formal government partner in Tanzania, and facilitate all aspects of the project there. DSFA will assist with all permitting, engage on policy development, coordinate activities with other government departments (such as Customs and the National Administration of Fisheries), coordinate at ministerial level to ensure engagement across government departments (particularly as this links Tanzania and the semi-autonomous Zanzibar region), support the implementation of catch and trade surveys, and be responsible for uptake of recommendations and translating these to policy. Personnel of the DSFA will be among those trained by Dra Rima Jabado, on shark and ray species identification and the use of the new CITES shark and ray identification guides. WCS is currently partnering with the DSFA, to develop an NPOA-Sharks for the United Republic of Tanzania. Lead partner will administer funds necessary for this partner's involvement in the project (including e.g., participant travel costs, accommodation, meals, workshop printed materials)..
Allocated budget:	£[redacted]
Represented on the Project Board	⦿ Yes
Have you included a Letter of Support from this organisation?	⦿ Yes

3. Partner Name:	Dr Rima Jabado
Website address:	*No Response*

Details (including roles and responsibilities and capabilities and capacity):	Dr Jabado will provide the species identification training using the 3D-printed replica shark fins and newly developed CITES shark/ray identification guides. This three-part identification guide series on the visual identification of CITES shark/ray products was produced under an existing IWT challenge grant (IWT057) that focused on implementation of CITES for shark/ray species in Indonesia. Dr Jabado and WCS partnered on that grant. As author of these shark/ray CITES guides, Dr Jabado has agreed to share with this project the original, editable versions , to allow translation to national languages for improved uptake at the national level. Dr Jabado is a global expert on shark/ray species identification and the implementation of CITES for shark/ray species, and is the global chair of the IUCN shark specialist group. Subsequent to our IWT stage 1 application submission, Dr Jabado successfully completed a training workshop for the identification of CITES listed sharks and rays, in Mozambique, including the use of the guides and 3D replica fins. Approximately GBP [redacted] will be allocated to this partner, but the funds will be administered by the lead partner. Such costs will include travel, accommodation and subsistence costs for Dr Jabado and delegates, and workshop-related expenses for the training.
Allocated budget:	£[redacted]
Represented on the Project Board	⦿ No
Have you included a Letter of Support from this organisation?	⦿ No
If no, please provide details	Due to overlapping travel in remote areas, a support letter has not yet been received; however, Dr Jabado has agreed to collaborate on this project, including conducting the species identification training noted in the roles and responsibilities for this partner. If acceptable, the letter will be uploaded in due course.

4. Partner Name:	Dr Demian Chapman, Mote Marine Laboratories, United States
Website address:	*No Response*
Details (including roles and responsibilities and capabilities and capacity):	Dr Chapman was pivotal in the development of the rapid genetic sequencer that will be installed and become operational in Mozambique. This technology has the capability to detect CITES-listed shark and ray species from a tissue sample, on near real-time. Dr Chapman's laboratory will provide the expertise to install the genetic sequencer and the training to Mozambican staff to operate the machine. It is envisaged that this component of the current proposed project would be scaled up in the future, to ensure such technology and training (capacity) are available in other ports in Mozambique and elsewhere in the region. Approximately [redacted] (or GBP [redacted] will be allocated to this partner, but the funds will be administered by the lead partner. Such costs will include travel, accommodation and subsistence costs for trainers and delegates, and workshop-related expenses for training workshops.

Allocated budget:	£[redacted]
Represented on the Project Board	⦿ No
Have you included a Letter of Support from this organisation?	⦿ Yes

5. Partner Name:	Stellenbosch University (SU), through Dr Aletta Bester-van der Merwe, South Africa
Website address:	http://www.sun.ac.za/english/faculty/agri/genetics
Details (including roles and responsibilities and capabilities and capacity):	Dr Bester-van der Merwe is the formal partner for the genetic barcoding of tissue samples of sharks and rays, collected during fishery and trade surveys to identify/confirm CITES-listed or other restricted species in the trade or fisheries, and she will be responsible for delivering the training on genetic barcoding to the two Mozambican government technicians. Dr Bester-van der Merwe is currently a joint PI on an existing partnership with WCS, for shark and ray genetic research in East Africa. This has included inter alia genetic barcoding of unidentified confiscated shark fins, to confirm species (including many CITES-listed shark and ray species), conducted in partnership with the Mozambique government's National Fisheries Research Institute, which is a partner on the current application. The current IWT application builds on this previous work. Approximately [redacted] will be allocated to this partner, to cover laboratory analysis of collected genetic samples, and expenses linked to training two Mozambican government technicians on genetic barcoding at the Stellenbosch University laboratory in South Africa.
Allocated budget:	£[redacted]
Represented on the Project Board	⦿ No
Have you included a Letter of Support from this organisation?	⦿ Yes

6. Partner Name:	*No Response*
Website address:	*No Response*
Details (including roles and responsibilities and capabilities and capacity):	*No Response*
Allocated budget:	£0.00
Represented on the Project Board	○ Yes ○ No
Have you included a Letter of Support from this organisation?	○ Yes ○ No

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

Letters of Support
22/03/2022
17:17:31
pdf 2.24 MB

2022-02-17 Cover letter SWIO IWT Stage 2
21/03/2022
21:55:51
pdf 145.97 KB

Section 16 - Lead Partner Capability and Capacity

Q35. Lead Partner Capability and Capacity

Has your organisation been awarded IWT 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

IWT084	Andrew Dunn	Tackling Illegal Wildlife Trade in the Nigeria-Cameroon Green Corridor
IWT080	Robert Wallace	Expanding Local Intelligence Networks to Combat Jaguar IWT in Bolivia
IWT076	Roan Balas McNab	Cross-Border Coordination to Reduce IWT in the Guatemala-Mexico Green Corridor
IWT075	Edgard Herrera	Reducing macaw trafficking in indigenous territories of the Honduran Moskitia
IWT073	Simon Nampindo	Strengthening anti-poaching techniques and countering wildlife trafficking in Uganda
IWT069	Sofi Mardiah	Strengthening intelligence-led enforcement to combat IWT between Indonesia and Malaysia

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

If yes, please upload these on the certification page. Note that this is not required from Government Agencies.

⦿ Yes

Section 17 - Certification

Q36. Certification

On behalf of the

Trustees

of

Wildlife Conservation Society

I apply for a grant of

£579,920.00

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

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

- **I have enclosed CVs for project key project personnel, letters of support, budget, logframe, safeguarding policy and project implementation timetable (uploaded at appropriate points in application).**
- **Our last two sets of signed audited/independently verified accounts and annual report (or other financial evidence – see Financial Guidance) are also enclosed.**

Checked

Name	Joe Walston

Position in the organisation	Executive Vice President for Global Conservation
Signature (please upload e-signature)	Joe W. Signature 2 21/03/2022 21:52:23 jpg 41.3 KB
Date	21 March 2022

Please attach the requested signed audited/independently examined accounts.

Audited_Financial_Statements_2021_WCS
14/03/2022
20:54:46
pdf 375.63 KB

Audited Financial Statements 2020 WCS (1)
14/03/2022
20:54:46
pdf 355.93 KB

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

1. WCS Safeguarding Policy FINAL_EN_2020_1203
14/03/2022
20:54:57
pdf 517.23 KB

2. WCS Harassment Sexual Harassment Policy Revised Feb 2021
14/03/2022
20:54:57
pdf 413.84 KB

3. WCS Code of Conduct APPROVED 2019-02-26
14/03/2022
20:54:57
pdf 239.39 KB

4. WCS Whistleblower Policy English Approved 2014-05-19 (2017-12-06)
14/03/2022
20:54:57
pdf 198.65 KB

Section 18 - Submission Checklist

Checklist for submission

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

I have attached my completed logframe as a PDF using the template provided	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 included a 1 page CV or job description for all the Project Staff identified at Question 33, including the Project Leader, or provided an explanation of why not.	Checked
I have included a letter of support from the Lead Partner and partner(s) identified at Question 34, or an explanation of why not.	Checked
I have included a cover letter from the Lead Partner, outlining how any feedback received at Stage 1 has been addressed where relevant.	Checked
I have included a copy of the Lead Partner's safeguarding policy, which covers the criteria listed in Question 30.	Checked
I have been in contact with the FCDO in the project country/ies and have included any evidence of this. If not, I have provided an explanation of why not.	Checked
I have included a signed copy of the last 2 annual report and accounts for the Lead Partner, or other evidence of financial capacity as set out in the Financial Guidance, or provided an explanation if not.	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 Darwin Initiative and our sister grant scheme, the IWT Challenge Fund. We also provide occasional updates on other UK Government activities related to biodiversity conservation and share our quarterly project newsletter. You are free to unsubscribe at any time.

Unchecked

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 Darwin Initiative including project details (usually title, lead partner, project leader, location, and total grant value).