



Submit by Monday 1 December 2014

**DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 21: STAGE 2**

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.

Information to be extracted to the database is highlighted blue.

**ELIGIBILITY****1. Name and address of organisation** (NB: Notification of results will be by email to the Project Leader in Question 7)

<b>Applicant Organisation Name:</b>	TRAFFIC International
<b>Address:</b>	219a Huntingdon Road
<b>City and Postcode:</b>	Cambridge, CB3 0DL
<b>Country:</b>	United Kingdom
<b>Email:</b>	
<b>Phone:</b>	

**2. Stage 1 reference and Project title**

<b>Ref 2797</b>	<b>Title (max 10 words)</b> Enhancing management and benefit flows in Vietnam's wild medicinal products.
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**3. Project dates, and budget summary**

<b>Start date:</b> 1 <sup>st</sup> April, 2015	<b>End date:</b> 31 <sup>st</sup> March, 2018			<b>Duration:</b> 3 years
<b>Darwin request</b> (FY Apr – Mar)	<b>2015/16</b> £ 82,487	<b>2016/17</b> £ 119,068	<b>2017/18</b> £ 98,220	<b>Total request</b> £ 299,775
<b>Proposed (confirmed and unconfirmed) matched funding as % of total Project cost:</b> 16%				
<b>Are you applying for DFID or Defra funding?</b> (Note you cannot apply for both)			DFID	

**4. Define the outcome of the project. This should be a repetition of Question 24, Outcome Statement.****(max 30 words)**

Improved market opportunities and skills in sustainable harvesting practices for wild MAPs increases income of 1000 low-income households in Vietnam by 20%, reduces overexploitation and provides models for replication

**5. Country (ies)**

Which eligible host 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>
<b>Country 3:</b>	<b>Country 4:</b>

**6. Biodiversity Conventions**

Which of the conventions supported by the Darwin Initiative will your project be supporting? Note: projects supporting more than one convention will not achieve a higher scoring

<b>Convention On Biological Diversity (CBD)</b>	<b>Yes</b>
<b>Nagoya Protocol on Access and Benefit Sharing (ABS)</b>	<b>Yes</b>

<b>International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)</b>	<b>No</b>
<b>Convention on International Trade in Endangered Species (CITES)</b>	<b>Yes</b>

### 6b. Biodiversity Conventions

**Please detail how your project will contribute to the objectives of the convention(s) your project is targeting. You may wish to refer to Articles or Programmes of Work here.**

Note: No additional significance will be ascribed for projects that report contributions to more than one convention

**(Max 200 words)**

The project will directly support Vietnam's delivery of CBD, Nagoya Protocol and CITES commitments, and also showcase effective implementation approaches to other Parties, e.g. as a case study in the Global Strategy for Plant Conservation (GSPC) implementation toolkit, thereby achieving wider impact.

The project will contribute to all three CBD Objectives with particular focus on sustainable use of biodiversity and equitable benefit sharing. It will also support Vietnam in updating their Aichi-aligned NBSAP. Specifically, it will contribute to the implementation of the Strategic Plan, Aichi Targets 4, 14, 16, 18; and Targets of Objective III of GSPC. The project will also support the delivery of Articles 5, 6, 7, 9, 15 and 17 of the Nagoya Protocol by showcasing a practical model of a benefit-sharing mechanism, contributing to Vietnam's adoption of such a system for the protection of traditional knowledge.

The project is in line with the CITES Strategic Vision 2008–2020 (Resolution Conf. 16.3) and Programme on 'Non-Detriment Findings' (NDFs). By supporting the development of management approach and sustainable harvesting and trade in wild medicinal and aromatic plants (MAPs), the project will create a model for replication for CITES-listed and other species (e.g. via application of NDF guidance).

**Is any liaison proposed with the CBD/ABS/ /CITES focal point in the host country?**

**Yes**  **No**      **if yes, please give details:**

TRAFFIC regularly engages with Vietnam's CBD focal point in the Ministry of Natural Resource and Environment, MoNRE, and the CITES focal point in the Ministry of Agriculture and Rural Development, MARD, to promote policies on sustainable trade and harvesting of Vietnam's wild MAPs following the CBD/Nagoya Protocol and CITES/NDF processes. This engagement would continue and be strengthened through the project proposed here. Vietnam's CITES Management Authority has provided a Letter of Support for the project, endorsing its implementation if funding is secured from the Darwin Initiative.

Specifically, the project case-study will be providing extremely practical and useful input to the CBD, ABS and GSPC focal points as they update Vietnam's National Biodiversity Strategy and Action Plan (NBSAP) and the annual National Report. Furthermore, opportunities will be explored to introduce sustainable use and equitable benefit-sharing from trade of wild-harvested MAPs as a priority target in Vietnam's NBSAP. The project will also contribute to regional CBD capacity-building processes for NBSAPs, ABS and the GSPC. Engagement with Vietnam's CITES focal point will support further uptake of the voluntary Non-Detriment Findings Guidance for Perennial Plants, developed by TRAFFIC and previously piloted in Vietnam for cycads.

7. Principals in project. Please identify and provide a one page CV for each of these named individuals. You may copy and paste this table if you need to provide details of more personnel or more than one project partner.

Details	Project Leader	Project Partner 1 - Main	Project Partner 2
<b>Surname</b>	Compton	Hoang	Tran
<b>Forename (s)</b>	James	Hai Van	On Van
<b>Post held</b>	Senior Programme Director Asia	Director	Associate Professor
<b>Organisation (if different to above)</b>	TRAFFIC	Bac Kan Provincial Forest Protection Department	Hanoi University of Pharmacy and DK Pharma
<b>Department</b>	Senior Management Team	Bac Kan Provincial Forest Protection Department	Department of Botany
<b>Telephone</b>			
<b>Email</b>			

Details	Project Partner -3	Project Lead Institution	Project Lead Institution	Project Lead Institution
<b>Surname</b>	Pham	Nguyen	Timoshyna	Morgan
<b>Forename (s)</b>	Khanh Vu	Mai	Anastasiya	Bryony
<b>Post held</b>	Director, Associate Prof.	Forest Trade Officer	Medicinal Plants Programme Leader	Medicinal Plants Programme Officer
<b>Organisation (if different to above)</b>	Ministry of Health, Vietnam	TRAFFIC	TRAFFIC	TRAFFIC
<b>Department</b>	Traditional Medicine Administration	Greater Mekong Regional Office	Medicinal and Aromatic Plants Trade Programme	Medicinal and Aromatic Plants Trade Programme and FairWild
<b>Telephone</b>				
<b>Email</b>				

**8. Has your organisation been awarded a Darwin Initiative award before** (for the purposes of this question, being a partner does not count)? **If so, please provide details of the most recent awards (up to 6 examples). No**

Reference No	Project Leader	Title

**9a. If you answered 'NO' to Question 8 please complete Question 9a, b and c.**

**If you answered 'YES', please go to Question 10** (and delete the boxes for Q9a, 9b and 9c)

What year was your organisation established/ incorporated/ registered?	<b>1999</b>
What is the legal status of your organisation?	NGO Yes Government No University No Other (explain) Private Company limited by guarantee. Registered UK Charity.
How is your organisation currently funded? (Max 100 words)	TRAFFIC International receives both restricted (for project activities) and unrestricted funds (treated as income for the direct operation of the charity). Unrestricted funds are received from TRAFFIC's partner organisations IUCN and WWF and through corporate/individual donations as well as project support fees. Restricted funds are a received in the form of grant contracts from a variety of foundations, governments, multilaterals and again TRAFFIC's partner organisations IUCN and WWF. These contracts dictate project duration, activities and deliverables.
Have you provided the requested signed audited/independently examined accounts?	Yes

**9b. DO NOT COMPLETE IF YOU ANSWERED 'YES' TO QUESTION 8.**

**Provide detail of 3 contracts previously held by your organisation that demonstrate your credibility as a research organisation and provide track record relevant to the project proposed. These contracts should have been held in the last 5 years and be of a similar size to the grant requested in your Darwin application.**

Contract 1 Title	Developing a model for the sustainable wild collection of medicinal plants through the implementation of FairWild in Vietnam
Contract Value	USD79,962
Contract Duration	2 years
Role of organisation in project	TRAFFIC managed and implemented the project, largely through its Greater Mekong Office and subcontracted local partners to carry out some project activities.
Brief summary of the aims, objectives and outcomes of the contract.	Aims: 1. Mirror successful approaches taken by earlier FairWild projects and to apply and adopt the FairWild Standard for use in Vietnam; 2. Increase in financial income to approx. 50 households engaged in sustainable harvest and trade through increased and improved market links, integration of value addition mechanisms providing a high quality of products and establishment of suitable benefit sharing mechanism.

	<p>Objectives: Prioritize and select species at risk of overexploitation through commercial trade; Establish conditions for sustainable collection and trade in selected species through: FairWild Standard contextualization and implementation; Species resource assessments; Training of harvesters; Setting sustainable harvesting quotas; Development of management plan.</p> <p>Outcomes: the project developed a management plan for two species of medicinal plants distributed in the buffer zone of Nam Xuan Lac Species and Habitat Conservation Area (<i>Alpinia</i> and <i>Amomum</i> spp). The project also trained 103 medicinal plant collector households from seven villages in sustainable harvesting techniques, and helped them obtain more stable income by obtaining harvesting licenses, increasing their access to information on market prices, and adding value to harvested products.</p>
Client reference contact details (Name, e-mail, address, phone number).	<p>Contracted by: Critical Ecosystem Partnership Fund (CEPF) Jack Tordoff, Grant Director 2011 Crystal Drive, Suite 500, Arlington, VA 22202, USA</p> <p>TRAFFIC Contact: Chris R Shepherd Southeast Asia - Regional Office Address: Unit 9-3A, 3rd Floor, Jalan SS23/11, Taman SEA, 47400 Petaling Jaya, Selangor Malaysia</p>

Contract 2 Title	Development of Training modules for CITES non detriment findings (NDF) for plants
Contract Value	EUR131,488
Contract Duration	2 years
Role of organisation in project	TRAFFIC managed and monitored the project: including organisation and coordination of input into expert meeting in Mexico, organisation of workshop (including development of training modules) in Vietnam and hiring of researcher in Vietnam.
Brief summary of the aims, objectives and outcomes of the contract.	<p>Aims to improve the guidance and training tools available to assist Scientific Authorities in making non-detriment findings for perennial plants, building on existing work and significant recent advances.</p> <p>Objectives to develop (consolidate and finalize) guidelines for making NDFs for perennial plants, develop training modules for Scientific Authorities for NDF workshops focusing on key perennial plant taxa and carry out a workshop to train SAs in Vietnam.</p> <p>Outcomes: An expert meeting convened in Mexico discussed and revised the NDF guidelines that resulted from the working group on Perennial Plants at the International Expert Meeting on Non-detriment findings in Cancun in 2008. Discussions on content required for capacity building training workshops for NDFs, which has informed further revision of the guidelines. Discussions have also been held with the Vietnamese Management Authority in advance of holding a training workshop there later in the year. TRAFFIC Viet Nam has contracted a consultant to carry out background research into some Cycad species in preparation for that workshop. Results of this project was presented at the CITES CoP and made available to Parties to assist them with making non-detriment findings.</p>
Client reference contact details (Name, e-mail, address, phone)	<p>Contracted by: Bundesamt fur Naturschutz (BfN) Konstantinstraße 110, 53179 Bonn Herr Kirschbaum</p>

number)	TRAFFIC Contact: Thomasina Oldfield, TRAFFIC International, 219a Huntingdon Rd, Cambridge CB3 0DL, UK
Contract 3 Title	Responsible Asia Forestry and Trade Programme (RAFT) 2
Contract Value	USD600,000
Contract Duration	1 year
Role of organisation in project	TRAFFIC led work in the following areas; development of practical guidance for establishing legality verification, execution of training events and development of training packages, research in support of developing national legality standards, establishing baselines and future monitoring.
Brief summary of the aims, objectives and outcomes of the contract.	<p>2<sup>nd</sup> in the series of RAFT originally funded by USAID to help strengthen financial and policy incentives and develop human and institutional capacity to manage forested landscapes in Asia more responsibly and bring more transparency to global wood products trade.</p> <p>RAFT 2 activities contributed to overall goal of: 'The proportion of internationally traded, legally verified wood products derived from responsibly managed forests yielding reduced carbon dioxide emissions from land management and land use change is increased, compared to the 'business as usual' scenario in selected Asia – Pacific countries.'</p> <p>Objectives were:</p> <ul style="list-style-type: none"> <li>• To increase the number of producer countries, factories and forest management units with robust and practical legality standards and verification systems for trade in forest products that align with the laws of key consumer countries.</li> <li>• To reduce emissions from both improved natural forest management and land use decision making about the establishment of wood plantations in key producer countries.</li> <li>• To generate and disseminate information about responsible forestry and trade, land use decision making about the establishment of wood plantations and the incorporation of these issues into national and global frameworks for REDD+</li> </ul> <p>Outputs: Updated/assembled national legality frameworks for Lao PDR, Myanmar, PNG, China and Vietnam, updated Sourcing and Exporting guides and training kits developed. 80 companies in China, Lao PDR and Vietnam trained in legality standards and verification systems. Training packages developed for 3<sup>rd</sup> party use. Report documenting existing approaches and standards for legality compliance within the region published. Documented policies and practices for baseline and future monitoring reporting on policies, practices and current efforts to control illegal logging and associated trade in China, Indonesia, Lao PDR, PNG and Vietnam.</p>
Client reference contact details (Name, e-mail, address, phone number).	<p>Contracted by :Lisa Dietz World Wildlife Fund 1250, 24<sup>th</sup> Street, NW Washington 20037 1193</p> <p>TRAFFIC Contact: Chen Hin Keong Southeast Asia - Regional Office Address: Unit 9-3A, 3rd Floor, Jalan SS23/11, Taman SEA, 47400 Petaling Jaya, Selangor Malaysia</p>

**9c. DO NOT COMPLETE IF YOU ANSWERED 'YES' TO QUESTION 8.**

**Describe briefly the aims, activities and achievements of your organisation. (Large organisation please note that this should describe your unit or department)**

**Aims (50 words)**

TRAFFIC, the wildlife trade monitoring network, is the leading non-governmental organization working globally to help ensure that trade in wild animals and plants is not a threat to the conservation of nature.

**Activities (50 words)**

TRAFFIC specialises in investigating and analysing wildlife trade to provide the leading knowledge base on the issue. TRAFFIC advises the private sector on sustainability standards and best practice; supports governments to adopt, implement and enforce effective policies and laws; and designs effective communications aimed to dissuade purchasing of illicit wildlife

**Achievements (50 words)**

Over the past two decades, TRAFFIC co-developed the FairWild Standard, best-practice guidelines for sustainable harvesting and equitable trade in wild plants. The FairWild Standard has been implemented in Cambodia, China, India, Nepal, Vietnam, Brazil, Bosnia and Herzegovina, Lesotho, and South Africa, ground-truthing its applicability to communities, private sector and governments.

**10. Please list all the partners involved (including the Lead Institution) 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. Please provide written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships.**

**Lead institution and website:**

TRAFFIC

<http://www.traffic.org/>

**Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)**

TRAFFIC's mission is to ensure that trade in wild animals and plants is not a threat to the conservation of nature. TRAFFIC's work is co-ordinated by TRAFFIC International in Cambridge, UK. TRAFFIC's Greater Mekong Office is based in Hanoi, Vietnam and operates under a Vietnamese Government licence (2000).

TRAFFIC has engaged in the Bac Kan province through field projects since 2011, building a resilient partnership with provincial and national-level partners, and securing the engagement and agreement to project activities from the target communities.

TRAFFIC will provide project management and the coordination of activities in Vietnam. TRAFFIC staff will implement activities on the ground in Bac Kan, following from the four years of project implementation in the area, jointly with project partners. TRAFFIC will engage with government agencies and wider stakeholder groups, and disseminate project results. TRAFFIC's team includes competent staff with proven project management and technical skills, in particular the globally recognized sustainable wild-harvesting and trade areas of expertise. Additionally, TRAFFIC's team includes strong FairWild Standard expertise. For expertise on social safeguarding measures, market linkages development, as well as poverty alleviation and gender-information disaggregation, TRAFFIC will engage consultants with relevant expertise.

<p><b>Partner Name and website where available:</b></p> <p>Bac Kan Forest Protection Department Ministry of Agriculture and Rural Development <a href="http://sonnptnt.backan.gov.vn/">http://sonnptnt.backan.gov.vn/</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>Bac Kan Forest Protection Department (FPD) is a provincial law enforcement and resource management agency responsible for forest protection. FPD signed a five-year Memorandum of Understanding with TRAFFIC, and engaged in joint project activities since 2011, including training delivery, liaison with communities and the development of species management plan.</p> <p>FPD will play a key partner role in coordinating and implementing the project activities within the Bac Kan province. It will lead on confirming the target communities in Nam Xuan Lac Species and Habitat Conservation Area, Kim Hy Nature Reserve, Ba Be National Park and Ngan Son district, with potential to engage in MAPs sustainable collection and trade, based on the local needs to increase and stabilise the income. FPD will lead the development of MAPs species and areas management plans and monitoring system for species populations.</p> <p>FPD will provide a liaison between local communities and authorities on production side, and processors and end-users along the value trade chain to ensure an effective benefit-sharing mechanism.</p> <p>FPD will further lead on developing a provincial strategy for the conservation, use and trade of medicinal resources, including their market potential. This strategy will contribute to Vietnam's commitments under the CBD, Nagoya protocol and CITES.</p>	
<p>Have you included a Letter of Support from this institution?</p>		<p>Yes</p>
<p><b>Partner Name and website where available:</b></p> <p>Alliance of: DK Pharma <a href="http://dkpharma.vn/gioi-thieu/">http://dkpharma.vn/gioi-thieu/</a> DK Natural Products Joint Stock Company (DK Natura) <a href="http://dknatura.vn/">http://dknatura.vn/</a> Hanoi University of Pharmacy <a href="http://www.hup.edu.vn/en/Pages/NewsEvent.aspx">http://www.hup.edu.vn/en/Pages/NewsEvent.aspx</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>This project partner constitutes an alliance of the Hanoi University of Pharmacy, DK Pharma (pharmaceutical manufacturer, Hanoi) and DK Natural, a community enterprise in Thai Nguyen Province, 80 km from the project site).</p> <p>In the project, DK Natura and DK Pharma have committed to being the processor and distributor of <i>Gynostemma pentaphyllum</i> products at domestic market levels. In September 2014, a draft Memorandum of Understanding was close to conclusion between TRAFFIC, FPD, DK Pharma, DK Natura, and the local collectors group, regarding companies' commitment to buying the sustainable wild-collected products including the benefit-sharing mechanism and the payment of premium prices.</p> <p>The alliance's knowledge and experience of research on pharmaceutical botany and domestic trade, will enable technical support to collectors in implementing the sustainable harvesting practices (including identifying additional MAP value-chains for product development and marketing) through applying the FairWild Standard. These partners will also play a key role in negotiation with potential international clients in establishing an ABS mechanism for actors along the value trade chain and in promoting the FairWild Standard in the pharmaceutical industry sector in Vietnam. The potential of DK Natura's institutional model as a basis for community organisational structures within this project will also be explored.</p>	
<p>Have you included a Letter of Support from this institution?</p>		<p>Yes</p>



<p><b>Partner Name and website where available:</b></p> <p>Traditional Medicine Administration Ministry of Health <a href="http://www.moh.gov.vn/pages/home.aspx">http://www.moh.gov.vn/pages/home.aspx</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>Within Vietnam's government, the Traditional Medicine Administration (TMA) is responsible for the management of national laws and regulations, implementation regarding traditional medicine, directing and monitoring expert works, and evaluating professions in the pharmaceutical sector including medical care, comprehensive management of medicinal materials, traditional medicines, herbal medicines, supplementary medicines and cosmetics.</p> <p>In this project, TMA would play a specific role in strengthening action with regard to better governance and scaling-up of the activities. TMA will support the replication of project experiences throughout the sector, to other medicinal plant species and collecting communities. It will further collaborate with both MARD and MoNRE in the development and implementation of resource management policies regarding sustainable MAP management in order to assist the government of Vietnam to fulfil its obligations under the CBD/Nagoya Protocol and CITES/NDF. TMA will promote sustainable wild collection practices of MAPs to contribute to achieving the Aichi Biodiversity Targets and to the forthcoming Sustainable Development Goals (SDGs), in compliance with the Targets on the protection of traditional knowledge under the CBD, and support the development of an internationally competitive sustainable and responsible enterprise sector.</p>	
<p>Have you included a Letter of Support from this institution?</p>		<p>Yes</p>

<p>11. Have you provided CVs for the senior team including the Project Leader</p>	<p>Yes</p>
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## 12. Problem the project is trying to address

Please describe the problem your project is trying to address. For example, what biodiversity and challenges will the project address? Why are they relevant, for whom? How did you identify these problems?

(Max 200 words)

Bac Kan province in Northern Vietnam is an important source of MAPs, which provide critical contributions to health and livelihoods (up to 20% of income) of low-income, rural communities. In 2013, the poverty rate in Bac Kan was 18.6%, double the national figure of 9.9%. Ongoing wild-collection activities at four project sites, mostly buffer zones of protected areas, are often illegal and unsustainable. Wild MAP populations have been declining for the last two decades as a direct result of overharvesting, often driven by illegal export to China, however some MAP species provide opportunity for sustainable harvest. The majority of collectors are women, and belong to ethnic minority groups, including Tay, Dao, H'mong, Nhung and Hoa.

Overharvesting and unsustainable trade is partly a consequence of insufficient practical experience in sustainable MAP management, and the nature of relationships between local collectors and buyers. Improving links along trade chains, coupled with building local communities' and government capacity in sustainable harvesting and equitable trade, are crucial conditions for the conservation of MAPs and improved incomes for local collectors. TRAFFIC and FPD have worked in the area since 2011, securing engagement of communities, and commitments from buyers in purchasing sustainable products.

## 13. Methodology

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on how you will undertake the work (materials and methods) and how you will manage the work (roles and responsibilities, project management tools etc.).

(Max 500 words – repeat from Stage 1 with changes highlighted)

The project focuses on increasing **the income derived from sustainable wild MAP collection for 1000 households** in the buffer zones of the Nam Xuan Lac Species and Habitat Conservation Area, Kim Hy Nature Reserve, Ba Be National Park and Ngan Son district of Bac Kan province. It provides tailored support to implement sustainable production of the following MAPs known to be overexploited in the project areas: *Gynostemma penthaphyllum*, *Cibotium baromitz* (CITES Appendix II), *Alpinia* spp. and *Amomum* spp.. These were identified through community consultation, trader and manufacturer interviews, and consultations with FPD. Project partners will support provision of value-addition mechanisms, ensuring the quality of products while assisting in increased income-generation for local collectors through improved market access and support to certification. DK Pharma (VN) has committed to purchasing *Gynostemma penthaphyllum*. In addition, Nu Herbs (USA) expressed interest in buying *G. penthaphyllum* once FairWild-certified, and Pukka Herbs (UK) in linking the project to their supply chains in Vietnam. Buyers in Vietnam have also offered premium prices for *Alpinia* and *Amomum* produced by the project. The FairWild Standard will be used to verify sustainable harvesting and equitable trade, including third-party certification where desired by participating companies.

The project will conduct MAP resource inventories and support development of management plans, including population monitoring to verify over-exploitation is reduced and sustainable use achieved.

The project team will work closely with identified stakeholders including 1000 local collectors, traders, processors, product manufacturers and government agencies to **improve market opportunities for selected MAP species enabling the identification and scaling up of successful approaches, partnerships and agreements for sustainable production and supply**. The project activities targeting low-income households, include: support to the registration of local organizations, value chain mapping, links to traders and manufacturers, discussing mechanisms of benefit sharing to receive better price for the wild-sourced products, resource assessments and species specific sustainable harvesting guidelines, processing and marketing of products.

A value-chain approach, encouraging community-based management, can increase market access for products while sustainable harvesting and trade of MAPs can provide homegrown jobs that encourage independence and economic growth. Activities that generate additional income for local communities from alternative forest uses are seen as an important incentive for species conservation, which, can stimulate community support for the sustainable management and conservation of forests.

The project will implement **a voluntary sustainable production scheme implemented by local collectors**. Training materials will be developed and delivered to ensure local communities and manufacturers understand FairWild Standard and certification requirements. Technical support will be provided to implement a benefit-sharing mechanism.

The project entails strong collaboration with governmental agencies, by building their capacity, strengthening their leadership and delivery of CITES and CBD commitments.

TRAFFIC will provide overall project coordination and implementation; Bac Kan FPD will support community linkages, development of species management plans, and training; DK Pharma will provide technical support on quality of products and value-chain development; and the Traditional Medicine Administration will provide policy leverage and up-scaling in Vietnam. Additional consultants and experts will be engaged with socio-economic and livelihoods expertise.

#### 14. Change Expected

Detail what the expected changes this work will deliver. You should identify what will change and who will benefit.

- If you are applying for Defra funding this should specifically focus on the changes expected for biodiversity conservation and its sustainable use.
- If you are applying for DFID funding you should in addition refer to how the project will contribute to reducing poverty. Q19 provides more space for elaboration on this.

(Max 250 words)

The project will use a value-chain, co-management approach, rigorous standards for sustainable harvesting, and improved coordination between MAP collectors and managers to reduce overexploitation and facilitate market access for sustainable MAP products, resulting in additional income generation for low-income households.

By the project completion:

- **Overexploitation reduced** and **sustainable management schemes** developed and in place for four or more species harvested in Bac Kan province
- **Provisioning services** provided by MAPs **maintained in protected area buffer zones** and harvest pressure within protected areas reduced
- FairWild **certification** providing an additional incentive for sustainable use and adherence to **verifiable sustainable production principles** for wild MAPs.
- Collectors with **improved knowledge of sustainable management practices and market opportunities**, thereby gaining confidence in making successful trade connections.
- **Collectors' organisation(s) established and** providing a stronger basis for community engagement and influence, particularly benefitting women and ethnic minorities, who make up the majority of collectors.
- **Benefit-sharing mechanisms** ensuring fairer market relations and intra-community equity;
- **Improvements in national and international market access** linked to commitments from Vietnamese and US buyers *Gynostemma pentaphyllum*.
- At least **1000 low-income wild-harvesting households in Bac Kan province** receive at least 20% **increased income** from sustainable MAP harvest.
- Bac Kan government **will develop and implement policies supportive of sustainable co-management of MAP resources through multi-stakeholder involvement** in decision-making.
- The project model will **inform wider national-level change** towards sustainable MAP management, including through MonRE's capacity to update Vietnam's NBSAP and improve CBD reporting.

**15a. Is this a new initiative or a development of existing work (funded through any source)?**

**Please give details (Max 200 words):**

This project is a development of existing work and will extend approaches already established by TRAFFIC within Bac Kan Province to a wider range of communities and project sites.

TRAFFIC has supported implementation of the FairWild Standard in a project funded by Critical Ecosystems Partnership Fund (CEPF) in 2011-2013 and Keidanren Nature Conservation Fund (KNCF) in 2013-2015 in the target area. Under this project, TRAFFIC engaged with FPD in the Nam Xuan Lac Species and Habitat Conservation Area on the sustainable management of MAP species threatened with overharvesting in a buffer zone of protected area. A five-year Memorandum of Understanding was signed with the FPD allowing project operations, approved by the Bac Kan Provincial People's Committee. Over 100 households in 7 villages were trained in sustainable harvesting methods and a management plan for *Alpinia* and *Amomum* was developed. We also carried out a market and initial value-chain analysis for target MAP species, confirmed the commitment of DK Natura and DK Pharma to purchase sustainable MAP ingredients from involved communities, building ground for value-chain development. The project also ensured the social safeguarding monitoring through households surveys.

The proposed Darwin Initiative project will provide needed resources to continue and scale-up these activities.

**15b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?**  Yes  No

If yes, please give details explaining similarities and differences, and explaining how your work will be additional to this work and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits:

This project builds on and will link to past and current projects in both Vietnam led by TRAFFIC, the German Development Agency (GIZ), other international and local institutions. For example, work under the SECO funded BioTrade project, implemented by the Swiss Development Agency Helvetas, will complement project activities put forward for funding by the Darwin Initiative. The BioTrade project creates a national-level network of enterprises involved in trade in biological resources, while the project proposed here will focus on concrete value-chains working from the ground up. Mechanisms to ensure effective collaboration include participation by TRAFFIC in BioTrade project meetings and participation by key Biotrade project representatives in relevant events organised by TRAFFIC under the CEPF/KNCF-funded work currently ongoing.

The Darwin Initiative project proposed here will also support and inform other value-chain projects in the region, including those implemented by organizations including Belgian BTC, SECO and GIZ. Working with national institutions already engaged in value chain work on MAPs will also provide direct links to other value chains in the Mekong region.

**15c. Are you applying for funding relating to the proposed project from other sources?**

Yes  No

If yes, please give brief details including when you expect to hear the result. Please ensure you include the figures requested in the spreadsheet as Unconfirmed funding.

TRAFFIC will submit a funding application to the Keidanren Nature Conservation Fund (KNCF), to match Darwin Initiative funding. It is expected that the result of project selection will be announced in March 2015 (project implementation matching the first year of Darwin project: between April 2015 and March 2016).

Further opportunities for funding will be explored from other donors, including producer support programmes (for example the Belgian Trade Cooperation, BTC), other government and private sector funding sources.

**16. 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?

The project will be implemented building on the significant existing project management and technical experience and expertise of TRAFFIC and local partners in Vietnam. The project team will involve staff with relevant necessary expertise and skills (on value-chains and business development, sustainability of MAPs harvest, biodiversity conservation, policy advocacy), complemented as necessary by the external consultants expertise (socio-economic, resource inventories, management and monitoring). Partners have an excellent track record in project implementation in Vietnam, and the cost-effectiveness of implementation has been demonstrated in projects that Darwin Initiative project builds on in Bac Kan province.

The agreement from local communities to engage with project activities has been secured, and a Memorandum of Understanding with the province-level government agency is signed, both ensuring that the project can start without delay.

A significant contribution of in-kind support will be provided by project partnership building on existing expertise and skills of engaged staff and infrastructure.

By aiming to create numerous benefits to low-income ethnic communities coupled with the sustainable use and conservation of MAP resources, the project in itself provides good value for DFID support. By building on a current project that reaches over 100 households and scaling-up impact to over 1000 households, as well as creating positive change in the enabling environment, the project approach is financially efficient. Skills developed through the project training programme will be transferrable to different areas of collectors' activities, and cost-efficient processing equipment and training on operating it will insure the long-term practical impacts of the project.

**17. Ethics**

Outline your approach to meeting the Darwin Initiative's key principles for research ethics as outlined in the guidance notes.

(Max 300 words)

TRAFFIC's Greater Mekong Office in Hanoi operates under a Government of Vietnam licence since 2000 and has implemented numerous projects within Vietnam. The project will involve collaboration and co-ordination with appropriate Vietnamese government agencies (MARD, MoH, MoNRE). MoH is project partner, while other agencies have been consulted and strongly support this application. CITES and CBD, as relevant, will be updated at key stages throughout the project. This will ensure their support and links to parallel activities in Vietnam (e.g. BioTrade network) and other countries.

The project embodies the principles of the FairWild Standard, an internationally-recognized best practice for sustainable use and trade in wild-collected plants. Respect for customary rights, traditional knowledge, and access and benefit-sharing, are its key principles. It also prevents discrimination based on race, colour, ethnic origin, religion, sex or political opinion.

The project supports greater gender equality in rural communities by increasing benefit flows and empowerment of collectors, of which in current Bac Kan project over 2/3 are women. It will also help maintain access to healthcare reducing local depletion of critical medicinal plant species and maintaining supplies of plants used in pharmaceuticals and traditional medicine.

The project will ensure social safeguards are monitored in the engagement with collecting communities, through the periodic reviews.

Research to identify and map the current trade chains has already been conducted with additional work planned for specific MAP species. Where consultants will be involved in project, the selection will be carried out through a competitive tender process.

MAPs have been used historically in formalised traditional medicine systems and project is built on the recognition and importance of this system. The project will engage with Vietnamese traditional medicine practitioners, media and formal traditional medicine associations, ensuring that the activities and outputs are supportive and respectful of people's belief in traditional medicine.

## 18. Legacy

Please describe what you expect will change as a result of this project with regards to biodiversity conservation/sustainable use and poverty alleviation (for DFID funded projects). For example, what will be the long term benefits (particularly for biodiversity and poor people) of the project in the host country or region and have you identified any potential problems to achieving these benefits?

(Max 300 words)

The project's medium and long-term benefits are: Increased livelihood benefits for low-income forest-dependent ethnic minority groups in northern Vietnam through; the stabilization of the populations of target medicinal and aromatic plant species, declining due to overexploitation in Bac Kan province, including for resilient climate change response; and the improved environmental governance of MAPs trade in Vietnam.

Most of the key community links are already established by TRAFFIC and FPD in the Bac Kan province, reducing the risk of stakeholders not willing to collaborate under the project. The project's early engagement with DK Natura and DK Pharma, as well as exploring international trading link with Nu Herbs, Pukka Herbs and others will be based on the FairWild premises of sustainable harvesting and equitable trade, making the supply chain output successful. Initial project investment in the area by partners, including into training and processing/drying equipment allowed building trust with communities and local partners. The nearby mining area (from some project sites), may contribute to the levels of heavy metals exceeding the requirements of international markets, however laboratory test confirmed they would be compliant.

Although the main focus of the project is Bac Kan province of Vietnam, the linkage between biodiversity benefit and poverty reduction will create a model for Vietnam. Besides, the model also help Vietnam to develop appropriate policy and regulations which will support the national

delivery against the Nagoya protocol, CBD, and CITES as well as support the fair access and benefit-sharing established with other countries in accessing Vietnam's genetic resources. On a higher level, the project legacy would link to the national-level examples of measures and models in support of the delivery against the Millennium Development Goals (as well as the post-2015 Sustainable Development Goals).

### 19. Pathway to poverty alleviation

Please describe how your project will benefit poor people living in low-income countries. All projects funded through DFID in Round 21 must be compliant with the OECD Overseas Development Assistance criteria. Projects are therefore required to indicate how they will have a positive impact on poverty alleviation in low-income countries.

(Max 300 words)

The project will have direct and indirect impacts on poverty alleviation for MAP-harvesting communities in Bac Kan province linked to: **income, health, employment, empowerment, food security, and vulnerability.**

The project will build capacity on MAP quality and value-addition, directly influencing selling prices and **income**-generation. Long-term commitments from trading partners will be sought reducing communities' **vulnerability**. Committed industry partners with relevant technical expertise will support quality assurance, value-addition and market access. The project supports certification, creating additional **economic benefit flow** mechanisms to communities and facilitating industry engagement.

**Employment** opportunities for ethnic minorities and women, who typically lack secure access to land and therefore rely on forest resources for raw materials and income, will be increased through establishing local organizations; negotiation and trading skills; and supporting fair trading relations.

Community Fund proceeds from MAP sales will be shared with non-collecting households and re-invested in resource management, strengthening **inter-community cohesion**.

Sustainable harvest of MAPs will maintain community access to species used in traditional medicine and foods, contributing to **health** and well-being.

Engagement in decision-making and resource management will **empower** women and ethnic minorities - the main MAP collectors. Collector registration with FPD supporting the right to harvest legally and sustainably will contribute to sustainable livelihoods. A more enabling policy environment prioritizing sustainable MAPs co-management will recognize the role of harvesting communities and practical approaches to benefit-sharing.

MAPs provide complementary income improving inter-seasonal **food security** for households with limited access to land, and particularly in seasons in-between harvests and when crops yields are low.

The impact on poverty alleviation and the attribution of such impacts to the Darwin Initiative investment will be monitored according to the project indicators. The project will also monitor the biodiversity benefits of the project, which are critical to enabling access of communities to MAP resources in the long term.

#### 19a. Impact to beneficiaries

If applying to DFID funding, please indicate the number of beneficiaries who are expected to be impacted by your project. If possible, indicate the number of women who will be impacted.

1,000 low-income ethnic households in Bac Kan province, including those living in buffer zones of the Nam Xuan Lac Species and Habitat Conservation Area, Kim Hy Nature Reserve, Ba Be National Park and Ngan Son district of Bac Kan, of which over 50% expected to be women (2/3 of those engaged under the current project working with over 100 households are women).

Bac Kan has high poverty rate, which in 2013 was 18.55%, double the national figure. In some participating communes (Xuan Lac and Ban Thi), 45% of 986 households live in extreme poverty, earning around USD10/person/month, while poverty estimates by the provincial People's Committee suggest that 80-90% of the population of SXL SHCA is below the national

poverty line. The reliance on wildlife offtake is high with MAP harvesting providing a source of income (up to 20%) and medicine. Continued commercial harvesting for MAPs at the current level prior to project interventions will undoubtedly have negative impacts for households' livelihoods, through future loss of commercial income as well as through potential loss of species used for traditional medicine practices.

The gender disaggregated baseline and progress information will be collected on the duration of the project with specific regards to impacts on women.

## 20. Exit strategy

State whether or not the project will reach a stable and sustainable end point. If the project is not discrete, but is part of a progressive approach, give details of the exit strategy and show how relevant activities will be continued to secure the benefits from the project. Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

The project will enable and support local authorities in taking a pro-active role to both MAP management and community interactions. Linked with communities empowered through training, establishment of collectors' organizations, stronger role in resource management, this will create a local-level long-term impact from the project.

Industry commitments and trading relations developed throughout the project will ensure the viability of project outcomes beyond the project lifetime, being built on the assumptions of long-term trustful commercial relations and benefit-sharing. The project will also link to the existing initiatives in Vietnam, including the BioTrade network for replication.

The increased acceptance of government and industry of the FairWild principles adoption in national and provincial legislation in line with provisions of the CBD, the Nagoya protocol and CITES will create policy incentives for the sustainable harvesting of MAP resources. This in the long-term will make sustainable MAP supplies available to companies and traditional medicine practitioners, supporting the rural population's health care.

Vietnam's government involvement in the project and support will increase its capacity to lead and implement further work on management of MAPs beyond the project and in additional locations.

Additional funding requests will be developed to ensure that the long-term actions required continue.

## 21. Raising awareness of the potential worth of biodiversity

If your project contains an element of communications, knowledge sharing and/or dissemination please provide a description of your intended audience, how you intend to engage them, what the expected products/materials there will be and what you expect to achieve as a result. For example, are you expecting to directly influence policy in your host country or is your project a community advocacy project to support better management of biodiversity?

(Max 300 words)

Building the awareness and capacity of collector communities and resource managers in Bac Kan in sustainable collection of MAP resources is core to the project. Partners will develop interactive training materials building on the FairWild Standard and previous training programmes, in local languages.

The project will further showcase its progress and successes in areas including linked to sustainable MAP resource management, practical approaches of benefit-sharing mechanisms, negotiating multi-stakeholder agreements and arrangements for sustainable resource management and trade in wild-harvested products, compliance with CITES requirements for international trade in CITES-listed species, and the operationalization of the third-party certification systems in wild-collection.

These experiences will be shared through a number of channels ensuring the contribution to policy development, as well as peer-to-peer industry exchange, and replication to other areas. For example, project will contribute to the multi-stakeholder forum on private sector leadership and the BioTrade network in Vietnam.

Printing and translation costs, as well as costs of conducting workshops and meetings are built into the project budget to support the extension activities.

A request was made by FPD about the project support to the development of sustainable MAPs management strategy, and the operational regulations for the implementation of the Decision 435/2010/QĐ-UBND on harvest, use and trade of medicinal plants in Bac Kan province, which presently provides only the overall framework for action. On the national level, TMA will collaborate with MARD and MoNRE in the development of MAP resource management policies to assist the fulfilment of Vietnam's international obligations. The partners will advocate for sustainable MAPs management and reduction of over-exploitation included among priorities in Vietnam's NBSAP and case presented in the CBD National Report. On the international level, the project will be presented for inclusion in CBD's GSPC toolkit and as a case-study in support of the Nagoya Protocol implementation.

## 22. Access to project information

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

(Max 250 words)

Outputs generated by the project, including consultancy and progress reports, datasets, peer-reviewed and other journal articles of interest to other stakeholders will be made available on-line through TRAFFIC website and partners' websites whenever possible.

Technical aspects of the project approach, specifically the development and practical implementation of the access and benefit sharing mechanism will be made available through the organisations' websites and submitted to appropriate peer-reviewed journals. The methodology will be presented at workshops including side-events at the CBD/CITES CoP or intersessional technical meetings, as appropriate, thereby providing generic methodologies applicable to, e.g., other ABS projects.

Costs sought from Darwin for this include the project partners' staff costs, consultancies activities, and travel costs for project outcomes dissemination.

The project entails strong collaboration with Vietnam's government agencies, will build their capacity and support the implementation of MAPs sustainable management approaches, and delivery against CBD and CITES national commitments. It will also foster innovative partnerships between local low-income collectors and companies. The unique nature of this partnership in the context of Vietnam will assist with ensuring the activities receive wide media coverage. This will further facilitate access to the project's information and approach. The project will also collaborate with other Civil Society Organizations. These collaborations and joint efforts will assist in ensuring the lessons learned and insights gained during the project will be available to the wider community working to address issues around management of these resources but also public health concerns both within Vietnam but also in other countries.



### 23. Importance of subject focus for this project

If your project is working on an area of biodiversity or biodiversity-development linkages that has had limited attention (both in the Darwin Initiative portfolio and in conservation in general) please give details.

(Max 250 words)

MAPs play a critical role in the health care for millions of people in developing countries. Increasingly the source plants for these products are becoming threatened by the increasing demand and unsustainable collection. The trade in MAPs doubled in the past decade, while one in five plants is estimated to be threatened. Despite increasing threats to public health care systems, traditional medicine practices and low-income livelihoods from over-harvesting and unsustainable trade, very little attention is paid to the uncontrolled harvesting and trade in these species.

While a great deal of attention has been paid to the use and trade in animal products very little has been provided to assess the conservation status of most medicinal plant species (estimated 3% of the world's well-documented medicinal flora has been evaluated for global conservation status) or to support long-term management and conservation of plant species. Although medicinal plants are often recognized as a component of biodiversity contributing to national healthcare and economies, this value is rarely reflected in government policies promoting sustainable use and protecting threatened resources.

Where policies were in place, research has shown that trade in MAP species often continues unregulated and unabated with little if any enforcement of existing trade regulations and requirements. As a result over exploitation of resources continues to threaten public health care systems in many developing countries.

Little work has also been done to encourage consumers to support sustainably collected products in key consumer markets and to support capacity building and income generation in low-income collectors.

### 24. Leverage

#### a) 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.

#### Confirmed:

TRAFFIC has committed match funding for communications, technical support and stakeholder liaison, which will be used to cover partial salary and associated position costs for staff in Vietnam, with additional in-kind support.

Further contributions of matching staff time will be provided by project partners FPD and TMA, while DK Pharma will provide salary costs for engagement as in-kind contribution (hence no salary cost allocated to DK Pharma in the budget).

#### b) Unsecured

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

Date applied for	Donor organisation	Amount	Comments
10 December 2014	KNCF	GBP25.000	This funding is the third Phase of the project (funds disbursed every year, so resubmission required). High level of confidence that it

## PROJECT MONITORING AND EVALUATION

### MEASURING IMPACT

#### 25. LOGICAL FRAMEWORK

Darwin projects will be required to report against their progress towards their expected outputs and outcomes if funded. 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.

The information provided here will be transposed into a logframe should your project be successful in gaining funding from the Darwin Initiative. The use of the logframe is sometimes described in terms of the Logical Framework Approach, which is about applying clear, logical thought when seeking to tackle the complex and ever-changing challenges of poverty and need. In other words, it is about sensible planning.

#### Impact

The Impact is not intended to be achieved solely by the project. This is a higher-level situation that the project will contribute towards achieving. All Darwin projects are expected to contribute to poverty alleviation and sustainable use of biodiversity and its products.

(Max 30 words)

Increased livelihood benefits for low-income forest-dependent, ethnic minority groups in northern Vietnam through sustainable harvesting and equitable trade in medicinal and aromatic plant resources, contributing to improved environmental governance.

#### Outcome

There can only be one Outcome for the project. The Outcome should identify what will change, and who will benefit. The Outcome should refer to how the project will contribute to reducing poverty and contribute to the sustainable use/conservation of biodiversity and its products. This should be a summary statement derived from the answer given to question 14.

(Max 30 words)

Improved market opportunities and skills in sustainable harvesting practices for wild MAPs increases income of 1000 low-income households in Vietnam by 20%, reduces overexploitation and provides models for replication

#### Measuring outcomes - indicators

Provide detail of what you will measure to assess your progress towards achieving this outcome. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure the outcome – if you have more than 3 indicators please just insert a row(s).

Indicator 1	By March 2017, 1000 households from the project site participate in project training and other relevant activities and demonstrate knowledge of sustainable harvest practices, increasing from 100 at project start
Indicator 2	By March 2017, market intelligence provided and MAP value-addition

	mechanisms in place and accessed by 1000 local collectors.
Indicator 3	By March 2018, the income derived from sustainable wild collection of selected MAP species increases by 20% for 1000 local collectors (baselines set in Year 1 through household baseline surveys; progress measured mid-way and in the end of project)
Indicator 4	By March 2018, target MAP species monitoring based on developed species and area management plan show reduced overexploitation

### Verifying outcomes

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	<ul style="list-style-type: none"> <li>• Lists of project activity participants and photos</li> <li>• Project reports</li> <li>• Feedback from training sessions including pre and post questionnaires</li> <li>• Registration forms and membership lists from local collector organisations</li> </ul>
Indicator 2	<ul style="list-style-type: none"> <li>• Value chain analyses and reports for target species identifying value addition mechanisms</li> <li>• Photos and evidence of processing equipment installed</li> <li>• Report outlining benefit sharing mechanism</li> <li>• Report detailing effectiveness of benefit sharing mechanism amongst the value trade chain</li> <li>• Photos and minutes of meetings between collectors and representatives from international and domestic markets.</li> </ul>
Indicator 3	<ul style="list-style-type: none"> <li>• Agreements/contracts between manufacturers and local collectors on supply of sustainably harvested products</li> <li>• Project baseline, monitoring and evaluation reports including income data and statements from collectors.</li> </ul>
Indicator 4	<ul style="list-style-type: none"> <li>• Reports of population status of target species.</li> <li>• Resource inventory and management plan reports</li> </ul>

### Outcome risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the *outcome and impact* of the project. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	A wider range of species and buyers is available in the event that demand and/or market opportunities for target MAP species fluctuate drastically during the project period, for example due to the development of preference for cultivated ingredients or major unanticipated problems with quality
Assumption 2	Established inter-community conservation and livelihood support fund (sharing percentage of sustainably traded products revenue with non-involved and non-harvesting members of community and implementing alternative livelihood initiatives) create incentives for sustainable collection and reduces occasions of competition and potential conflict between collector groups.
Assumption 3	Alternative projects sites are available in the event that civil and political unrest prevent participation of collector households in the pre-selected site in

	the project.
Assumption 4	Alternative projects sites are available in the event that natural disasters, extreme weather events and/or climate change impacts, pest out-breaks prevent implementation of activities in project sites
Assumption 5	Provincial or national government agencies continue to support sustainable use and do not ban trade in wild harvested plants

## Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the Outcome. The logic of the chain from Output to Outcome therefore needs to be clear. If you have more than 3 outputs insert a row(s). It is advised to have less than 6 outputs since this level of detail can be provided at the activity level.

<b>Output 1</b>	The feasibility and benefits (financial, product quality and conservation) of applying the FairWild Standard to wild MAP harvest clearly demonstrated in a value-chain approach
<b>Output 2</b>	Sustainable use strategies and management plans (species and area) designed and operational for target MAP species harvested at the project site
<b>Output 3</b>	A mechanism for scaling up application of the project model and results established and an enabling environment created in other areas

## Measuring outputs

Provide detail of what you will measure to assess your progress towards achieving these outputs. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure each output – if you have more than 3 indicators please just insert a row(s).

Output 1	
Indicator 1	By March 2016, 1000 local collectors' households and buyers have agreed to work together to develop a sustainable supply chain and trading agreements
Indicator 2	Trading agreement between buyers and local collectors based on sustainability criteria and a fair pricing arrangement negotiated and agreed by the end of year 2 of the project
Indicator 3	Product trade in line with the trading agreement ongoing and commitment to continue and/or further strengthen trading relationship maintained for target MAP species by the end of project year 3

Output 2	
Indicator 1	Management plans for the target species and areas developed through a government-led multi-stakeholder consultation process by the end of year 2
Indicator 2	1000 local collectors trained in FairWild Standard principles of sustainable wild collection by the end of project year 2
Indicator 3	1000 local collectors use sustainable harvesting practices based on the management plan and associated FairWild principles by the end of project year 3

<b>Output 3</b>	
Indicator 1	VN government ministries (environment, health), representatives from the site, and companies recommend replication and scaling up of Bac Kan MAP model for additional species and sites in Vietnam by the end of year 3 of the project
Indicator 2	National level government agencies commit to the development and implementation of a sustainable management strategy for Vietnam's MAP resources by the end of year 3 of the project

### Verifying outputs

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	<ul style="list-style-type: none"> <li>• List of project activity participants;</li> <li>• Value chain details and reports including value addition mechanisms;</li> <li>• Agreements between buyers and local collectors on supply of sustainably harvested products;</li> <li>• Receipts showing increased prices for target species;</li> <li>• Baseline and progress/final income reports from local collectors</li> </ul>
Indicator 2	<ul style="list-style-type: none"> <li>• Target MAP species resource inventory and management plan;</li> <li>• Training records and post-training survey;</li> <li>• Surveys and collectors' interviews;</li> <li>• Species monitoring reports</li> </ul>
Indicator 3	<ul style="list-style-type: none"> <li>• Government agencies media reports;</li> <li>• Project case-study publication;</li> <li>• Workshop and meeting reports</li> </ul>

### Output risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the achievement of your outputs. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	A wider range of species and buyers is available in the event that demand and/or market opportunities for target MAP species fluctuate drastically during the project period, for example due to the development of preference for cultivated ingredients or major unanticipated problems with quality
Assumption 2	Local government remains supportive of institutional mechanisms enabling delivery of technical support, value-addition, including allowing registration of collectors' organizations.
Assumption 3	Alternative projects sites are available in the event that civil and political unrest prevent participation of collector households in the pre-selected site in the project.
Assumption 4	Established inter-community conservation and livelihood support fund (sharing percentage of sustainably traded products revenue with non-involved and non-harvesting members of community and implementing alternative livelihood initiatives) create incentives for sustainable collection and reduces occasions of competition and potential conflict between collector groups.
Assumption 5	Alternative projects sites are available in the event that natural disasters, extreme weather events and/or climate change impacts, pest out-breaks prevent implementation of activities in project sites
Assumption 6	Provincial or national government agencies continue to support sustainable

	use and do not ban trade in wild harvested plants
Assumption 7	Aspects of FairWild Standard, including access and benefit sharing, fair payment, transparent cost calculation can be presented in a way that is acceptable to government and other stakeholders.

### Activities

Define the tasks to be undertaken by the research team to produce the outputs. Activities should be designed in a way that their completion should be sufficient and indicators should not be necessary. Risks and assumptions should also be taken into account during project design.

Output 1	
Activity 1.1	Assess baseline income generated from MAP collection and increases in income from MAP collection over the project course (mid-term and final)
Activity 1.2	Identify, confirm and analyse value chains of target species and any potential challenges to achieving sustainable collection and improving product trade flows and benefits
Activity 1.3	Design and implement training programme for at least 1000 collectors on improving product quality, marketing and other entrepreneurial skills, including fair cost calculation and negotiation skills, and associated access and benefit sharing mechanisms.
Activity 1.4	Facilitate the establishment of local collectors' organization ( e.g. a cooperative, social enterprise or association)
Activity 1.5	Support application of sustainability certification schemes (e.g. FairWild, organic wild, CITES non-detriment finding and/or similar as appropriate)
Activity 1.6	Increase access to national and international markets for local collectors via facilitating relationships with selected manufacturers

Output 2	
Activity 2.1	Raise awareness of economic and biodiversity benefits of sustainable harvesting among identified beneficiaries including collectors, manufacturers, traders and local authorities through project consultation processes, including individual and multi-stakeholder meetings
Activity 2.2	Develop training materials and implement direct training and 'train the trainers' programmes for at least 1000 collectors' households in Bac Kan province and key FPD staff, with a focus on sustainable harvesting methods and monitoring of target species populations in response to harvest.
Activity 2.3	Carry out resource inventory, develop and support the endorsement and implementation of a species and area management plan for target MAP species
Activity 2.4	Develop province-level sustainable MAPs use strategy and communicate it to all stakeholders through project activities and Vietnam's BioTrade network

Output 3	
Activity 3.1	Share project results showcasing successes, challenges and lessons learned with specific regard to: A. Negotiating multi-stakeholder (government, local community, business) arrangements and agreements for sustainable resource management and trade in wild-harvested products; B. The potential and challenges of achieving sustainable management of ntfp

	<p>trade to increase incomes in protected area buffer zones;</p> <p>C. Practical approaches to achieve equitable access and benefit sharing for trade to local and international markets</p> <p>D. Compliance with CITES requirements for international trade in CITES-listed species</p> <p>E. Operationalizing third party certification systems for wild-harvested products destined for local and international</p>
Activity 3.2	Promote the FairWild Standard through peer-to-peer learning mechanisms and links to existing Vietnamese organic wild-collection enterprises and communities.
Activity 3.3	Input into the existing BioTrade Vietnam multi-stakeholder forum on private sector leadership for sustainability of sourcing and production in Vietnam
Activity 3.4	Advocate for the wider policy impact on the national level in Vietnam on creating the enabling environment for sustainable MAPs harvesting and equitable trade in resources and intra-ministerial cooperation on the issue
Activity 3.5	Present the project and outcomes of the project at international fora, including trade show, high-level policy events (e.g. CITES or CBD CoPs)

26. 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.

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Signing grant contract	1	x											
Recruitment of project staff	3	x											
Agreements with implementing partners and sub-contractors	1	x	x										
Inception workshop	1		x										
Project final workshop	1												X
Effective project management and reporting	36	x	x	x	x	x	x	x	x	x	x	x	x
Output 1													
1.1 Assess baseline income generated from MAP collection and increases in income from MAP collection over the project course (mid-term and final)	3	x						x					X
1.2 Identify, confirm and analyse value chains of target species and any potential challenges to achieving sustainable collection and improving product trade flows and benefits	8	x	x	x									
1.3 Design and implement training programme for at least 1000 collectors on improving product quality, marketing and other entrepreneurial skills, including fair cost calculation and negotiation skills, and associated access and benefit sharing mechanisms.	30		x	x	x	x	x	x	x	x	x	x	
1.4 Facilitate the establishment of local collectors' organization ( e.g. a cooperative, social enterprise or association)	6						x	x	x	x	x		
1.5 Support application of sustainability certification schemes (e.g. FairWild, organic wild, CITES non-detriment finding and/or similar as appropriate)	10						x	x	x	x	x	x	
1.6 Increase access to national and international markets for local collectors via facilitating relationships with selected manufacturers	30		x	x	x	x	x	x	x	x	x	x	
Output 2													
2.1 Raise awareness of economic and biodiversity benefits of sustainable harvesting among identified beneficiaries including collectors, manufacturers, traders and local authorities through project consultation processes, including individual and multi-	12	x	x	x	x	x							



stakeholder meetings														
2.2	Develop training materials and implement direct training and 'train the trainers' programmes for at least 1000 collectors' households in Bac Kan province and key FPD staff, with a focus on sustainable harvesting methods and monitoring of target species populations in response to harvest.	30		x	x	x	x	x	x	x	x	x	X	
2.3	Carry out resource inventory, develop and support the endorsement and implementation of a species and area management plan for target MAP species	20	x	x	x	X	x	x	x	x	x			
2.4	Develop province-level sustainable MAPs use strategy and communicate it to all stakeholders through project activities and Vietnam's BioTrade network	12							X	x	x	x	x	
Output 3														
3.1	Share project results showcasing successes, challenges and lessons learned with specific regard to: A. Negotiating multi-stakeholder (government, local community, business) arrangements and agreements for sustainable resource management and trade in wild-harvested products; B. The potential and challenges of achieving sustainable management of ntfp trade to increase incomes in protected area buffer zones; C. Practical approaches to achieve equitable access and benefit sharing for trade to local and international markets D. Compliance with CITES requirements for international trade in CITES-listed species E. Operationalizing third party certification systems for wild-harvested products destined for local and international	20					X	x	x	x	x	x	x	x
3.2	Promote the FairWild Standard through peer-to-peer learning mechanisms and links to existing Vietnamese organic wild-collection enterprises and communities.	20				x	x	x	x	x	x	x	x	
3.3	Input into the existing BioTrade Vietnam multi-stakeholder forum on private sector leadership for sustainability of sourcing and production in Vietnam	20				x	x	x	x	x	x	x	x	
3.4	Advocate for the wider policy impact on the national level in Vietnam on creating the enabling environment for sustainable MAPs harvesting and equitable trade in resources and intra-ministerial cooperation on the issue	30		x	x	x	x	x	x	x	x	x	x	X

3.5 Present the project and outcomes of the project at international fora, including trade show, high-level policy events (e.g. CITES or CBD CoPs)	2						x	x	x	x	x	x	
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**27. Project based monitoring and evaluation (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. Darwin Initiative 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.

(Max 500 words)

The project's M&E framework will support adaptive project management using six-monthly progress reviews (Half Year and Annual progress reports). The project M&E will also link to the partner organisations' existing structures for reporting. Project partners will meet regularly to ensure communications flow and that planning is on track, risk is managed and progress reviewed.

The success of the project at increasing the income for the project participants and at helping to ensure sustainable collection of MAP species will be evaluated by carrying out monitoring activities to assess the level of income derived from MAP collection. A baseline socio-economic and biological survey/inventory will be undertaken in Year 1 of the project to assess current resources and their contributions to target communities' livelihoods and health. Gender disaggregated data will be collected where possible. Previous project work provides initial baseline information regarding the income source from MAP collection and will be supplemented with further data. The results of repeat socio-economic surveys carried out mid-way and at the end of the project.

The results of the target MAP resources inventory will be used to develop species and area management plan, with integration of populations participatory monitoring. Direct involvement of the local groups will be integral to the project process, and the final management plan will reflect both community and conservation needs. Resource inventory and management plan are the required components of the FairWild Standard, establishing system for monitoring of the impact of wild-collection on target (and affected) species in the area. It is of particular importance to ensure the rigour of project interventions to reduce MAP species over-exploitation. The FairWild certification audit is a third-party evaluation of the wild-harvesting operation against principles and criteria, including of ecological and social sustainability of. Planned for Years 2 and 3 of project, it will provide an additional source of data on ecological and social impacts.

The project sites being home to ethnic groups, potentially vulnerable to changes in natural resource planning, in 2011-2014 TRAFFIC undertook Social Assessment to determine any project impacts and how they can be monitored and addressed. The project does not anticipate to have adverse impacts on communities as it will focus on native wild species, which should therefore not compete with agricultural land needs nor impose new regulations on land use. Activities are built-in the project to increase financial benefits to local participants. The Social assessment/safeguards analysis will be repeated to mitigate any potential negative impacts through adaptive management.

Throughout the project, steps will be taken to monitor and address any negative impacts to local communities. In addition, local stakeholders will be encouraged to voice issues or concerns as they arise, during bi-monthly local meetings or directly with project staff.

Partners will set-up a project Advisory Group (AG) to provide a review of technical and financial management. The experts in socio-economic/poverty and conservation/biodiversity issues will be involved (including partners). AG will provide advice on both the project progress, M&E system and any adaptive management measures.

## 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.**

**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 Darwin Initiative cannot agree any increase in grants once awarded.

### 28. Cost Effectiveness

Please explain how you worked out your budget and how you will provide value for money through managing a cost effective and efficient project. You should also discuss any significant assumptions you have made when working out your budget.

(max 300 words)

In developing the project budget, every effort has been made to keep project running costs to a minimum. The project has 16% matched funding, and seeks additional funding to increase the impact of the project. The project partners have the skill-sets required to implement the project. TRAFFIC has office in Hanoi, doesn't require set-up costs and has existing working relationships with the local authorities and communities. As this project will run alongside other TRAFFIC's projects, staff will use opportunities to share costs between projects, for example for attendance of CITES/CBD CoP.

Project partners have previously delivered successful projects in partnership with TRAFFIC in project site, reducing amount of start-up time. Partners will meet regularly to monitor project implementation. However, travel costs will be kept to minimum by sharing time between face-to-face meetings and Skype calls.

TRAFFIC International has a Project Administration team which works alongside project managers to monitor project spend against budget and project transactions are reviewed on a monthly and quarterly basis. TRAFFIC International's accounts are audited annually by Deloitte but individual project audits are also arranged where donors specify this as a requirement. The end-of-project audit costs of GBP1,500 are budgeted for the audit by certified external auditor.

Under Other the costs of the certification audit are budgeted in Years 2 and 3, which will be paid by buyer beyond the project end. Under the Capital Equipment, project will invest into MAPs processing equipment. It will be selected on the cost-efficiency basis, with company guidance, and will be in community ownership. The project budget was designed in GBP and 3% annual cost of living increase/inflation rates were built-in in salaries of project staff. The requested Darwin project contribution increased from Stage 1 (by 7.000GBP), while overall value of the project decreased (matching funding reduced).

## FCO NOTIFICATIONS

Please check 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 Darwin competition 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**

### CERTIFICATION

On behalf of the trustees of TRAFFIC International

I apply for a grant of £299,775 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.

- I enclose CVs for project principals and letters of support.
- Our most recent signed audited/independently verified accounts and annual report are also enclosed/can be found at:  
<http://apps.charitycommission.gov.uk/Showcharity/RegisterOfCharities/DocumentList.aspx?RegisteredCharityNumber=1076722&SubsidiaryNumber=0&DocType=AccountList>

<b>Name (block capitals)</b>	STEVEN BROAD
<b>Position in the organisation</b>	EXECUTIVE DIRECTOR

Signed



Date:

1<sup>ST</sup> DECEMBER 2014

**Stage 2 Application - Checklist for submission**

	<b>Check</b>
Have you <b>read the Guidance Notes</b> ?	Yes
Have you provided <b>actual start and end dates</b> for your project?	Yes
<b>Have you indicated whether you are applying for DFID or Defra funding. NB: you cannot apply for both</b>	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 in the email)	Yes
Have you included a <b>1 page CV for all the Principals</b> identified at Question 7?	Yes
Have you included a <b>letter of support from the main partner(s) organisations</b> identified at Question 10?	Yes
Have you <b>been in contact with the FCO</b> in the project country/ies and have you included any evidence of this?	Yes (see cover letter)
Have you included a signed <b>copy of the last 2 years annual report and accounts</b> for the lead organisation? An electronic link to a website is acceptable.	Yes
Have you <b>checked the Darwin website</b> immediately prior to submission to ensure there are no late updates?	Yes

Once you have answered the questions above, please submit the application, not later than midnight GMT on Monday 1 December 2014 to [Darwin-Applications@ltsi.co.uk](mailto:Darwin-Applications@ltsi.co.uk) using the application number (from your Stage 1 feedback letter) and 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 (eg 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: Applicants for grant funding must agree to any disclosure or exchange of information supplied on the application form (including the content of a declaration or undertaking) which the Department considers necessary for the administration, evaluation, monitoring and publicising of the Darwin Initiative. Application form data will also be held by contractors dealing with Darwin Initiative monitoring and evaluation. It is the responsibility of applicants to ensure that personal data can be supplied to the Department for the uses described in this paragraph. A completed application form will be taken as an agreement by the applicant and the grant/award recipient also to the following:- putting certain details (ie name, contact details and location of project work) on the Darwin Initiative and Defra websites (details relating to financial awards will not be put on the websites if requested in writing by the grant/award recipient); using personal data for the Darwin Initiative postal circulation list; and sending data to Foreign and Commonwealth Office posts outside the United Kingdom, including posts outside the European Economic Area. Confidential information relating to the project or its results and any personal data may be released on request, including under the Environmental Information Regulations, the code of Practice on Access to Government Information and the Freedom of Information Act 2000.