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# **DIR28IN\1076**

## **Locally-owned enterprise development for resilient communities and sustainable primate conservation**

The Critically Endangered Cao Vit gibbon is the world's joint rarest ape, with only approx. 135 individuals remaining within the Cao Vit Gibbon Species and Habitat Conservation Area (CVGCA). The provincial government, of Cao Bang, intends to expand the existing CVGCA, from 1,500ha now to over 3,000ha, with support from FFI. This project will develop and launch an innovative, replicable and locally-owned enterprise designed specifically to ensure PA expansion has a net-positive impact on local well-being, through nature-based commodity/tourism-derived income.

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## Section 1 - Contact Details

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### PRIMARY APPLICANT DETAILS

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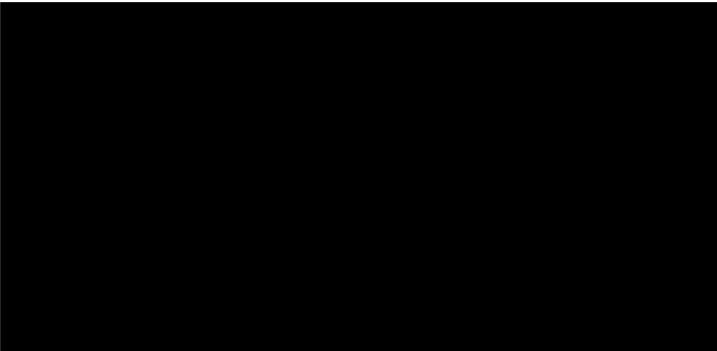
Name Josh  
Surname Kempinski  
Organisation Fauna & Flora International



### GMS ORGANISATION

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Type	Charity/ trusts
Name	Fauna & Flora International



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## Section 2 - Project Summary, Ecosystems, Approaches and Threats

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### Q3. Project Title

Locally-owned enterprise development for resilient communities and sustainable primate conservation

### Q4. Key Ecosystems, Approaches and Threats

Please select up to 3 biomes that are of focus, up to 3 conservation actions that characterise your approach, and up to 3 threats to biodiversity you intend to address, from dropdown lists.

#### Biome 1

Tropical-subtropical forests

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#### Biome 2

No Response

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#### Biome 3

No Response

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**Conservation Action 1**

Land/water protection (area/resource/habitat)

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**Conservation Action 2**

*No Response*

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**Conservation Action 3**

*No Response*

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**Threat 1**

Biological resource use (hunting, gathering, logging, fishing)

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**Threat 2**

*No Response*

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**Threat 3**

*No Response*

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**Q5. Summary of project**

**Please provide a brief summary of your project, its aims, and the key activities you plan to undertake. 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.**

The Critically Endangered Cao Vit gibbon is the world’s joint rarest ape, with only approx. 135 individuals remaining within the Cao Vit Gibbon Species and Habitat Conservation Area (CVGCA). The provincial government, of Cao Bang, intends to expand the existing CVGCA, from 1,500ha now to over 3,000ha, with support from FFI. This project will develop and launch an innovative, replicable and locally-owned enterprise designed specifically to ensure PA expansion has a net-positive impact on local well-being, through nature-based commodity/tourism-derived income.

**Section 3 - Dates & Budget Summary**

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**Q6. Project Country(ies)**

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

**Country 1** Vietnam

**Country 2** *No Response*

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**Country 3** *No Response*

**Country 4** *No Response*

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**Do you require more fields?**

- Yes
- No

**Q7. Project dates**

**Start date:**

01 April 2022

**End date:**

31 March 2024

**Duration (e.g. 1 year, 8 months):**

2 years

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## Q8. Budget Summary

Darwin Funding Request	2022/23	2023/24	Total request
(Apr - Mar) £	£76,400.00	£83,600.00	160,000.00

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**Q9. Proportion of Darwin Initiative budget expected to be expended in eligible countries: %** [REDACTED]

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**Q10a. Do you have proposed matched funding arrangements?**

Yes

**What matched funding arrangements are proposed?**

This Innovation project fits within FFI's broader programme of work to conserve the Cao Vit gibbon and the wider ecosystem. The wider gibbon conservation programme has secured [REDACTED] from the Arcus Foundation (great ape fund), approximately [REDACTED] of which will be match (or co-) funding for this Darwin Innovation application. As such, whilst the costs of providing local enforcement and improved protected area management, are reasonably well-covered, this application is designed to address the need for significant, lasting incentives for local people to positively engage with the forest, and gibbon conservation.

**Q10b. Total confirmed & unconfirmed matched funding (£)** [REDACTED]

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**Q10c. 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 project will soon submit a proposal to the Critical Ecosystem Partnership Facility (CEPF) of which around [REDACTED] will be for this (Cao Vit gibbon project), to focus on improving gibbon and forest monitoring outcomes. Whilst not assured, we are confident that we will secure this matched funding, of which approximately [REDACTED] will be direct co-funding for this grant.

## Section 4 - Darwin Objectives and Conventions

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**Q11. Problem the project is trying to address**

**Please describe the evidence of the problem your project is trying to address in terms of biodiversity and its relationship with poverty. What is the need, challenge or opportunity? For example, what are the drivers of loss of biodiversity that the project will attempt to address? Why are they relevant, for whom? How did you identify these problems?**

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

In 2002 FFI rediscovered the CR and endemic Cao Vit gibbon (*Nomascus nasutus*) in Cao Bang province, northern Vietnam. It is considered to be the joint-rarest ape in the world with 135 individuals (total). Since 2002, we have worked to engage local people in species and habitat protection and monitoring, and local stakeholders in decision making, raise awareness among local communities, provide environmental education in schools, support sustainable livelihood development in the buffer-zone, and facilitate transboundary collaboration. However, there remain significant challenges and unexplored opportunities to address them.

This project is designed to directly build on FFI's nearly 20 years working on this gibbon, which laid the foundations for this new project, and to operationalise key parts of the Cao Vit gibbon Conservation Action Plan (CAP) to 2030, vision to 2050, completed in 2021. The plan (CAP) itself, and the associated Theory of Change for the project, have been finalised, and make it clear the following challenges are highest priority in the coming 10 years:

1. The small, isolated gibbon population and habitat shortages
2. Low awareness – at all levels
3. Grazing / forest degradation threats

Addressing these challenges will require that the project, with our government counterparts, can expand the existing protected area and improve its PA management effectiveness; increase awareness of the gibbons locally and at all levels; and address the ongoing threats from local grazing and timber extraction. Crucially, to successfully meet these objectives requires that the local community are willing partners and beneficiaries in project implementation. Whilst FFI's long-standing project is grounded in the principles of FPIC and net-positive social benefits, there exists a very clear and significant opportunity to now develop conservation-linked local enterprises; designed to facilitate, incentivise – and make sustainable – the aforementioned conservation interventions, by reducing natural resource exploitation threats and improving the knowledge, buy-in and attitudes of key local actors, now and for the long-term.

The entire global population of CVG persists in around 1,000 ha of usable forest, in Vietnam's 1,500ha CVGCA and into China's Bangliang Nature Reserve. The threat from stochastic events is high; there is an urgent need to expand the habitat (and thus the Conservation Area) and thereafter increase the population.

Habitat degradation remains a challenge, especially in the area earmarked for PA expansion (although it has reduced inside the current PA as a result of project interventions). Persistent threats, which unaddressed would make PA expansion impossible, are illegal logging, fuel-wood collection and livestock free-grazing. These threats are driven by local poverty in remote, upland/karst limestone areas, where opportunities are lacking. These ethnic minority communities have no alternative heating/cooking fuels, often require additional wood for housebuilding and have insufficient land for their uncontrolled grazing needs. Unsustainable and illegal use of local resources, including within the PA, have spiked under Covid-19. Some community activity is still incompatible with conservation goals.

For the last 20 years, FFI has regularly undertaken community consultations, and continues to facilitate the PA co-management committee and grievance redress mechanism.

## **Q12. Biodiversity Conventions, Treaties and Agreements**

**Q12a. Your project must support the commitments of one or more of the agreements listed below.**

**Please indicate which agreement(s) will be supported.**

- Convention on Biological Diversity (CBD)
- Global Goals for Sustainable Development (SDGs)

## **Q12b. National and International Policy Alignment**

**Please detail how your project will contribute to national policy (including NBSAPs, NDCs, NAP etc.) and in turn international biodiversity and development conventions, treaties and agreements that the country is a signatory of.**

This project is designed to directly contribute to Vietnam's NDC, which aims to enhance sustainable forestry, carbon sequestration in forests and ecosystem services, and biodiversity conservation combined with livelihood development. The project will contribute emission reductions towards GAC country NDC targets, with at least 3,000 ha effectively conserved as a PA.

Vietnam's NBSAP provides the foundation for this project. The NBSAP aims to enhance (and integrate) biodiversity conservation and development, including by improving enforcement and preventing the decline of biodiversity in protected areas; maintain the system of protected areas and strengthen its priority sites; and promoting forest management to control the risks to human health. Specifically, the project will also contribute to Target 15 of the Global Biodiversity Framework, and thus Vietnam's Objective 7, in that benefits from biodiversity and ecosystem services should be shared fairly and equitably with the participation of communities, and also Vietnam's Objective 2, to properly resolve conflicts between conservation and development, especially the conversion of land use.

The project will directly support Vietnam's commitments to the CBD, through the conservation of biodiversity and sustainable natural resource use within the northern forests. It will support CBD Strategic Goals A-D by reducing direct pressure on biodiversity caused by hunting, logging and agricultural conversion, improving protected area management, and developing improved, conservation-compatible local livelihoods.

The project will incentivise and improve local knowledge/perceptions of forests and wildlife (Aichi Target 1). It will improve the function and performance of a Protected Area, ensuring equity, (Aichi Target 11). It will address the fragmentation of a vital forest ecosystem, which provides essential services to wildlife and humans (Aichi 5); at all times the needs of women and vulnerable groups will be guiding principles (Aichi 14). The project will promote sustainable use of natural resources outside the PA, through enterprise development (Aichi 7).

## Section 5 - Method, Innovation, Capability & Capacity

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### Q13. 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 similar 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).
- What will be the main activities and where will these take place?
- How you will manage the work (roles and responsibilities, project management tools, risks etc.).

**Please make sure you read the guidance documents, before answering this question.**

Conservation Enterprise Incubation: FFI will use an enterprise approach to address the project threats, taking advantage of the recent recognition of 'social enterprise' as a distinct type of organisation in Vietnam's Enterprise Law, where it is defined as 'an enterprise that is registered and operates to resolve a or a number of social and environmental issues for a social purpose; and reinvests at least 51 percent of total profits to resolve the registered social and environmental issues'. FFI will apply the approach it has developed to designing, establishing and sustaining conservation enterprises in collaboration with local communities. This draws on lessons learnt from a range of global start-ups we have facilitated in diverse industries including tourism and agriculture. This approach involves developing a value proposition that aligns with conservation goals and market needs, building private sector partnerships, and de-risking the business pilot through facilitating sales agreements and product testing.

The project's simplified Theory of Change is that if there is structured benefit sharing; meaningful economic incentives linked to conservation; and capacity to operate the business, then by project end, a locally co-owned enterprise model will be supporting conservation outcomes and improved local livelihoods.

Output 1. Enterprise' product value proposition derived from natural assets and market demand for enterprise's

nature-based product(s) is in evidence, taking advantage of Vietnam's growing demand for healthy/organic food, an interest in regional delicacies, and a growing local tourism industry which indicates strong potential for branded, certified products and an agrotourism offering (a growing tourism opportunity in Europe and emerging in Asia).

Activities include: Market research, enterprise design, financial modelling and business planning, and stakeholder consultation.

Output 2. Sufficient investment secured / into the enterprise to commence operation

Activities include: Investment facilitation and building private sector partnerships; evaluation the value-add of commodity/tourism certification; marketing strategy/linking to buyers that pay premium price; and scope (options) and then pilot a community-based agro/culinary tourism options model

Output 3. Skills and expertise exist locally to operate the enterprise, and for future replication (FFI - or other NGOs - pick up the model and apply for their project sites across Vietnam)

Activities include: Mentoring/training for community members on business management, customer services, tour guiding and cooking; capacity building for FFI Vietnam team and scoping for replication; and capacity building for partners/local NGOs

Output 4 Conservation-friendly knowledge-attitudes-behaviours (KAB) is improved through enterprise development by minimum 10%

Activities include: Outreach/awareness raising with local communities; Agricultural trials are undertaken and training for farmers on certification/standards; and KAB/social surveys (x3) demonstrate positive project impact

Output 5 Community-based conservation is ongoing and part-funded by enterprise revenue

Activities include: Maintaining community-based monitoring/patrols and that a proportion of enterprise revenue, in company articles, set aside for this.

See logframe for detailed activities.

FFI will manage the project, overseeing enterprise development, whilst supporting/capacitating a local CSO (enterprise co-owner) to eventually lead. FFI has secured co-funds that will support disincentives (while this project focus on incentives), including the majority community-based patrols/monitoring costs and livelihoods support around the current (and expanding) PA.

## Q14. Innovation

**Please specifically outline how your approach or project is innovative, noting the opportunity to describe the methodology is next.**

**Is it the application of existing evidence/technology/approach in a distinctly different sector, the development of new technologies/approach in an existing area, or is it a totally disruptive approach?**

This kind of nature-positive, locally-owned conservation enterprise is a new strategy for Vietnam. Development partners have not hitherto attempted to bring across the learning from youth empowerment/entrepreneurship and pro-poor business/start-ups to help provide conservation solutions, due to the high risks and lack of experience. This pilot provides an important opportunity to demonstrate that it is possible, and impactful, and illustrate how the enterprise will provide innovations in governance (local and collaborative ownership), revenue generation (farm and non-farm local enterprise income) and benefit sharing (diversified, improved livelihoods and conservation-finance).

Specific innovations include:

Integration of agro/culinary tourism with a conservation project, embracing Vietnam's growing middle class (consumers),

who want more healthy/safe food, and using this demand – for the first time – to support conservation.

Legal structuring such that conservation is built into articles of the enterprises, (e.g. legal lock – see below), and co-owned by local community, to ensure that it supports both livelihoods and conservation.

Enterprises set up to achieve conservation impact can move away from their mission to focus on profit maximisation ('mission drift'). This project is opportune to explore 'legal locks' which are built in to the articles of incorporation of the enterprise to ensure it stays on-mission and maintains the focus on community/biodiversity. This project will explore using the recent recognition of 'social enterprise' as a distinct type of organisation in Vietnam's Enterprise Law to form part of this legal lock, along with a hybrid ownership structure with both community and private sector ownership to avoid 'drift'.

## Q15. 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.**

FFI has global experience in similar projects, as well as in-country capacity, to deliver this innovation.

A key project component is ensuring that all stakeholders have the capacity needed to understand, develop and eventually operate the enterprise. Core to this is local community capacity, which will involve both individual training, group consultation and training, and strengthening a CSO to underpin the new enterprise. FPIC and co-creation consultation meetings will be regular and ongoing, and supported by targeted training courses on key aspects of business development and related commodities, non-farm/tourism products, market access and certification, as well as eco/agro-tourism development, branding, business marketing and financial management.

It will also be vital that government counterparts have the understanding and capacity to support and approve this pioneering model of local business development and how it relates to conservation. Workshops and training sessions will be used to building consensus and capacity.

Lastly, while FFI have significant capacity within the international team, and some staff in Vietnam (e.g. the project and programme managers and livelihoods expert), we also need wider in-country capacity for FFI staff, who will learn-by-doing, to drive replication.

As part enterprise development gaps, needs, barriers, and opportunities for livelihoods diversification, including agriculture, will be explored collaboratively, based on local knowledge and customary laws and practices, supported by training on crop diversification, yield maximisation, supply chains, marketing/market access.

The provincial government funds forest rangers in CVGCA, but depends on FFI to provide community-based conservation teams to support the insufficient ranger force with additional patrols. This project will improve community/ranger patrols and monitoring, and PA management capacity, through training course and in-field oversight provided, as well as support on data management/reporting. Patrollers are divided into two specialist teams – to SMART-monitor illegal activities/remove snares, and to focus on continual gibbon monitoring.

## Section 6 - Gender, Awareness, Change Expected & Exit Strategy

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### Q16. Gender equality

**All applicants must consider whether and how their project will contribute to reducing inequality between persons of different gender. Explain how your project will collect gender disaggregated data and what impact your project will have in promoting gender equality.**

FFI recognises that women and men interact with biodiversity and natural resources in different ways and thus have different skills, knowledge and perspectives. These differences influence how they affect – and are affected by – biodiversity loss, natural habitat degradation, and access to natural resources.

FFI believes it is important that vulnerable groups/women are not further disadvantaged by conservation initiatives, and



recognises the growing body of evidence that gender equality leads to more effective and sustainable conservation. We will therefore endeavour to ensure that women have equal access to project resources and information, equal participation, equal ownership (enterprise) and opportunities to benefit from project activities, and that our work systematically promotes gender equality.

This project considers gender at all stages, including assessment, planning and design, implementation. Context analysis, monitoring and evaluation will include collection of sex-disaggregated data. This will enable us to target interventions such as technical support for land-use planning, agricultural improvement and micro-finance, to the relevant women and men according to their different roles and interest in these activities. Monitoring of gender-differentiated impacts will enable us to make adjustments where necessary to guarantee gender equity and reduce inequality. Interventions will improve female inclusion in decision-making, will be promoted alongside training on their self-identified needs.

We will seek to address the barriers to female participation both in project activities and in decision-making by ensuring the timing, location and format of activities are tailored to their needs. Specifically, we will organise women-only meetings where necessary, with facilitators who speak the relevant local languages. We will build the capacity of female stakeholders to voice their opinions and work with men to enable women's voices to be heard, their concerns addressed, and their skills and knowledge utilised.

The project recognises and endeavours to account for intersectionality, e.g. the dual-marginalisation of poor/indigenous people

## **Q17. Awareness and understanding**

**How will you raise awareness and understanding of biodiversity-poverty issues in your stakeholders, including who are your stakeholders, what approaches/formats/products will you use, how you will ensure open and free access to all data, and how will you know that the messages are understood?**

Local communities are key stakeholders; some exploit and benefit from gibbon habitat, yet their support is pivotal to long-term conservation success. The gibbon is a highly localised, charismatic species and offers the opportunity to build a sense of local ownership and pride that supports conservation. A positive attitude towards gibbons and conservation, supported by sustainable livelihoods, is needed, as the long-term conservation and recovery of wildlife depends upon the engagement and support of local communities to protect the ape and its habitat.

The project intends to measurably improve awareness and support by building understanding of gibbons and their biodiverse forest home. The objective is to reconnect people with the gibbon as part of their unique culture and identity, and as a means to improve livelihoods through product development/branding, possibly certification (e.g. 'gibbon-friendly rice'), agrotourism and forest protection.

Whilst conservation awareness has improved since the PA was designated, more work is needed. Many local people remain unaware of the extreme rarity and uniqueness of the gibbon they hear in the forest, or are unaware of its existence. Local people need to see themselves as guardians of something special, which in turn supports them.

The gibbon could become a 'mascot' for the area and its local, ethnic minority populations: A local brand, related directly to the enterprise, would bolster marketing of its local produce and tourism. Indeed, this beautiful region is already very/increasingly popular with tourists. Tour companies and local hotels will be part of enterprise development.

Awareness raising must also extend beyond communities, to include crucial decision makers. While PA managers and FPD are knowledgeable counterparts, at high levels such as the People's Committee, understanding and support for PA management and gibbon/wildlife conservation is low. Workshops, billboards and other media will be used to improve awareness and political will.

## **Q18. Change expected**

**Detail the nature of the outputs you expect from the project (for example report, practical demonstration, know-how, new process, product or service design) and how these will help you to target the identified need, challenge or opportunity in terms of biodiversity and poverty reduction, and links between them.**

**You should identify what will change and who will benefit 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.**

FFI have 20-year history and deep knowledge of working in Trung Khanh district, around the Cao Vit Gibbon Conservation Area. Since discovering the gibbons in 2002, and driving gazettement of the CVGCA in 2007, we have maintained a growing and successful programme of largely community-based conservation work - which has seen the gibbon population double. We know the communities well, and many of the individuals therein. With government stakeholders we enjoy a very high level of trust and very strong working relationships. The key lesson learned over that time is that local people support conservation, but also have difficult lives, with limited opportunities, and often face difficult choices. Moreover, to date, we have mostly asked them not to do certain things (like hunt gibbons), rather than seeking ways in which a healthy forest (and thriving gibbon population) can be overt sources of improved local wellbeing. Such a goal is not only more ethically sound, but also significantly more sustainable, especially as we (and the government) seek to expand the current PA.

The project will design a new kind of service; a local business, creating healthy/safe food and agro/culinary tourism products, that drives behaviour changes and finance into conservation. The project will facilitate the development of a branded enterprise, that is used to market the landscape for agriculture and agrotourism. It will be a practical demonstration of how to co-develop an enterprise, and the benefits that process can yield, and how to legally establish the enterprise.

The change (or overarching outcome), that the project is expecting, is that a local enterprise, piloted in one community or cluster of hamlets, will significantly change how local people feel about and interact with their local forest and natural resources, such that threats to gibbons and gibbon habitat are measurably reduced.

The project is designed to produce:

Completed Business Model Design including 'legal lock' mechanism

Community Participation and Benefit Sharing Agreement Agreed

Completed Branding & Product Sales Pilot, to include lessons learnt from pilot incorporated into a revised business model

Private Sector Partners Engaged/Committed

Training Completed (Agriculture/certification, business management & tourism)

Certification Obtained (e.g. GAP/Organic)

Legal incorporation and financial sustainability

In terms of who will benefit during the project:

In the short-term -

A subset of the local community, comprising at least twenty households, who are direct beneficiaries from the enterprise' testing and (by project end) its full operation, as co-owners

The community patrols teams (CCT/GCT) consisting of an additional 16 local people (and thus also their households) who earn full-time salaries, and part-funded by the enterprise, but also PES (state) finance and donor funds

At least 10 members of FFI's national staff trained in enterprise development, for this project and crucially also for replication

In the long-term -

Additional households within the CVG Conservation Area buffer-zone, as the enterprise is expanded (scaled-up), and/or replicated locally

Additional communities, living around other very high biodiversity areas / KBAs in Vietnam where the enterprise model developed under this project is replicated by FFI and other actors

## Q19. Pathway to change

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

**This should directly relate to your overall project's Theory of Change which must be uploaded alongside your logframe at Q24. See the separate [Theory of Change Guidance](#) and Section 2.3.2 of the [Darwin Initiative Innovation Supplementary Guidance](#) for further information on your Theory of Change.**

Theory of Change is that if there is a legal structure in place for the enterprise and its distribution of benefits, which reach the community equitably, and if there are meaningful economic incentives linked to conservation friendly behaviours, and if capacity building ensures effective operation and replication of business model(s), then by project end, a fully tested, legal business model, that is financially and environmentally sustainable, and agreed/owned by all stakeholders, will incentivise the local community to change behaviours and share profits for conservation, and with the potential to scale-up/replicate.

The project outputs, under this ToC, are: (1) A new locally-owned, natural-asset driven enterprise; (2) has required investment secured; (3) develops the skills/capacity needed; (4) to drive positive changes in local KAB; and (5) supports community-based conservation directly, and thus protects gibbon habitat and facilitates PA expansion.

Moreover, the healthy/safe food and agrotourism market in Vietnam is growing; this project will explore this (for people and landscape) as a means to achieve conservation outcomes. Focus crops include local specialities; a kind of sticky rice ('honey rice') and a local breed of small ducks. In supporting well-known, local varieties, the project ensures local-governmental support and sustainably embraces local knowledge.

## Q20. Exit strategy

**How will the benefits or outcome be sustained post-funding? Will the innovation be mainstreamed into "business as usual" to continue to deliver the benefits? How will the required capability and capacity remain available to sustain the benefits? How will your approach, if proven, be scaled? Are there any barriers to scaling and if so, how will these be addressed?**

Every facet of the project is designed with long-term replication, sustainability and donor exit in mind. The agro-tourism enterprise is designed to be scalable, self-sustaining, self-growing, self-governing and so local empowering, and fundamentally net-positive.

By project end, local people living around the PA expansion area will be measurably transitioning to sustainable, more resilient land-use practices, with the skills to operate a nature-positive enterprise and access wider markets, adding value to their products. A growing proportion of community-based conservation will be funded by this enterprise (which is designed to be scaled up locally, as well as replicated), thus reducing reliance on grant funds. Together, these ensure and secure long-term benefits from this project for both biodiversity and local people. Sustainable livelihoods, including improved market access, high-yielding and more resilient crops, and non-farm/tourism income, all underpin the exit strategy.

The enterprise, and associated local livelihood diversification and land-use planning, will also provide a strong framework

for improved governance, incorporating the local CSO – the Management Advisory Committee (MAC). These will further empower the local people in the landscape, both within and outside the PA, enabling communities to voice their ideas and needs with decision makers, and providing a platform for stakeholders to embrace integrated approaches to equitable PA management. The project will deliver core-business skills and frameworks for multiple stakeholders to live and work together in the landscape, such that both local wellbeing and biodiversity conservation targets are realised.

This project will strengthen the conservation impact of the PA by increasing its size and capacity of managers/rangers, supported by effective local patrol teams (CCT/GCT). Improvements to forest protection/monitoring will be made in practice, with significant technical oversight from FFI, and accompanying training programmes and protocols. Moreover, the project will ensure that CCT/GCT are more sustainably funded through (increasing) enterprise revenue.

## Section 7 - Risk Management

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### Q21. 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 they are recommended for funding. Do not attach this to your application.**

Risk Description	Impact	Prob.	Gross Risk	Mitigation	Residual Risk
<b>Fiduciary</b> There is a risk of intentional or unintentional financial mismanagement which could lead to lost funds, reputation and project impact and credibility.	Moderate	Unlikely	Modetate	Train staff in financial management. Follow FFI standard operating procedures. All finance staff are qualified finance professionals. Restrict access to funds and funding codes	Minor
<b>Safeguarding</b> There is a risk that FFI staff use their position of relative power and influence in beneficiary communities to cause harm to vulnerable or marginalised people	Major	Possible	Major	Train staff in safeguarding. Involve social safeguard specialists to oversee project. Ensure activities are conducted so that vulnerable people are not isolated at any point. Provie and promote grievance mechanisms.	Minor
<b>Delivery Chain</b> FFI plans to lead delivery directly; there is a risk that, if FFI were unable to work in Vietnam, the whole project would be affected	Major	Unlikley	Major	FFI has excellent relationships with multiple government departments, private sector and civil society groups i Vietnam. Continue to seek relevant permissions and share information to maintain ongoing goodwill. Support national staff to lead implementation	Minor

<b>Risk 4</b> There is a risk that Covid-19 or another pandemic disrupts or halts project activities	Major	Possible	Moderate	Project activities have been planend with Covid-19 restrictions in mind. Staff have ben encouraged to take up vaccines. All current guidelines will be adhered to regarding distancing, masks, etc	Minor
<b>Risk 5</b> The project seeks to develop new assets: there is a risk of corruption and elite capture in the communities.	Minor	Possible	Major	FFI will control all enterprise funding until capacity, governance, financial controls are literacy are sufficiently high to prevent capture. FFI will remain a stakeholder/ co-owner in the enterprise to retain oversight post-project	Minor
<b>Risk 6</b> xxx	x	x	x	xxx	x

## Section 8 - Implementation Timetable

### Q22. 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 and upload this below as a PDF.

[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.



## Section 9 - Monitoring and Evaluation

### Q23. 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.

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

FFI has an established system for monitoring and evaluating project progress. The design and review of indicators and monitoring systems is an integral part of our project cycle management. At project level, all project activities are monitored on an ongoing basis by project staff, and internal reports are made to line management through activity, quarterly and annual reporting processes. The quarterly reports are complemented by quarterly financial meetings to assess budgets versus actual expenditure, monthly thematic and regional team management meetings to review programme developments, and formal project reviews completed by team leaders with their team.

The project team will hold biannual meetings to review progress against the workplan and output indicators, with partners, plus biannual on-line review meetings with UK managers. Activities will be reviewed and monitored during monthly workplan meetings between the FFI Project Manager and the MAC (local CSO). This regular analysis and dissemination of M&E information will inform adaptive management of the project to identify challenges, issues and successes early, and enable the project team to adapt approaches and management to ensure the project achieves intended outcomes. Each partner organisation will be responsible for monitoring and maintaining records of activity outputs, including numbers of direct beneficiary farmer participants, disaggregated by gender. The project manager will be responsible for collating this data. The project team will capture success and failure, and share these with peers and stakeholders, throughout project implementation.

A gender specialist will be involved at the beginning and throughout the project to ensure gender considerations are incorporated throughout the M&E and will conduct a gender evaluation at project end.

Key project indicators related to conservation and biodiversity protection targets, are:

Output 1: The enterprise is established, legally incorporated and based on natural assets, with monitoring coming from reports on asset mapping, marketing and the company articles themselves

Output 2: Sufficient investment secured / into the enterprise to begin it operations (at project end) and to test/trial key aspects of crop diversification and tourism experiences during the project period, measured by the business plan and financial reports

Output 3: Skills and expertise exist locally to operate the enterprise, and for future replication (FFI - or other NGOs - replicate the model and apply for their project sites across Vietnam), as measured by training need assessments and post-training surveys, and scoping reports

Output 4: Changes in local attitudes and behaviours, and wellbeing will be monitored through annual agriculture production surveys, including yields, crops prices and amounts sold, together with data from household surveys, and subsequent safeguards information system and grievance redress mechanism (reports).

Output 5: A reduction in incidents of illegal hunting, maintaining forest area and connectivity, increase in patrol capacity, crime prevention and improved PA monitoring, with 10% of enterprise revenue secured for local/community patrol costs. These will be measured using data from ongoing SMART implementation, annual KAB surveys and household survey data.

Financial information and key project data will be logged in FFI's central database, FocalPoint, to monitor financial spend in line with budgets.

**Total project budget for M&E (this may include Staff and Travel and Subsistence Costs)**

██████████

**Percentage of total project budget set aside for M&E**

██████████

**Number of days planned for M&E**

24

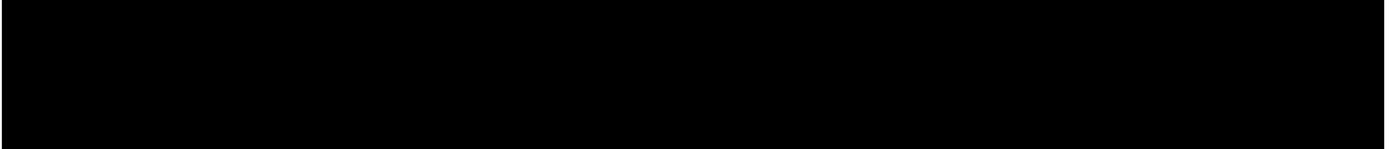
## Section 10 - Logical Framework

### Q24. Logical Framework

**Darwin Initiative projects will be required to monitor (and report against) their progress towards their expected 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.**

[Logframe Template](#)

**Please complete your full logframe in the separate Word template and upload as a PDF using the file upload below. Copy your Impact, Outcome and Output statements and your activities below - these should be the same as in your uploaded logframe.**



**Impact:**

A piloted community-based, pro-conservation enterprise model, which delivers measurable local improvements to wellbeing, nature-friendly attitudes and reduced threats to Cao Vit gibbon in/around the protected area, is being replicated nationally

**Outcome:**

A replicable, legal, collaborative, locally-owned and self-sustaining enterprise has been established to facilitate Cao Vit gibbon conservation, and in particular the expansion of the existing protected area

**Project Outputs**

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**Output 1:**

Enterprise' product value proposition derived from natural assets and market demand for enterprise's nature-based product(s) is in evidence, taking advantage of Vietnam's growing demand for healthy/organic food, an interest in regional delicacies, and a growing local tourism industry which indicates strong potential for branded, certified products and an agro-tourism offering (a growing tourism opportunity in Europe and emerging in Asia).

---

**Output 2:**

Sufficient investment secured / for the enterprise to commence operation

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**Output 3:**

Skills and expertise exist locally to operate the enterprise, and for future replication, by FFI (and other NGOs) in at least three further project sites

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**Output 4:**

Conservation-friendly knowledge-attitudes-behaviours (KAB) of the local community has improved as a result of enterprise development

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**Output 5:**

Community-based conservation is ongoing and part-funded by enterprise revenue

---

**Do you require more Output fields?**

**It is advised to have less 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 and 1.3 are contributing to Output 1**

- 1.1 Enterprise design (to include asset mapping, market research – links also to Outcome 2, legal review and structuring).
  - 1.2 Financial modelling and business planning
  - 1.3 Stakeholder meetings with PA managers (and other government counterparts including Departments of Forest Protection, Agriculture & Rural Development, and Culture and Tourism) to consult on the profit (benefit) distribution mechanism
  - 1.4 Regular, ongoing and gender-disaggregated consultation with local community members (see also 4.5 and 4.6) on their needs/challenges, project impacts, market access issues or changes, existing and potential products, natural assets, role of tourism, and legal structure, and product selection of existing and potential crops that have low-conflict potential with crop-raiding macaques
- 
- 2.1 Investment facilitation through marketing, meetings, networking and drafting of financial/legal documents
  - 2.2 Building private sector partnerships to facilitate operation of the enterprise
  - 2.3 Explore products with potential for certification (e.g. organic, Global G.A.P.) – costs/benefit analysis related to market and community
  - 2.4 Identify product, transport company and marketing strategy
  - 2.5 Linking to buyers that pay premium price and audit products
  - 2.6 Training for farmers on requirements of organic/GAP standards
  - 2.7 SWOT and market analysis of eco, agro and culinary tourism options in Trung Khanh
  - 2.8 Explore tourism certification (e.g. Global Sustainable Tourism Council, Wildlife Friendly) – cost/benefits analysis
  - 2.9 Identify services provided and all business partners (customers and investors)
  - 2.10 Training for local people on customer services, tour guiding and cooking, depending/based on local discussions and community needs- assessments
  - 2.11 Pilot at least one community-based eco/agro-culinary tourism model
- 
- 3.1 Needs assessments, mentoring & training for community members
  - 3.2 Local capacity and local replication through the enterprise
  - 3.3 Needs assessments and capacity building for FFI Vietnam team
  - 3.4 Scoping for replication for other FFI sites
  - 3.5 Capacity building for FFI Vietnam partner organisations and other national NGOs
- 
- 4.1 Complimentary outreach and awareness raising with local communities, focussing on the PA expansion area –



meetings, events and printed materials

4.2 Agricultural trials are undertaken (linked to Outcome 2) to demonstrate best practices for sustainable cultivation of low-conflict crops, grown by/as part of the enterprise, as a means to deter macaques from raiding maize fields, and reduce human-wildlife conflict (HWC)

4.3 Training for farmers on requirements of certification scheme standards for crop production, storage, and processing

4.4 KAB surveys at project start, middle and end, demonstrate that project actions, primarily enterprise development, has improved local KAB by at least 10% by project end amongst target villages

4.5 Socio-economic survey at project start and end (baseline/endpoint)

4.6 Sex-aggregated, social impact survey and against agreed safeguards, and regular FPIC voting on project milestones and PA expansion

5.1 The community-based Gibbon monitoring and Conservation Teams (GCT) and Community Conservation Teams (CCT) are maintained and regularly undertaking SMART patrols and daily gibbon monitoring (observations and data recording). As part of innovative project monitoring, the GCT will pioneer the use of drones and automated acoustic recording devices (AudioMoths) regular gibbon monitoring

5.2 Consultations meetings and co-drafting the articles to ensure that a proportion - at least 10% - of the enterprise's revenue is agreed with all enterprise co-owners (legally, in the company articles) to be put aside for community conservation (see Activity 5.1)

## Section 11 - Budget and Funding

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### Q25. 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 template for projects under £100k](#)
- [Budget template 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.**

**NB: Please state all costs by financial year (1 April to 31 March) and in GBP. The Darwin Initiative cannot agree any increase in grants once awarded.**

**Please note the next section is about the financial aspects of your project, rather than technical elements.**



## Q26. Funding

**Q26a. Is this a new initiative or does it build on existing work (delivered by anyone and funded through any source)? Please give details.**

Development of existing work

**Please give details.**

This project is designed to extend, improve and scale up existing work in the Cao Vit Gibbon Conservation Area (CVGCA). FFI's long-term engagement in this globally important PA has resulted in very significant gains, both for local people and wildlife. However, transformative change is needed in terms of local capacities, perceptions and behaviours, and the enabling conditions in which they live and operate.

The project will harmonise with previous, and ongoing, interventions like the CCT SMART patrolling/monitoring, but will greatly improve the effectiveness and value of both. Building on this, FFI will operationalise rigorous, locally-led, gibbon monitoring.

The project will expand existing PES finance for forest protection, currently in place for the CCT, through the developing and launching of the locally-owned, nature-based enterprise and related revenue streams.

In terms of PA management and the MAC, the project will develop a programme of targeted capacity building, based on IUCN PA role competencies, and making use of study tours and external training opportunities, whilst maintaining and improving the influence of the MAC on PA governance and decision making.

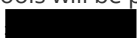
The project supports upgrading the CVGCA to a nature reserve, and expanding its area by over 1,500 (around 100%) which will secure additional state-funding

**Q26b. Are you aware of any current or future plans for similar work to the proposed project?**

No

## Q27. Capital items

**If you plan to purchase capital items with Darwin 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.**

Very few capital items will be purchased under this grant. Only a small number of hand and farming tools will be purchased to support the agricultural diversification and piloting of new crop varieties, etc., up to a maximum of . These tools will remain with community members and participants after project end. The project will also purchase some patrol equipment for CCT and rangers, such as smartphones and GPS units, and also a laptop for SMART data management, all of which will stay with the PA Management Board or the CCT members, as appropriate.

## Q28. 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.**

FFI has been developing and implementing projects in Vietnam for two decades, and has worked in the specific project area for twenty years. When developing this project, we referred back to previous projects and budgets, nationally and for

these sites, to ensure lessons learned are applied to this project and its budget. The project design and budget were co-created with local counterparts and the MAC (CSO), and reviewed both in Vietnam by the core technical and financial teams, and also in the UK by finance staff, cross-cutting experts, and senior management teams.

All procurement at FFI complies with our procurement policy or the donor regulations, whichever is more stringent. Procurement process is required for any value to avoid conflict of interest and ensure value for money. Purchases of [REDACTED] upwards require quotations to be documented. All procurement requires three quotes. Decisions may be made according to quality and safety as well as cost.

For over 10 years FFI has facilitated/support a community-based Management Advisory Committee (MAC) that acts as a PA co-management body and local CSO. The MAC reduces the need for expensive in-country operations and travel costs, cutting overall overheads, while the use of FFI in-house expertise and existing equipment is cheaper than buying in new consultants or equipment, and ensures continuity of support. This project builds on existing information, experience, relationships and legislative frameworks (such as extensive policy work to enable PES payments to support CCTs, and the existing partnership with DARD/FPD) to enable cost-effective start up.

## Section 12 - Outputs, Open Access, Ethics & Safeguarding

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### Q29. Safeguarding

**Projects funded through the Darwin Initiative 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:**

<b>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</b>	Checked
<b>We have attached a copy of our safeguarding policy to this application</b>	Checked
<b>We keep a detailed register of safeguarding issues raised and how they were dealt with</b>	Checked
<b>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</b>	Checked
<b>We share our safeguarding policy with downstream partners</b>	Checked
<b>We have a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised</b>	Checked
<b>We have a Code of Conduct in place 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</b>	Checked

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

All staff are provided with detailed on-line and face-to-face safeguarding training, led by FFI's expert team with the UK HR department. Refresher training will also be provided, annually, and a Vietnamese focal point within the national team has been selected, to lead on any safeguarding reports or concerns. All staff, counterparts and consultants are provided with the safeguarding policy, in Vietnamese and English, and asked to confirm their understanding and adherence. The project will also use FPIC, social/KAB surveys, and gender-disaggregated consultations and focus groups, at the local level, in which safeguarding questions will be asked.

## Q30. Ethics

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

FFI seeks to ensure our activities do not disadvantage poor, vulnerable or marginalised, natural resource-dependent women and men, and wherever possible to conserve biodiversity in ways that enhance human wellbeing and social equity. FFI has committed to respect human rights, promote their protection and realisation within our conservation programmes, and support the governance systems that can secure those rights.

Community stakeholder engagement will follow FPIC principles including comprehensive documentation to evidence how the concerns, knowledge, rights and needs, particularly of vulnerable people, are addressed. We will support appropriate law enforcement agencies to manage conflict and apply legitimate regulations fairly. We will implement a locally appropriate, accessible and transparent Grievance Mechanism.

FFI has a suite of policies and procedures concerning core values and ethical behaviour, including safeguarding, anti-harassment and whistle blowing, as well as an employee handbook. As appropriate, these will be shared downstream to consultants and partners as contractual obligations in subgrant and consultancy contracts.

## Section 13 - FCDO Notifications

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### Q31. FCDO notifications

**Please 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 competition in the host country.**

No

**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. If you have not, please say why not.**

Yes (no written advice)

## Section 14 - Project Staff

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### Q32. Project staff

**Please identify the core staff on this project, their role and what % of their time they will be working on the project.**

**Please provide 1-page CVs or a 1 page job description, further information on who should be classified as core staff can be found in the Finance Guidance.**

Name (First name, surname)	Role	% time on project	1 Page CV or job description attached?
Josh Kempinski	Project Leader	3	Checked
Hoang Van Lam	Programme Manager	11	Checked
Nguyen Duc Tho	Project Manager	15	Checked

Oliver Wearn International Technical Advisor 3 Checked

---

**Do you require more fields?**

Yes

Name (First name, surname)	Role	% time on project	1 Page CV or job description attached?
Ung Sy Hung	SMART/patrol Coordinator	12	Checked
Le Khac Quyet	Chief Biodiversity Officer	4	Checked
Dung Van Khai	Community/Livelihood Coordinator	23	Checked
Emma Scott	Angriultural Enterprise specilaist	12	Checked
Le Yen Anh	Finance and Admin Manager	7	Checked
No Response	No Response	0	Unchecked
No Response	No Response	0	Unchecked
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.**



**Have you attached all project staff CVs?**

Yes

## Section 15 - Project Partners

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### Q33. 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.**

**The partners listed here should correspond to the Delivery Chain Risk Map (within the Risk Register template) which you will be asked to submit if your project is recommended for funding.**

**Lead Partner name:** Fauna & Flora International

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**Website address:** www.fauna-flora.org

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**Why is this organisation the Lead Partner, and what value to they bring to the project?**

FFI is the longest running international conservation NGO, established 1903. Today, FFI is operational in 40 countries. FFI has been working in Vietnam on primate conservation for 20 years, where it is the leading NGO. FFI currently works to conserve eight primate species in Vietnam, with a focus on the five which are both CR and endemic, including the grey-shanked douc. FFI-Vietnam has SMART operations at eight field sites, has established three participatory Management Advisory Committees for PAs and seven Community Conservation Teams (CCTs).

**(including roles, responsibilities and capabilities and capacity):**

FFI's Vietnam Programme currently manages similar, large or ongoing grants (e.g. CEPF and EU) and has operational partnerships with three NGOs here. Beyond these collaborations, FFI has a wealth of experience working with multiple stakeholders and government agencies, at all levels, and on similarly complex, landscape-level projects which integrate land use, PAs and poverty reduction.

Within the project, FFI will take overall lead and responsibility for the quality and delivery of outputs. FFI will lead on work planning and M&E, and technically on the enterprise development approaches and strategy, all consultation, market analysis, securing investment, marketing, PA expansion planning, enforcement patrols and PA / project impact monitoring.

FFI also support the existing local CSO, the PA collaborative Management Advisory Committee (MAC) to take a leading role in the design of the enterprise, and eventually to be the focal point for local ownership. FFI will provide facilitation support, locally, together with overt capacity building and training, and also provide the framework for grievance redress

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**Allocated budget:** [REDACTED]

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**International/In-country Partner**  International

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**Represented on the Project Board**  Yes

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

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**Have you provided a cover letter?**  Yes

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

No

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

## Section 16 - Lead Partner Track Record

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### Q34. Lead Partner Capability and Capacity

Has your organisation been awarded Darwin Initiative funding before (for the purposes of this question, being a partner does not count)?

Yes

Please provide details of the most recent awards (up to 6 examples) and go to Q10.

Reference No	Project Leader	Title
28-002	Sara Calcada	Pioneering sustainable grazing for plants and livelihoods in Cape Verde
28-014	Ngwe Lwin	Gibbon Conservation through Coffee-based Agroforestry in Myanmar
28-020	Josh Kempinski	Safeguarding globally important forests by improving livelihoods and governance
28-027	Pablo Sinovas	Collaborative Protected Area Management & Sustainable Livelihoods in Virachey NP
28-010	Alison Gunn	Community-led stewardship and conservation of the Ometepe Island Biosphere Reserve
28-017	Cath Lawson	Community-led approaches to reforestation benefitting chimpanzees and livelihoods in Uganda

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

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### Q35. Certification

On behalf of the

Trustees

of

Fauna & Flora International

**I apply for a grant of**

£160,000.00

**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, theory of change, 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**

Paul Hotham

**Position in the organisation**

Acting Senior Conservation Director, Regional Programmes

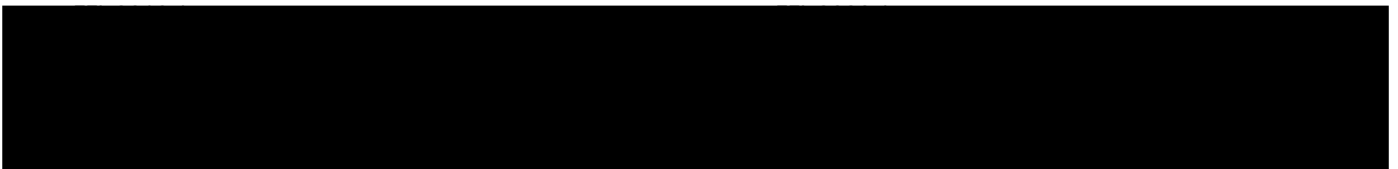
**Signature (please upload e-signature)**



**Date**

06 December 2021

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



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





## Section 18 - Submission Checklist

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### Checklist for submission

<b>I have read the Guidance, including the "Guidance Notes for Applicants", "Supplementary Guidance for Darwin Initiative Innovation", "Monitoring, Evaluation and Learning Guidance", "Theory of Change Guidance", "Risk Guidance" and "Financial Guidance".</b>	Checked
<b>I have read, and can meet, the current Terms and Conditions for this fund.</b>	Checked
<b>I have provided actual start and end dates for my project.</b>	Checked
<b>I have provided my budget based on UK government financial years i.e. 1 April – 31 March and in GBP.</b>	Checked
<b>I have checked that the budget is complete, correctly adds up and I have included the correct final total at the start of the application.</b>	Checked
<b>The application has been signed by a suitably authorised individual (clear electronic or scanned signatures are acceptable).</b>	Checked
<b>I have attached the below documents to my application:</b>	Checked
<ul style="list-style-type: none"><li>• my completed <b>logframe</b> as a PDF using the template provided</li></ul>	
<ul style="list-style-type: none"><li>• my 1 page <b>Theory of Change</b> as a PDF which includes the key elements listed in the guidance</li></ul>	Checked
<ul style="list-style-type: none"><li>• my <b>budget</b> (which meets the requirements above)</li></ul>	Checked
<ul style="list-style-type: none"><li>• my completed <b>implementation timetable</b> as a PDF using the template provided</li></ul>	Checked
<ul style="list-style-type: none"><li>• <b>1 page CV or job description for all the Project Staff</b> identified at Question 32, including the Project Leader, or provided an explanation of why not.</li></ul>	Checked
<ul style="list-style-type: none"><li>• a <b>letter of support</b> from the Lead Partner and partner(s) identified at Question 33, or an explanation of why not.</li></ul>	Checked
<ul style="list-style-type: none"><li>• a <b>cover letter from the Lead Partner</b>, outlining how any feedback received at Stage 1 has been addressed where relevant.</li></ul>	Checked

<ul style="list-style-type: none"> <li>• a copy of the <b>Lead Partner’s safeguarding policy</b>, which covers the criteria listed in Question 29.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• a signed <b>copy of the last 2 annual report and accounts</b> for the Lead Partner, or provided an explanation if not.</li> </ul>	Checked
<b>(If copying and pasting into Flexi-Grant) I have checked that all my responses have been successfully copied into the online application form.</b>	Checked
<b>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.</b>	Checked
<b>I have checked the Darwin website immediately prior to submission to ensure there are no late updates.</b>	Checked
<b>I have read and understood the Privacy Notice on the Darwin Initiative website.</b>	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.**

Checked

**Data protection and use of personal data**

Information supplied in this application form, including personal data, will be used by Defra as set out in the latest copy of the Privacy Notice for Darwin, Darwin Plus and the Illegal Wildlife Trade Challenge Fund available [here](#). 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 organisation, location, and total grant value) on the GOV.UK and other websites.

Information relating to the project or its results may also be released on request, including under the 2004 Environmental Information Regulations and the Freedom of Information Act 2000. However, Defra will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the General Data Protection Regulation (Regulation (EU) 2016/679).

Project Title:

Project Summary	SMART Indicators	Means of Verification	Important Assumptions
<p><b>Impact:</b> (Max 30 words)</p> <p>A piloted community-based, pro-conservation enterprise model, which delivers measurable local improvements to wellbeing, nature-friendly attitudes and reduced threats to Cao Vit gibbon in/around the protected area, is being replicated nationally</p>			
<p><b>Outcome:</b> (Max 30 words)</p> <p>A replicable, legal, collaborative, locally-owned and self-sustaining enterprise has been established to facilitate Cao Vit gibbon conservation, and in particular the expansion of the existing protected area</p>	<p>0.1 By end Y1, an enterprise has been fully scoped, shown to be legal and viable, and has an agreed structure and articles in principle</p> <p>0.2 By end Y2, the enterprise has been registered, licensed, and launched</p> <p>0.3 By end Y2, against a baseline set in Y1Q1, there has been a 10% improvement in Knowledge, Attitudes and Behaviours (KAB) amongst target villages, related to forest protection, the protected area and gibbon conservation</p> <p>0.4 By end Y2, at least 20 local households (in addition to 16 members of the local patrol teams) have reported a direct benefit / improved local livelihoods of at least 25%</p>	<p>0.1 Draft articles, draft business plan and accompanying report on design and development</p> <p>0.2 Business licence and registration documents</p> <p>0.3 KAB report (surveys x 3, at project start, mid-point and end)</p> <p>0.4 Socio-economic and Social Impact Assessment surveys</p> <p>0.5 SMART data (monthly / annual reports) from the Community Conservation Teams patrolling in the current and enlarged PA</p>	<p>A1. The enterprise can be designed as intended, to support conservation, and be locally owned/managed, and yet comply with Vietnam’s social enterprise laws – e.g. on ownership and benefit share – and be politically acceptable to the to the state (Communist Party)</p> <p>A2. The enterprise will be granted a license and registered before the end of the project period</p> <p>A3. That the KAB of local project beneficiaries can and will be measurably influenced (changed) by the enterprise development process</p> <p>A4. That though enterprise development process, including test/trialling of new or improved crops, and tourism (pilot), a target group of local people will</p>

Project Title:

	0.5 By end Y2, against a baseline set in Y1Q1, there has been at least a 30% reduction in incidents of illegal activity inside the PA expansion area		see and report measurable improvement to their livelihoods  A5. That a positive change in KAB will result in a measurable reduction in illegal activities in the areas where the enterprise is being developed and piloted
<b>Outputs:</b> 1. Enterprise' product value proposition derived from natural assets and market demand for enterprise's nature-based product(s) is in evidence, taking advantage of Vietnam's growing demand for healthy/organic food, an interest in regional delicacies, and a growing local tourism industry which indicates strong potential for branded, certified products and an agrotourism offering (a growing tourism opportunity in Europe and emerging in Asia).	1.1 By end Y1 the business design and draft business plan demonstrate how the enterprise will derive its value from nature  1.2 By end Y1 we have proof and a valuation on the demand for the nature-based product(s) of the enterprise  1.3 By end Y2 we have a finalised legal structure and business plan which embody the natural assets and marketability of the enterprise	1.1 Asset mapping report  1.2 Market research report  1.3 Articles of business, legal structure (document) and final business plan	A1.1 That there are local natural assets, of sufficient value, in terms of the gibbon/other wildlife, the forest, landscape and local produce (farm and non-farm), for the enterprise to function  A1.2 That there exists in the domestic market, both for local commodities and tourism products, sufficient demand for the enterprise to be profitable and sustainable
2. Sufficient investment secured / for the enterprise to commence operation	2.1 By end Y1 the project has a viable financial model and draft business plan for the enterprise  2.2 By end Y2 the necessary finance / investment has been secured	2.1 Draft business plan and budget  2.2 Financial report and supporting documents (invoices, accounts)	A2.1 That the funding provided under this grant (requested by FFI) is sufficient to design, develop and establish the enterprise, which has not yet been trialled in Vietnam  A2.2 The enterprise can subsequently attract sufficient investment (e.g. making use of

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			FFI's extensive international and in-country private sector partnerships and corporate donors)
<b>3. Skills and expertise exist locally to operate the enterprise, and for future replication, by FFI (and other NGOs) in at least three further project sites</b>	<p>3.1 By end Y2, all members of the enterprise, including local community (farmers) and government counterparts, have the necessary skills to operate the enterprise unaided, including business/financial management, customer service, guiding, market access/market system development, crop diversification and improving yields</p> <p>3.2 By end Y2 all relevant FFI staff in-country have the skills needed to replicate the model to other HCV sites, KBAs or PAs in Vietnam</p> <p>3.3 Sites for replication have been scoped, identified and prioritised</p>	<p>3.1. Training needs / capacity assessments at project start (baseline) and project end (end-line) [for enterprise members; external]</p> <p>3.2 Training needs / capacity assessments at project start (baseline) and project end (end-line) [for FFI staff; internal]</p> <p>3.3 Enterprise (replication) site scoping reports and strategy</p>	<p>A3.1 That the project team has the capacity to train all enterprise owners and additional FFI staff in enterprise development and business</p> <p>A3.2 That by project end, all stakeholders have the required skills to operate the enterprise</p> <p>A3.3 That even if the model is specifically designed for the CVGA context, other sites in Vietnam exist where replication is appropriate and feasible</p>
<b>4. Conservation-friendly knowledge-attitudes-behaviours (KAB) of the local community has improved as a result of enterprise development</b>	<p>4.1 By end Y2, the knowledge, attitudes and behaviours of the local community members, in target villages (including at least 20 local households around the PA expansion area) have increased by 10%</p>	<p>4.1 KAB report (surveys x 3 at start, middle and end)</p> <p>4.2 KAB report(s) and specific HWC-focused questionnaire at project start and end in the PA expansion area</p>	<p>A4.1 That being involved in the project (enterprise development, farm/non-farm livelihood diversification and community-based conservation) will measurably improve local KAB</p> <p>A4.2 That the diversification of local crops, including low or no-</p>

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	<p>4.2 By end Y2 reported incidents of crop-raiding by macaques (Human Wildlife Conflict - HWC) has reduced by 25% in areas where the enterprise's crop diversification/substitution has been trialled</p> <p>4.3 There are no reported or unresolved negative social impacts, including gender-differentiated impacts, or other safeguard or safeguarding triggers</p>	<p>4.3 Grievance Redress Mechanism (reports); social impact and sex-aggregated data from community consultations (see Outcome 1); Free, Prior and Informed Consent voting/reports</p>	<p>conflict commodities, such as lemongrass, ginger and rice, can have a significant impact on reducing HWC</p> <p>A4.3 That the project guiding principles (and FFI's policies) on gender, community rights net-positive social impacts, coupled with the project's priority consultation and monitoring of these, will insure there are no negative results for the local community, especially vulnerable groups (including women)</p>
<p><b>5. Community-based conservation is ongoing and part-funded by enterprise revenue</b></p>	<p>5.1 CCT and GCT (16 members) are maintaining effective enforcement patrols, at least 15 days/month and gibbon monitoring on a daily basis (rotating teams)</p> <p>5.2 Agreement is secured by end of Y1 that at least 10% of the enterprise's revenue will be allocated to community-conservation tasks/costs</p> <p>5.3 By end Y2, against a baseline set in Y1Q1, there has been a 30% reduction in</p>	<p>5.1 SMART data/annual reports and gibbon observation data/annual reports (all data inputted by the CCT/GCT on smartphones using SMART Connect and Input</p> <p>5.2 Enterprise's legal articles / legal lock, and reflected in the agreed business plan (including benefit sharing)</p> <p>5.3 SMART data (monthly / annual reports) from the Community Conservation Teams patrolling in the current and enlarged PA</p>	<p>A5.1 The project co-funding is secured, but we assume it will be sufficient for the forest patrols to continue and FFI provides ongoing oversight</p> <p>A5.2 That all enterprise owners agree to the legal lock on conservation benefit sharing, and that such a lock can be legally binding</p> <p>A5.3 That the development of the enterprise, and therein testing of crop diversification, other livelihoods and tourism, will</p>

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	incidents of illegal activity inside the PA expansion area		influence KAB such that illegal activity is significantly reduced.
<p><b>Activities</b> (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)</p> <p>1.1 Enterprise design (to include asset mapping, market research – links also to Outcome 2, legal review and structuring).</p> <p>1.2 Financial modelling and business planning</p> <p>1.3 Stakeholder meetings with PA managers (and other government counterparts including Departments of Forest Protection, Agriculture &amp; Rural Development, and Culture and Tourism) to consult on the profit (benefit) distribution mechanism</p> <p>1.4 Regular, ongoing and gender-disaggregated consultation with local community members (see also 4.5 and 4.6) on their needs/challenges, project impacts, market access issues or changes, existing and potential products, natural assets, role of tourism, and legal structure, and product selection of existing and potential crops that have low-conflict potential with crop-raiding macaques</p> <p>2.1 Investment facilitation through marketing, meetings, networking and drafting of financial/legal documents</p> <p>2.2 Building private sector partnerships to facilitate operation of the enterprise</p> <p>2.3 Explore products with potential for certification (e.g. organic, Global G.A.P.) – costs/benefit analysis related to market and community</p> <p>2.4 Identify product, transport company and marketing strategy</p> <p>2.5 Linking to buyers that pay premium price and audit products</p> <p>2.6 Training for farmers on requirements of organic/GAP standards</p>			

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- 2.7 SWOT and market analysis of eco, agro and culinary tourism options in Trung Khanh
- 2.8 Explore tourism certification (e.g. Global Sustainable Tourism Council, Wildlife Friendly) – cost/benefits analysis
- 2.9 Identify services provided and all business partners (customers and investors)
- 2.10 Training for local people on customer services, tour guiding and cooking, depending/based on local discussions and community needs-assessments
- 2.11 Pilot at least one community-based eco/agro-culinary tourism model
  
- 3.1 Needs assessments, mentoring & training for community members
- 3.2 Local capacity and local replication through the enterprise
- 3.3 Needs assessments and capacity building for FFI Vietnam team
- 3.4 Scoping for replication for other FFI sites
- 3.5 Capacity building for FFI Vietnam partner organisations and other national NGOs
  
- 4.1 Complimentary outreach and awareness raising with local communities, focussing on the PA expansion area – meetings, events and printed materials
- 4.2 Agricultural trials are undertaken (linked to Outcome 2) to demonstrate best practices for sustainable cultivation of low-conflict crops, grown by/as part of the enterprise, as a means to deter macaques from raiding maize fields, and reduce human-wildlife conflict (HWC)



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4.3 Training for farmers on requirements of certification scheme standards for crop production, storage, and processing

4.4 KAB surveys at project start, middle and end, demonstrate that project actions, primarily enterprise development, has improved local KAB by at least 10% by project end amongst target villages

4.5 Socio-economic survey at project start and end (baseline/endline)

4.6 Sex-aggregated, social impact survey and against agreed safeguards, and regular FPIC voting on project milestones and PA expansion

5.1 The community-based Gibbon monitoring and Conservation Teams (GCT) and Community Conservation Teams (CCT) are maintained and regularly undertaking SMART patrols and daily gibbon monitoring (observations and data recording). As part of innovative project monitoring, the GCT will pioneer the use of drones and automated acoustic recording devices (AudioMoths) regular gibbon monitoring

5.2 Consultations meetings and co-drafting the articles to ensure that a proportion - at least 10% - of the enterprise's revenue is agreed with all enterprise co-owners (legally, in the company articles) to be put aside for community conservation (see Activity 5.1)