



Department
for Environment
Food & Rural Affairs

Illegal Wildlife Trade Challenge Fund

Business Case (2021/22 – 2024/25)

Department of Environment, Food and Rural Affairs

Annexes

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ANNEX A - ASSESSMENT OF OUTSOURCING VS IN HOUSE PROVISION OF ADMINISTRATIVE SUPPORT

Summary

Table 1: Summary of options including upscaling of Darwin Fund and IWT Challenge Fund

| Option | Total Cost (£) | Benefits | Risks |
|---|-----------------------------------|---|---|
| Option 1 Retender contract but keep payments within Defra (~ do nothing) | £1,680,000 | Moderate. We continue to benefit from technical expertise of consultants contracted to deliver the services we require, while maintaining control over payments. | Limited risks. Lack of capacity in-house to administer increased payments may result in delayed payments. |
| Option 2 Bring all work in house | £1,012,000 | Low – moderate. In the long-term this could, if sufficient investment is made in in-house capability building, result in increased in-house expertise and institutional knowledge, meaning Defra do not have to rely on external parties. | Moderate-high risk. Challenges due to the current lack of technical expertise within Defra and lack of capacity in-house to administer increased payments. High risk of delays in the administration of the grants. |
| Option 3 Compete all services in the open market | Between £1,700,000 and £2,000,000 | Very high, given that we benefit from international expertise, networks and economies of scale that the organisations we are targeting will have. | Limited risks. Potential for delay in the short-term as the contract takes over payments from Defra |

Options for administration of upscale of Darwin Fund and IWT Challenge Fund

We have assumed that the uplift of the Challenge Fund from £3-4m to £6.66m per year; and of the Darwin Fund from £10m to £30m per year, would lead to a proportionate increase in workload. We have applied a x 2.64 increase to current contract values and costs to reflect this.

Calculation: The total size of the IWTCF and Darwin grant schemes will increase from £14m (4+10) to £37m (7+30) per year from April 2021. The costs would therefore be x 2.64 the current costs (or an increase of 164% compared to now).

NB: These basic assumptions can easily be modified. As they are consistent across our options, the comparison between options will not change in relative terms.

Option 1: Retender contract but keep payments within Defra (~ do nothing)

Costs:

The total cost of Option 1 is £1,679,632.97: £1,518,000 for the contract, plus **£161,632.97** Defra staff costs.

The contract costs are assumed to remain the same as the cost of the previous contract **£575,000 per year** but scaled up proportionately to the scale up we expect in the international funds (an increase of x2.64), to **£1,518,000 per year**.

The current contract cost for all the services provided including processing applications, communication, M&E, training workshops, is approx. **£575,000** including VAT [based on an average across 4 years where the total value is £2.3 million] but the value of the contract varies every year depending on the applications received and ad hoc tasks that may come up.

Table 2: Contract costs (GBP, £)

| | Total Excl VAT | Number | Total incl VAT |
|---|--|------------------------------------|-------------------|
| Annual fixed costs | £370,625 | - | £444,750 |
| per application costs | £43 | 400-500 @ Stage 1; 80 @ Stage 2 | £27,348 |
| Staff costs (est.; only per day costs available in contract) | £82,321.6 | - | £102,902 |
| Total | | | £575,000 |
| | Including a scale up (x 2.64 increase) | | £1,518,000 |

This includes:

- **£370,625** (excluding VAT) ‘fixed’ costs per year for various services (as described in contract). ‘Fixed’ costs here refer to costs that were fixed annually in the previous contract, but would increase proportional to the scale-up of programming (e.g. Project Management and M&E costs).
- £43 per application (excluding VAT) which come to approximately **£22,790** (excluding VAT) (based on 450 applications at stage 1 costing £19,350 to process, and 80 at stage 2 costing £3,440 to process); and additional staff costs of approx. **£82,321** (excluding VAT) (calculated based on amount remaining once other costs have been subtracted from total annual average value of the contract). With VAT, these costs come to **£575,000 per year**.

A scale up in work by about 50% would require a contract value of **£862,500 per year**.

In-house payments

We estimate that the current cost of making payments to grant recipients is about **£61,225**, covering the full costs of 1 HEO at 0.25FTE and 2 AOs at 0.5 FTE, using the region average found here in the Defra Ready Reckoner. The number of payments would increase by about 50% with the proposed expansion of the funds, from around 700 per year at present to between 950-1,050 (representing an increase of up to 50%). This would imply a cost of up to about **£161,632.97** per year if we were to maintain the function in-house.

Table 3: Defra FTE staff costs (GBP, £ including VAT and NI)

| Grade | Salary (based on all region average) | IT | SSLC | Overheads | Estates (based on London Nobel House) | Total | FTE | Total (£) |
|--|---------------------------------------|--------|---------|-----------|---------------------------------------|---------|------|-----------------|
| HEO | £39,552 | £2,188 | £228.69 | £6,263 | £12,000 | £60,732 | 0.25 | £15,183 |
| AO | £24,862 | £2,188 | £228.69 | £6,263 | £12,000 | £46,042 | 0.5 | £23,021 |
| AO | £24,862 | £2,188 | £228.69 | £6,263 | £12,000 | £46,042 | 0.5 | £23,021 |
| TOTAL | | | | | | | | £61,225 |
| L With scale-up by x 2.64 to account for additional staffing and workload | | | | | | | | £161,633 |

Benefits: Moderate. The current contract arrangements have been effective and satisfactory over the past 17 years. We have benefited from the technical expertise of consultants contracted to deliver the services we require. However, the systems used to make payments in foreign currencies to grant recipients are not fit for purpose, requiring a significant amount of staff time and a separate lengthy form to be filled out for each forex payment.

Risks: Limited risks. Some element of risk linked to a lack of capacity in-house to administer increased payments may result in delayed payments.

Option 2: Bring all work in house

Costs: In a scaled-up scenario, our costs would come to **£1,011,831.97**; including **£966,555.97** in staff costs and **£45,276** in expenses including travel and workshops (all including VAT).

Based on current grant scenario (without an uplift in funding), the total costs of this option, would be **£178,782.97 (including VAT)**. This includes **£161,632.97** for our staff costs plus **£17,150** for expenses including travel and workshops (all including VAT). If we were not to renew the current contract and instead bring the work currently contract out in house, the costs would be estimated to be up to the FTE equivalent of the staff who currently do this work externally for us. The current contractor not only administers finances related to the projects we fund (as in Option 1). They also a) conduct independent M&E assessments of bids, b) work with in country offices to produce project evaluations, c) complete a couple of project evaluations annually with tailored recommendations and reports and d) run training sessions on evaluations and workshops for applicants.

Based on the current externally contracted staff; our in-house costs would be as follows:

1 FTE administrator (~HEO) and 1 FTE administrator - (EO);

1 FTE specialist providing technical support (SEO); 1 FTE specialist providing technical support (M&E specialist, G7) and 0.5 FTE specialist M&E support (HEO)

Table 4: FTE staff costs (GBP, £)

| Grade | Salary (based on | IT | SSLC | Overhead s | Estates (based | Total | Number of staff | Total (£) |
|-------|------------------|----|------|------------|----------------|-------|-----------------|-----------|
|-------|------------------|----|------|------------|----------------|-------|-----------------|-----------|

| | all region average) | | | | on London Nobel House) | | | | |
|--|---------------------|--------|---------|--------|------------------------|---------|-----|---------|-----------------|
| G7 | £65,449 | £2,188 | £228.69 | £6,263 | £12,000 | £86,129 | 1 | £86,129 | |
| SEO | £48,442 | £2,188 | £228.69 | £6,263 | £12,000 | £69,122 | 1 | £69,122 | |
| HEO | £39,552 | £2,188 | £228.69 | £6,263 | £12,000 | £60,232 | 1.5 | £90,348 | |
| EO | £32,120 | £2,188 | £228.69 | £6,263 | £12,000 | £52,800 | 1 | £52,800 | |
| TOTAL | | | | | | | | | £298,399 |
| With scale-up by x2.64 to account for additional staffing and workload | | | | | | | | | £787,773 |

In-house costs for managing payments would stay the same

Table 5: FTE staff costs (GBP, £ including VAT and NI)

| Grade | Salary (based on all region average) | IT | SSLC | Overheads | Estates (based on London Nobel House) | Total | FTE | Total (£) | |
|---|--------------------------------------|--------|---------|-----------|---------------------------------------|---------|------|---------------|------------------|
| HEO | £39,552 | £2,188 | £228.69 | £6,263 | £12,000 | £60,732 | 0.25 | 15,183 | |
| AO | £24,862 | £2,188 | £228.69 | £6,263 | £12,000 | £46,042 | 0.5 | 23,021 | |
| AO | £24,862 | £2,188 | £228.69 | £6,263 | £12,000 | £46,042 | 0.5 | 23,021 | |
| TOTAL | | | | | | | | | 61,224.61 |
| With scale-up by x 2.64 to account for additional staffing and workload | | | | | | | | | 161,6323 |

Additional expenses: We would incur additional costs for travel and training. The below assumption is based on approximations of what the current contractor provides.

| | Refreshments for 30 applicants per event | Venue (Nobel House) | Total | Number of events | TOTAL |
|--|--|---------------------|-------|------------------|---------------|
| Training events 1 full day / year | £450 | £0 | £450 | 4 | £1,800 |
| Strategy days (2) and application workshops (5) | £450 | £0 | £450 | 7 | £3,150 |
| TOTAL | | | | | £4,950 |

With scale-up by x 2.64 to account for additional staffing and workload

£13,068

NB: This assumes a saving associated with using a Defra venue. An external venue would cost 1000 per day [e.g. the Garden Museum in Vauxhall]

| | Flights and visa per person | T&S for 3 nights | Total | Number of trips per year | Number of staff | TOTAL |
|--|-----------------------------|------------------|--------|--------------------------|-----------------|----------------|
| Project visit in country | £1,000 | £525 | £1,525 | 4 | 2 | £12,200 |
| With scale-up by about 50% to account for additional staffing and workload | | | | | | £32,208 |

Benefits: Low-moderate. International funds could be managed in-house satisfactorily but not to the highest standard. At least in the short-medium term, Defra currently lacks the technical expertise to administer the funds to the same standard as the external contractor: the winning contractor will need to show that it has expertise and networks to draw on which Defra does not currently have in-house including technical expertise on conservation, development, in-country experience, efficient systems for making foreign payments, and M&E. In the long-term this could, if sufficient investment is made in in-house capability building, result in increased in-house expertise and institutional knowledge, meaning Defra does not have to rely on external parties.

Risks: Moderate-high risk. Challenges due to the current lack of technical expertise within Defra and lack of capacity in-house to administer the grant schemes and the increased payments. This could risk delays in the administration of the grants, particularly as the number of payments increases.

Option 3: Compete all services in the open market

Costs: The maximum we would be willing to pay given the level of services required in this option and the costs of the other two options would be between **£550-600,000 per year (including VAT)**, based on current grant scheme funding and **between £1,700,000 and £2,000,000** (including VAT) for a scale up of grant programmes by approximately 2.64 and the additional services provided. NB: We have provided a range of costs as we do not currently know how much making payments through an outsourced provider will cost in advance of going out to market for the service.

Benefits: Very high, given that we benefit from international expertise, networks and economies of scale that the organisations we are targeting will have. Opening up the contract to the market will increase our chance that we obtain a competitive price and value for money. The competitive process will encourage high efficiency and value for money.

Risks: Limited risks. Potential for delay in the short-term as the contract takes over payments from Defra. However, in the medium to long term, this risk would go down.

ANNEX B – PROVISIONAL IWTCF ROUND 7 PROJECTS

| Ref | Title | Organisation | Country | Species | Project Summary |
|------------------|---|--------------|-------------|--|---|
| IWTR7S2\ 1039 | Mainstreaming traditional hunting communities of western Nepal in tiger conservation | NTNC | Nepal | Tiger Rhino Leopard Pangolin Crocodile Antelope | The Banke-Bardia complex holds the second largest population of endangered Royal Bengal Tiger in Nepal. Poaching and illegal trade of tiger and its body parts, hunting of prey species for meat and livelihood, and retaliatory killings are major threats to tiger conservation. The project aims to reduce the threats to tigers through nature-based livelihood support programmes to ~800 targeted households involved in hunting, capacitating frontline staff and strengthen wildlife enforcement together with increasing conservation awareness among local communities. |
| IWTR7S2\ 1007 | Combating Palawan pangolin trafficking; empowering community-based protection and proactive enforcement | ZSL | Philippines | Pangolin Other IWT species indicated by local communities | This project will protect two important Critically Endangered Palawan pangolin populations through developing community-led local pangolin conservation models ('LPCAs') for replication across the species' range. This model: i) empowers local communities to manage their natural resources; ii) creates incentives for protecting pangolins, explicitly linking pangolin conservation to financial benefits from sustainable livelihoods and community banking schemes; iii) increases social benefits from positive pangolin stewardship; and iv) strengthens disincentives for poaching/trafficking through building law enforcement capacity and commitment to combating IWT. |

| | | | | | |
|------------------|--|-------------------------------|--|--|---|
| IWTR7S2\ 1014 | Holding Uganda-based transnational wildlife criminals accountable by empowering financial investigations | Basel Institute on Governance | Uganda | Elephant Rhino Pangolin | The project will help Uganda's wildlife enforcement bodies leapfrog the hurdles to catching and convicting transnational wildlife traffickers by: a) scaling up financial investigations at the Natural Resource Conservation Network (NRCN) and its partners Uganda Wildlife Authority (UWA) and Uganda Revenue Authority (URA); b) upgrading financial network analysis skills, including open-source intelligence, mobile payments and cryptocurrencies; c) advancing IWT cases by building prosecutorial skills to argue financial aspects in court; d) facilitating information flows to/from transport and financial firms. |
| IWTR7S2\ 1016 | Building effective responses to illegal wildlife trade across Central Asia | FFI | Kyrgyzstan Tajikistan Uzbekistan Kazakhstan | Tortoise Snow leopard Saker falcon Horseshoe bat Desert monitor Saiga antelope Rosewort Onion | In Central Asia, wildlife is smuggled across vast international borders, but law enforcement agencies lack sufficient data, resources and trained personnel to mount an effective response. This project will combat IWT in Kyrgyzstan, Tajikistan, Uzbekistan and Kazakhstan by identifying trade hotspots/routes and strengthening capacity to intercept wildlife products (training >150 frontline officers, rolling-out of sniffer dogs) in these strategic locations. By engaging with key decision-makers, we will promote greater, more coordinated action against IWT at a national and transboundary level. |
| IWTR7S2\ 1052 | Enhancing East-African Judicial Systems: Increasing Wildlife Crimes Asset-recovery and Convictions | Space for Giants | Kenya, Uganda, Rwanda, South Sudan | Elephant Lion Pangolin Primates Hippo Giraffe | Space for Giants (SfG) and the East African Association of Prosecutors (EAAP) will work in Kenya, Uganda, Rwanda and S. Sudan to: -improve wildlife crime legal capacity and convictions -tackle corruption -recover criminals' assets SfG will monitor and review wildlife case performance in all countries, produce baseline surveys of wildlife crime prosecutions in Rwanda & S.Sudan, and develop S.Sudan's Mutual Legal Assistance (MLA) Law & Prosecution Policy, and a regional MLA guide for trans-boundary collaboration on IWT across the region. |

| | | | | | |
|------------------|---|-------------------------------|-----------------|---|---|
| IWTR7S2/ 1011 | Control poaching and IWT by strengthening community guardianship in Chitwan | NTNC | Nepal | Rhino Tiger Leopard Gaur Pangolin Gharial | Chitwan National Park, a World Heritage site is biodiversity rich area with rare and endangered wildlife – rhinos, tigers, elephants, pangolins, gharials. Poaching/IWT is a major threat to wildlife. Socio-economically marginalized people are often used by middleman and lured on poaching/IWT. Economic impacts of COVID-19 has further accelerated this risk. Thus, this project will focus on i) providing alternative livelihoods to the targeted IWT affected families ii) strengthening Community Based Anti-Poaching Units (CBAPUs), and iii) education/outreach activities to enhance awareness. |
| IWTR7S2\ 1015 | Disrupting the financing of Andean IWT networks through asset recovery | Basel Institute on Governance | Bolivia Peru | Wildcat Bear Macaw Finch Parrot Primates Amphibians Reptiles Timber | This project aims to disrupt IWT networks in Bolivia and Peru by embedding financial investigation and asset recovery into IWT enforcement practice, building on the successful application of asset recovery techniques to combat organised crime and corruption in Latin America. |
| IWTR7S2\ 1019 | Protecting megafauna through on-the-ground, legislative and enforcement strengthening in Aceh | PanEco | Indonesia | Orangutan Elephant | Sumatran orangutans and elephants are extremely vulnerable to IWT, and demand for these species is high and well-documented. Our project will enhance the Acehese provincial legislative framework, and agency-level capacity for effective application of IWT laws. Furthermore, we will increase presence and efficacy of on-the-ground protection responses to tackle IWT across the Leuser and Ulu Masen Ecosystems, and strengthen how human-wildlife conflict, as a driver of IWT, is mitigated while fostering Acehese community-led and traditional wildlife protection. |

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|------------------|---|-------------------------|------------------------------------|---|--|
| IWTR7S2\ 1020 | Ensuring the deterrent enforcement of counter IWT legislation in Malawi | Lilongwe Wildlife Trust | Malawi, Zambia, Zimbabwe | Rhino Pangolin Hippo Rosewood | Wildlife trafficking in Malawi will be reduced through securing effective and fair wildlife crime prosecutions. We will conduct courtroom monitoring, private prosecutions, support open judicial dialogue and case law reviews. We have proven these activities to be effective in securing appropriate, deterrent sentences. Our work will help drive transparency in judicial processes, reduce corruption and deliver on-the-job mentoring. Collaborating with Zambian and Zimbabwean partners will enable regional analysis of court outcomes and promote shared learning in effective wildlife crime prosecutions. |
| IWTR7S2\ 1040 | Mongolia's New Ecological Police: Global Standards and Community Engagement | ZSL | Mongolia | Musk deer Eagle Snow leopard Saker falcon Wolf Marmot | Co-designed with Mongolian and UK partners this project will disrupt IWT through: 1) building and sustaining the newly established Ecological Police Department (EPD) and partners' law enforcement (LE) efficacy, through institutionalising state-of-the-art training; 2) establishing world-class standards for EPD Detector Dog training and strategic deployment; 3) strengthening EPD's rural engagement through partnership with Arkhangai Local Protected Area (LPA), empowering community-led governance to jointly mitigate IWT, while improving wellbeing; and 4) bolstering public awareness of EPD's role in combating IWT. |
| IWTR7S2\ 1023 | Case closed? Using historic cases to enable new financial investigations | RUSI | Malawi, Mozambique, Zambia, Uganda | Elephant Rhino Pangolin Lion Various species targetted for bushmeat Rosewood | IWT is conducted for profit, yet financial investigations are rarely used. This results in missed opportunities to investigate high-level actors and confiscate criminal gain. In 2020, the Financial Action Task Force recommended closed IWT cases be revisited to develop financial intelligence. This project supports Malawi, Mozambique, Zambia and Uganda in conducting multi-agency IWT closed-case reviews to generate new financial intelligence and improve investigative capacity. Activities will involve financial analysis of cases, delivery of 'train-the-trainer' workshops, best practice and operational support. |

| | | | | | |
|------------------|---|-------------------------|--------------------------------|--|---|
| IWTR7S2\ 1041 | Securing Chitwan-Sindhuli Green Corridor; strengthening community stewardship and law enforcement | ZSL | Nepal | Pangolin Tiger Rhino | Across the Green transboundary corridors in Chitwan-Sindhuli, this project will protect pangolins and other illegally traded wildlife species, through i) improved national and transboundary intelligence sharing and coordination among law enforcement agencies (LEA) ii) upskilled LEA agents utilising evidence-based approaches to inform effective LE efforts to disrupt IWT iii) community-managed pangolin conservation areas implementing a community-led pangolin protected area (PA) network, and iv) vulnerable community members engaging in sustainable livelihoods and inclusive participatory decision-making, resulting in improved well-being. |
| IWTR7S2\ 1057 | Stemming illegal wildlife trade and enhancing community livelihoods in Zimbabwe | Savé Valley Conservancy | Zimbabwe | Rhino Wild dog Pangolin Elephant Lion Cheetah | SVC, Southeast Lowveld, Zimbabwe, is one of Africa's largest conservancies, being part of the Greater Limpopo Trans Frontier Conservation Area (GLTFCA). SVC supports critical populations of rare, threatened, and endangered (RTE) species such as an IUCN-listed 'Key 1' population of black rhinos and an 'Important 1' population of white rhino, wild dog, and pangolin. This project aims to enhance anti-poaching and IWT work in SVC to protect these key species, effectively engage communities in anti-poaching and reduce human wildlife conflict. |
| IWTR7S2\ 1006 | Disrupting international wildlife trafficking networks in West and Central Africa | EIA | Nigeria, Gabon, Cameroon | Elephant Pangolin | This project will reduce the international trafficking of elephant ivory and pangolins in West/Central Africa. It will do this by building more effective criminal justice responses to organised wildlife trafficking in Nigeria by working with government and civil-society organisations. The project will generate information to inform intelligence-led law enforcement investigations into trafficking and corruption, build capacity for wildlife crime financial investigations, and enhance regional cooperation, including with Gabon and Cameroon. |

| | | | | | |
|------------------|--|--|-----------|--|--|
| IWTR7S2\ 1043 | Demand reduction behavior change in illegal Venezuelan threatened bird markets | Provita | Venezuela | Red siskin Amazon | <p>Effective behavior change campaigns in South American countries are limited by heterogeneous quality in design schemes and language barriers that impede the adoption of existing best practices.</p> <p>We propose to increase the adoption of best practices for such campaigns and their taxonomic and geographic reach by: 1) implementing theory and evidence-based campaigns for two Venezuelan threatened bird species, with contrasting illegal trade dynamics, and 2) generating tools and guides to design and monitor campaigns adapted to regional conditions and language.</p> |
| IWTR7S2\ 1005 | Building long term capacity to combat IWT in Sri Lanka | Environmental Foundation (Guarantee) Ltd | Sri Lanka | Freshwater fish Tortoise Lizard Pangolin Seahorse Seacucumber Mobula rays Shark Land snail Sandalwood Agarwood | <p>The project aims to take essential steps towards the revival of the Sri Lankan Wildlife Enforcement Network (SLaWEN) and equip the network with the means for an improved law enforcement response to the trafficking of wildlife from and through Sri Lanka.</p> <p>A tailored, need-based wildlife trafficking and conservation course will be administered to officers of SLaWEN member institutions. Further, timely and responsive action on IWT cases will be encouraged through engagement with judicial and prosecutorial officers.</p> |
| IWTR7S2\ 1035 | Reducing Poverty and Illegal Trade utilizing Bolivia's Charismatic Red-fronted Macaw | Asociacion Armonia | Bolivia | Macaw Parakeet Parrot | <p>Armonía-Bolivia stopped the illegal wildlife trade of the Critically Endangered Red-fronted Macaw in the RioMizquepopulation through a broad education program, and the development of ecotourism, beekeeping and eco-agricultural programs. We will develop these same programs in the Torotoro Municipality to end this last illegal wildlife trade stronghold in Bolivia. The direct and indirect beneficiaries of this project are five Quechua communities, the Torotoro municipality (10,870 inhabitants) and National Park and over 2 million people living in large cities.</p> |

ANNEX C - ELIGIBLE COUNTRIES

Low Income Countries

| | | | |
|----------------------|-------------------|---------------------|-------------|
| Afghanistan | Ethiopia | Mali | South Sudan |
| Bangladesh | Gambia | Mauritania | Sudan |
| Benin | Guinea | Mozambique | Tanzania |
| Bhutan | Guinea-Bissau | Myanmar | Timor-Leste |
| Burkina Faso | Haiti | Nepal | Togo |
| Burundi | Kiribati | Niger | Tuvalu |
| Cambodia | Korea, Democratic | Rwanda | Uganda |
| Central African Rep. | People's Republic | São Tomé & Príncipe | Yemen |
| Chad | Laos | Senegal | Zambia |
| Comoros | Lesotho | Sierra Leone | Zimbabwe |
| Congo, Dem. Rep. | Liberia | Solomon Islands | |
| Djibouti | Madagascar | Somalia | |
| Eritrea | Malawi | | |

Lower Middle-Income Countries

| | | | |
|---------------|-------------------------|------------------|------------------------|
| Angola | Georgia | Mongolia | Tunisia |
| Armenia | Ghana | Morocco | Uzbekistan |
| Bolivia | Guatemala | Nicaragua | Vanuatu |
| Cabo Verde | Honduras | Nigeria | Viet Nam |
| Cameroon | India | Pakistan | West Bank & Gaza Strip |
| Congo, Rep. | Indonesia | Papua New Guinea | |
| Côte d'Ivoire | Jordan | Philippines | |
| Egypt | Kenya | Sri Lanka | |
| El Salvador | Kyrgyzstan | Syria | |
| Eswatini | Micronesia, Fed. States | Tajikistan | |

Upper Middle-Income Countries

| | | | |
|--------------------|------------------|---------------------------------|--------------------------------|
| Algeria | Fiji | Mauritius | St Lucia |
| Argentina | Gabon | Mexico | St Vincent & the Grenadines |
| Belize | Grenada | Montserrat | Suriname |
| Botswana | Guyana | Namibia | Thailand |
| Brazil | Iran | Nauru | Tonga |
| China | Iraq | Niue | Turkey |
| Colombia | Jamaica | Pakistan | Turkmenistan |
| Costa Rica | Kazakhstan | Paraguay | Venezuela |
| Cuba | Lebanon | Peru | |
| Dominica | Libya | Pitcairn Islands | |
| Dominican Republic | Malaysia | Samoa | |
| Ecuador | Maldives | South Africa | |
| Equatorial Guinea | Marshall Islands | St Helena & Tristan da Cunha | |

ANNEX D – DRAFT LOG FRAME, INDICATORS AND ASSUMPTIONS

Draft log frame with assumptions and potential indicators, to be strengthened further through the ongoing independent evaluation contract with Ecorys. Examples of the types of results we are expecting for IWTCF Round 7 projects (representing a total UK grant spend of £7.4m) are provided in red next to the relevant indicator. Estimates reflect the results that might be achieved by the end of the project lifetimes (2025) and do not account for any post-project results. Estimates assume project outcomes are generally achieved in line with the projects logframes. A range is presented accounting for +-25% potential variation in results.

| Impact | Potential indicators |
|---|--|
| Provide innovative and scalable solutions to reduce pressure on wildlife from illegal trade and, in doing so, reduce poverty in developing countries. | <ul style="list-style-type: none"> • Percent and number of animals illegally killed and /or collected in target regions.¹ • Transformational change (methodology to be developed, but to be influenced by the ICF KPI 15) |

| Outcome | Potential indicators |
|--|--|
| Key actors in developing countries/regions have adopted and implemented innovative and effective measures to strengthen law enforcement. | <ul style="list-style-type: none"> • Number of beneficiaries receiving capacity-building on compliance and enforcement. Between 600-1000 beneficiaries of law enforcement training. • Number of technologies, regulations and standards adopted or amended. • Number of technologies that receive additional investment. • Percentage reduction in poaching incidents in target area. • Detection rate of evidence of IWT crime= [# of encounters with suspected poachers, poaching equipment, illegal wildlife products in markets, illegal wildlife products in transit, or illegal wildlife products found on a person] per unit time or area (disaggregated by type of evidence) • Probability of arrest = # of suspected IWT crimes for which an arrest is made / total # of suspected IWT crimes for which an arrest is warranted |

¹ Difficult to determine for illegal trade due to illicit nature. Also for demand reduction projects whose impact on the target species might be indirect. Instead use proxies. For example:

- number of poachers or snares encountered,
- number units of illegal wildlife product observed in markets, or
- percent of wildlife product observed in markets that are illegal.

| | |
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| <p>Key developing countries/regions have the political will and resource to adopt and implement effective legal frameworks.</p> | <ul style="list-style-type: none"> • Number of reforms passed that address policy and legal gaps and issues. • Number of personnel with increased awareness of IWT laws and penalties. • Number of IWT prosecutions supported. <p>Between 80-130 cases initiated, investigated, monitored, or analysed.</p> <ul style="list-style-type: none"> • Number of beneficiaries receiving capacity-building on effective legal frameworks. • Probability of conviction = # of prosecuted IWT crimes that result in conviction / total # of prosecuted IWT crimes • Probability of sentence of appropriate penalty= # of convictions of IWT crimes that are appropriately sentenced / total # convictions of wildlife (or associated) crime • Probability of appropriate sentences being served= # of convictions of IWT crimes with appropriate sentences in which sentences are fully served / total # of convictions of IWT crimes with appropriate sentences. |
| <p>Effective demand reduction interventions are developed and capabilities within governments and key institutions strengthened to reduce consumer demand for IWT products.</p> | <ul style="list-style-type: none"> • Number of countries reporting policy procedures/frameworks strengthened to support demand reduction strategies. • Number of beneficiaries of reached by demand reduction/awareness raising campaigns <p>Between 1.5m-2m individuals (general public/community members/students etc.) with improved education/awareness around IWT.</p> <ul style="list-style-type: none"> • Number of demand reduction strategies implemented. <p>1 (project IWTR7S2\1043)</p> <ul style="list-style-type: none"> • Number of projects demonstrating change in target audience’s desired behaviour. • Number of beneficiaries receiving capacity-building assistance that successfully carry out effective demand side interventions. • Percent of target audience that receives demand reduction messaging, expresses desired attitudes and/or engages in increased interpersonal communication on the topic • Percent of target audience for which main barriers are removed and/or for which the desired behaviour is enabled • Percent of target audience that demonstrates desired behaviour. • Percent change in sales of target IWT products. |
| <p>Improved strategies at local and national levels to support sustainable livelihoods that benefit people directly affected by IWT</p> | <ul style="list-style-type: none"> • Percent and/or number of community members that take up sustainable livelihood options to support sustainable livelihoods. |

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| | <p>Between 4000-7000 individuals provided with, involved in, or targeted for alternative livelihoods.</p> <ul style="list-style-type: none"> • Community voices represented in national, regional and international policy dialogues on IWT. • Number of countries reporting policy procedures/frameworks strengthened to support sustainable livelihoods. • Percent and number of community members in target area who perceive a benefit (e.g., economic, security, governance, intrinsic value of wildlife) from actions to reduce IWT. • Percent and number of people/households with improved economic benefits derived from actions to reduce the IWT. • Number of wildlife crimes reported by community members to the appropriate authorities. |
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Assumptions

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| <ul style="list-style-type: none"> • Reduced poaching will lead to higher levels of wild flora and fauna. • Tackling the IWT requires innovative approaches that can be scaled to drive system wide change. • Key to delivering these outcomes is building local capacity and better and sustained partnerships across different sectors. • Country remains committed to reducing IWT through reforms of the criminal justice system. • IWT supply chains and markets have not corrupted decision-makers and authorities to the point where advances are not sustainable. • Greater number of successful prosecutions is a sufficient disincentive to participants in the IWT supply chain, and leads to behaviour change. • Communities with greater ability to mitigate HWC (resources, tools, policies) feel less antagonism towards wildlife. • Increased levels of wildlife will provide new livelihood options e.g. through tourism for example. |
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| Outputs | Potential indicators |
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| <p>Enhanced human and technical capacity and capabilities to tackle the IWT at national and local levels.</p> | <ul style="list-style-type: none"> • Number of stakeholder groups that have new resources to support successful IWT interventions. • Number of stakeholders that have received capacity-building assistance and training. |
| <p>Mobilising partnerships and networks across public, private stakeholders and local communities to support IWT interventions.</p> | <ul style="list-style-type: none"> • Number of documented collaboration events. • Number of international and regional investigations shared among law enforcement authorities). • Number of secondments or placements conducted (disaggregated by gender). • Number of projects where co-delivery partners received more than [X]% of the award. • Leveraged funding achieved by projects (disaggregated by public/private finance) at application stage. |

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| Demonstration and testing of innovations in technologies | <ul style="list-style-type: none"> • Number of innovative approaches tested. |
| Evidence of effectiveness and ideas and lessons shared widely | <ul style="list-style-type: none"> • Number of best practice guides developed or strengthened. • Number of IWT situational analyses conducted and published. • Number of downloads of peer reviewed publications and best practices. |
| Quality of project design and delivery is strengthened through programme-level activities and inputs. | <ul style="list-style-type: none"> • Proportion of grants awarded to applications received (potential number of applications that met an expected standard, or some pragmatic measure of application quality) • The number of change requests received by active projects. • Project Annual Review and Final Review Scores. |

Assumptions

- Benefits from tackling the IWT are to biodiversity and poverty reduction are achievable and compatible (not mutually exclusive or involve significant trade-offs).
- Built capacity remains available (stays in the sector and country).
- Appetite exists to adopt new policies and best practices.
- The strategic approach to tackling the IWT is effective; no significant unforeseen barriers are identified.
- Finance available convert outputs in to outcomes (ODA and leveraged).
- Country stability supports planned delivery of projects.
- Stakeholders, communities, enterprises, local and national government bodies, non-governmental organisations, and academics are engaged early and appropriately.
- Delivery partner stability does not negatively affect project activities.
- Monitoring, Evaluation and Learning systems are robust and pragmatic.

Activities

- Assistance with programme development and management (webinars and written materials)
- Expert review, including guidance for 2-stage schemes, to robustly identify the best projects
- Building a better understanding of the IWT and its impact on poverty.
- Convening & engaging stakeholders
- Supply/installation of equipment/plants/animals
- Training (technical and programme), and skill share

- Technical advice, introduction of best practices & evidence
- Baseline assessments
- Evaluating practices and lessons learnt

Assumptions

- IWTAG only identifies the strongest proposals.
 - In-country organisations wish to engage and develop capability and capacity
- Lessons learnt, and best practices are efficiently captured and shared by the programme, and reflected in project design and delivery.
- Duplication of existing work is avoided.

Inputs

- Finance (HMG and leveraged)
- Defra Resourcing
- Knowledge & Expertise (verbal and written)

Assumptions

- IWTCF remains aligned to HMG Strategy and continues to receive support.
- High quality and eligible applications are received

ANNEX F - IWTCF ROUND 2 SAMPLE PROJECTS OUTPUTS

This annex shows a summary of project outputs, both quantitative and qualitative, for a single round of Challenge Fund projects. This covers a total of 15 projects from a spend of £6.8m during the project's lifetime (£4.5m Darwin Initiative funding, £2.3 from other sources).

| Project | Title | Quantitative Outputs/Benefits | Qualitative Outputs/Benefits |
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| XXIWT020 | Strengthening local community engagement in combating illegal wildlife trade | | <p>Revised Theory of Change</p> <p>Guidance documents on designing and strengthening community engagement.</p> <p>The project has generated new insights on the importance of communities receiving sufficient benefits (both financial and non-financial/tangible and intangible) from wildlife and effective and equitable sharing of these.</p> <p>The project has generated lessons the role of alternative non-wildlife-based livelihood strategies in reducing poaching pressure on elephants.</p> <p>The project results are drawing attention to the tangible and intangible costs of living with elephants and other wildlife, generating recommendations on how such costs could be reduced.</p> <p>The project has catalysed a tremendous amount of interest from other conservation partners, including community-based organizations and donors to adopt the project methodologies and approach.</p> <p>Additional funds have been leveraged to further expand this work in Kenya.</p> <p>Two case studies of existing community engagement projects.</p> |
| IWT021 | Following the Money: Disrupting Wildlife-Linked Illicit Financial Flows in Kenya/Tanzania/Uganda | <p>'Follow the Money: Using Financial Investigation to Combat Wildlife Crime' paper received 522 unique and 615 page views in month 1. The paper led to 147 social-media interactions directly from RUSI tweets.</p> <p>The Associated Press article 'To Fight Wildlife Crime, Experts Say "Follow the Money"' was run by 128 outlets, such as Fox News, Yahoo.com.</p> <p>Delivery of training to 149 delegates (financial, field and other officers) from 27 state agencies and 36 banks, in Kenya, Tanzania and Uganda.</p> <p>Knowledge among public-sector trainees of the use of mobile money to move proceeds grew from 50% pre-course to 80% post-course. Awareness of the role of Financial Intelligence Units (FIUs) to respond to law-enforcement requests rose from 60% to 80%. Awareness of the obligation of bureaux de change to report to the FIU grew from 72% to 92%.</p> <p>An anti-money laundering charge is being pursued in Uganda for the 1.3-ton ivory seizure of 17 February 2017 following assistance by project mentors on the financial leads found during a house search.</p> | <p>Findings are recognised by relevant international and governmental agencies and incorporated into planning (The World Bank and IFAW).</p> <p>Relevant financial, field and other officers from law-enforcement agencies and the private sector in Kenya, Tanzania and Uganda are specifically trained to more effectively collect and share financial intelligence to facilitate high-level investigations and prosecutions.</p> <p>Provided a strategic assessment and overview of knowledge of the problem to be tackled.</p> <p>Findings from the project led to the formation of a joint prosecution team.</p> <p>Enhanced capacity to investigate and prosecute high-level criminals disrupts trafficking and reduces poaching.</p> |
| XXIWT022 | Disrupting ivory trafficking conduits with coordinated law enforcement in Malawi | <p>10 officers recruited for the Wildlife Crime Investigation Unit.</p> <p>60 wildlife crime investigations/operations in 2016 and 60 investigations/operations in 2017 from a baseline of 28 investigations/operations conducted prior to the project in 2014.</p> <p>The project achieved 42 arrests and 31 convictions in 2016 and 50 arrests and 45 convictions in 2017 (74% and 90% conviction ratios respectively). This is a substantial increase from the 2014 baseline of 28 arrests and 14 convictions (50% conviction ratio).</p> | <p>A dedicated, trained and resourced multi-agency Wildlife Crime Investigation Unit (WCIU) was created.</p> <p>Training and resourcing were provided for Community Enforcement Networks (CEN) around two protected areas/elephant populations, making communities more able to deter and report serious wildlife crimes in Malawi.</p> |

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| | | <p>30 trained and active local CEN members that obtained honorary wildlife officer status from the Department for National Parks and Wildlife.</p> <p>At least 135 impoverished local men and women within 30 households to receive a regular, increased, monthly income that will directly improve livelihoods and help alleviate local poverty, with another estimated 16,500 households to indirectly benefit and have improved well-being from increased eco-tourism revenue injected into local communities.</p> <p>The project successfully provided a regular, increased, monthly income to 35 impoverished households. Average household incomes for CEN members increased by £35 per month for the duration of the project.</p> <p>Number of custodial sentences for elephant related crimes in Malawi increases from 2 (4% of total sentences passed) in 2014 to 13 (25% of total sentences passed) by end 2016 and 25 (50% of total sentences passed) by end 2017.</p> <p>Continuing to operate the CENs adds approximately 5% to operating costs of anti-poaching efforts for the DNPW but increases results of DNPW efforts by reducing poaching by up to 70%.</p> | |
| XXIWT023 | Securing the Gateway – reducing wildlife trafficking from Myanmar to China | <p>Over fivefold increase in the rate of arrests and prosecutions in the project areas. Baseline of 3 arrests leading to prosecutions in 2015, increasing to 27 prosecutions in 2017, and 24 prosecutions in 2018.</p> <p>Over 245 government officers received training on Wildlife Crime Prevention. Over 200 students and university professors trained in wildlife trade issues. Over 280 private security staff at 3 International Airports trained in illegal wildlife trade.</p> <p>Co-funding has now been received to construct a rehabilitation and breeding center for big-headed turtles.</p> <p>Confiscation advice and release-information to Law Enforcement provided for: two primate releases, a large bird release (Hill Mynas), two snake releases, and a release of three Pangolins.</p> <p>Substantial support (species identification, taking care of confiscated species) provided to a government operation that led to a seizure of more than 2900 illegal wildlife parts over 18 different species and the arrest of 7 key traders.</p> <p>Two detailed Legislative reviews. Significant technical input in process of reviewing wildlife law (passed in May 2018) through a series of regional and national workshops (with over 700 public comments)</p> <p>Increased media coverage and social media interactions relating to wildlife crime. Baseline from 2015: 16 articles on wildlife issues in Myanmar media. 2017: 417 articles on wildlife issues 2018: 304 on wildlife issues.</p> <p>Two training courses for 40 journalists from 18 different new agencies, giving them opportunity to mix with law enforcement personnel.</p> | <p>Relevant law enforcement agencies in both Myanmar and China have a detailed understanding of the trafficking networks operating along the Mandalay trade route to the Muse-Ruili border.</p> <p>Enhanced law enforcement capacity and cooperation with China strengthens the effectiveness of Myanmar’s contribution to the regional wildlife enforcement network.</p> <p>Review of wildlife trade in the project area: analysis of over 80 reports, and over 150 media articles. Summarised for relevant law enforcement agencies.</p> <p>Translation and distribution of education and awareness materials.</p> |
| XXIWT024 | Counter-Poaching Training Programme for Sub-Saharan Africa | <p>138 rangers qualified as basic level interception trackers, 109 qualified to an intermediate level, 40 rangers qualified to an advanced level and now able to train others.</p> <p>16 protected area staff trained in information gathering and analysis (e.g., using informants and interviewing suspected poachers), strengthening law enforcement.</p> <p>Communications strengthened between 10 protected areas through the use of Geosuite information analysis software.</p> | |

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| | | All of the 12 protected areas have recorded a significant reduction (> 25%) in poaching of elephant and/or rhino between 2015 (before the intervention) and the end of 2017. Three of the protected areas recorded a greater than 25% increase in poaching incidents disrupted or poachers arrested between 2015 and the end of 2017. | |
| XXIWT025 | Saving pangolins by reducing demand in Vietnam and China | <p>Public service announcements and billboards throughout China and Vietnam, exposing over 760 million people to messages designed to raise awareness of the poaching crisis and debunk the purported medicinal value.</p> <p>Social media pledge campaign: over 17,000 people added their names and pledged to avoid consuming pangolin products.</p> <p>Educated 150 participants, including doctors of traditional and western medicine, sellers at Traditional Chinese Medicine shops, medical school students, and 24 journalists.</p> <p>Baseline and follow up surveys in 6 cities found a significant decrease in the amount of people who believe pangolin scales have medicinal value, falling from 70% in 2015 to 50% in 2017. The number of people thinking the sale of pangolin products is legal in China fell from 22% in 2015 to 12% in 2017 But purchasing behaviour did not change significantly.</p> <p>Held six training workshops for 306 rangers, customs officials and enforcement officers in China and Vietnam.</p> <p>Wechat pangolin posts which received well over 100 million reads; online videos in China viewed 37 million times.</p> | <p>Strengthened understanding of current pangolin market demand and pangolin consumption trends in China and Vietnam, which will aid global pangolin conservation efforts.</p> <p>Hai Phong Customs department and regional enforcement officers are better able to detect smuggled pangolin products and justify seizures, leading to more arrests and successful prosecutions in future.</p> |
| XXIWT026 | Connecting enhanced livelihoods to elephant and rhino protection | <p>18 livelihoods projects, benefitting over 31,000 people, implemented to improve access to quality education, improve access to clean safe water, enhance household level income and employment through tourism.</p> <p>43% reduction in poaching of elephants between 2012 – 2017.</p> <p>First community-owned rhino sanctuary in East Africa, with a re-introduction programme that initially relocated 10 black rhinos.</p> | |
| XXIWT027 | Strengthening institutional frameworks to combat wildlife trafficking in Indonesia. | <p>Training of 400 law enforcement officials on counter wildlife trafficking methods and enforcement techniques.</p> <p>The construction of 16 Tiger Proof Enclosures (TPEs) for livestock can be directly attributed to DEFRA IWT support.</p> <p>In 2018, the prosecution rate for cases involving the trade of tigers, rhinos and elephants or their parts is 95% against baselines of less than 50% for the period 2003-2007, and less than 20% before the start of the Wildlife Crimes Unit in 2003.</p> <p>During 2017-2018, at least 20 major criminal networks involved in trafficking of tigers, rhinos and elephants or other protected species are being or have been successfully prosecuted, against a baseline of < 2 per year during the five years period from 2009-2013.</p> <p>During 2017-18, the number of people harmed or killed in human-tiger conflicts in the target landscapes is reduced by 50%, against a baseline of 8 people harmed or killed during 2008-2013.</p> <p>Investigations as a result of IWT funding led to 175 arrests of traffickers, including traders, smugglers, and illegal wildlife keepers.</p> | <p>The overall legislative framework governing species protection is revised to close down loopholes and inconsistencies, strengthen criminal penalties, reform protected species regulations, and revise regulatory frameworks for legal wildlife trade.</p> <p>Technical support to various law enforcement agencies. This includes providing information of poaching and trafficking, supporting legal assistance to police and civil investigator, and court trial monitoring.</p> <p>TPEs are now being constructed and maintained independently by communities.</p> <p>By 2018, Indonesia has a new legal framework for species protection and wildlife trade.</p> |

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| XXIWT028 | Building judicial capacity to counter wildlife crime in Kenya | Training provided to investigators, on effective prosecution and scene of crime management: Training of 145 actors in criminal trial process, 58 Kenya Wildlife Services (KWS) investigators trained, 255 wildlife rangers trained. Reduction of Proportion of Illegally Killed Elephants from 47.8% (2014) to 38.8% (2017). 13 ivory case convictions & 1 rhino case conviction. | A regional database of all ivory and rhino horn court cases compatible with a national database managed by WildlifeDirect. Increased awareness of the value of wildlife amongst individuals who rarely come into contact with wildlife (e.g. magistrates and prosecutors) yet play a critical role in their protection. |
| XXIWT029 | An integrated, multi-scale approach to combating wildlife trafficking in Uganda. | 44 wildlife crime offenders arrested between October 2016 and March 2017. Of these, over 26 cases including at least 3 believed to be middlemen were successfully prosecuted and the criminals sentenced. Data from Queen Elizabeth National Park indicates that elephant the number of elephants killed declined from 19 in each of the years 2014 and 2015 to 11 in the year 2017. Only 3 elephant killings were recorded in 2018. 1. Four senior staff at UWA were trained and mentored in intelligence methods. 2. 49 UWA rangers were trained in Human Intelligence (HUMINT), among whom were 11 women, surpassing the targeted number of 28. These rangers have been equipped with sophisticated intelligence methods and techniques and are now better positioned to recruit and manage informers. 3. Data shows a 159% increase in intelligence led arrests in 2017 compared to the period before the project (2015), which could indicate the contribution of intelligence to prosecution. SMART data from MFNP shows that illegal activity detection represented by a combination of snares and traps increased from an average of 2.3 snares/traps per 100km walked in 2014-2015 to 5.8 snares per 100 km walked in 2016-2017, representing an increase of 61% detection. | The project improved intelligence in the wildlife sector and built capacity to crack down on middlemen and wildlife traffickers and ensure that they pay their penalties. The project contributed to human development and wellbeing by creating income opportunities for communities (upon recruitment as informers), safeguarded species that support the country's tourism industry on which many local people depend and improved overall security situation around the parks. The protocol for cooperation with District law authorities on intelligence matters was developed. Through efforts to improve governance, law enforcement and security at local, national, and regional levels, the project created opportunities for UWA to recruit and employ intelligence agents from local communities around their 24 PAs to ensure security and law enforcement there. |
| XXIWT030 | Combatting illegal ivory trade: training film to aid enforcement officers. | 10 official endorsements of the training tool, including from intergovernmental agencies such as INTERPOL, WCO and the CITES Secretariat. A total of 63 stakeholders were engaged with or interviewed over the course of completing the training tool. There are a total of 33 stakeholders whose interviews have been included in the film - 30 of these are from national law enforcement or governmental agencies. | The adoption of the techniques promoted in the training tool will increase the capacity of these authorities and lead to better-targeted enforcement efforts in their areas. |
| XXIWT031 | Combatting IWT in Cameroon through improved law enforcement and community empowerment. | An increase in arrests for wildlife trafficking offences and seizures of illegal wildlife products by 40 % (<5 arrests in 2015 to date) by end year 2. Patrolling by ecoguards in the DBR in 2017 the number of people encountered and arrested dropped from 19 (year 1) to 4 (year 2) after a series of direct confrontation between rangers and poaching gangs, a decrease greater than 40%. The number of firearms seized dropped from 8 (year 1) to 4 (year 2). No fresh carcasses were found during the last 2 years. 10 Village Savings and Loan Associations established in communities through which members can save money and take loans to pay for things that previously had been out of their reach or only achievable if money was found elsewhere, potentially through support for wildlife crime. 250 community members are participating in VSLAs within which 142 (57%) are women and 95 (43%) are from Baka communities. Community surveillance networks (CSN) were established in 10 communities to report incidents and intelligence in an anonymous way. Over 40 IWT-related incidents were reported by community members. | Anecdotal reports suggest that increased awareness and anti-poaching activities supported by this project, particularly increased patrolling, have helped shift commercial poaching more towards other areas. Spatial Monitoring and Reporting Tool -based approach to wildlife management strengthened, supported by a total of 37 training days being carried out. Training material for the airport based CAAT teams were developed alongside French police and gendarmerie colleagues. |

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| | | Judiciary officials received IWT legal input during a workshop in September 2016. Subsequently, 106 MINFOF agents based in the DBR, and 48 customs, police, and gendarmerie officers based at Yaoundé and Douala airports have been provided with training in Basic Law Enforcement Techniques, intelligence gathering, patrol techniques and counter-trafficking skills. | |
| XXIWT032 | Countering Wildlife Crime: Livelihoods, Intelligence & Prosecution Capacity Building in Uganda | <p>Four 25-member women-led food garden groups established irrigation systems and planted crops based on permaculture designs.</p> <p>10 scouts trained in monitoring of HWC incidents and data collection.</p> <p>The project exceeded its target of one “high value” prosecution case per quarter. Between April 2016 and March 2018, NRCN worked ten such cases, two ahead of target for the project. These have resulted in arrests within a major West African syndicate operating across Africa.</p> <p>In terms of wildlife crime, the project has invested heavily in building the capacity of law enforcement, intelligence and monitoring personnel, prosecution support, networks and systems.</p> <ul style="list-style-type: none"> • 76 elephant ivory cases in 2016-18 with 103 suspects on trial, vs. 8 cases in 2015/16 with 17 suspects • 29 hippo ivory cases in 2016-18 with 44 suspects on trial, vs. 3 cases in 2015/16 with 4 suspects • 32 pangolin cases in 2016-18 with 54 suspects on trial, vs. 6 cases in 2015/16 with 15 suspects • The average weight of a seizure has doubled for elephant and hippo ivory cases, whereas the average weight of a pangolin seizure is in decline. • The number of concluded cases in 2016-18 is more than double that of the previous year, and the conviction rate has leapt from 68% to 93% over the project period. • The average sentence in month per kg of elephant ivory has increased from 2.93 months per kg to 6.09 months per kg during this timeframe (+108%), but the average fine per kg (in GBP) has increased from £17.62 to £23.77 (+35%) | <p>Pilot sites for community livelihood and human-wildlife conflict (HWC) interventions were established.</p> <p>In Nwoya, beehive fences were also implemented in key elephant crossing points from the national park into the community, and a second intervention was the development and production of a locally innovated “organic elephant repellent” solution, created out of locally available ingredients.</p> <p>The project’s focus on alternative livelihoods has had impacts in those communities involved in the food gardens, with socio-economic data showing a moderate increase in household wealth over the course of the project.</p> |
| XXIWT033 | Leveraging Action to Disrupt Wildlife Trafficking Networks in Lao PDR | <p>Media scanning on wildlife seizures in Lao PDR increased from 2016 until March 2018: (1) in 2016, zero media reports on law enforcement actions in Lao PDR; (2) in 2017, at least 2 distinct media reports on bears and rhino horns; and (3) until March in 2018, at least 3 distinct media reports on tigers, red pandas, and live bird trade.</p> <p>Based on reports from DOFI, the Department of Combatting Natural Resource and Environmental Crime (DCNEC), and Customs Department, 5 profile cases on ivory have been intercepted and addressed. For example, in In September 2015, 48kgs (9 tusks) of ivory in 2 luggage were confiscated by the Customs Department at Wattay Vientiane International Airport, originating from Africa, with 1 Vietnamese suspect detained and investigated.</p> <p>A total of 73 intelligence products have been produced and disseminated to project partner DOFI and related government agencies in Lao PDR, and to relevant diplomatic missions in Lao PDR, and Interpol during the project (from 2016 to March 2018) – which identify important information on major wildlife trafficking networks and operations in Lao PDR relating to tigers, elephant and ivory, rhino horn, and other prohibited wildlife products.</p> | <p>Estimated that more than 3,000 households will benefit from reduced wildlife trafficking and improved law enforcement, however, it is difficult to anticipate and determine the exact number of indirect beneficiaries and challenging to undertake studies that directly evidence this benefit from the project interventions.</p> <p>WCS Intelligence management and analysis system added to, ensuring Lao program has access to global database on IWT.</p> <p>Records and source documents on trafficking networks and activities in Lao PDR have been inputted into the WCS Global Wildlife Intelligence Database.</p> <p>Information gathering surveys were conducted on major wildlife trafficking syndicates, trade routes, entry and exit points, and ivory trading hotspots in hotels and stores.</p> |

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| XXIWT034 | Reducing IWT through synergising community decision-making, benefits and law enforcement | <p>By 2018 there was a reduction in carcasses found of 73% with increased effort. By 2018 there were no cases of lion poisoning or poaching.</p> <p>Primary beneficiaries of the project were the communities of Chuilexi - Eruvuka, Gomba and Naulala with a combined population of 1,250 (approximately 300 households): Across all three villages, an average of 22.5% of community members reported an increase in income or product value equivalent within the last year.</p> <p>10 community scouts employed.</p> | <p>Introduction to the first tourism safari within Chuilexi which in 2017 procured direct benefits to community members in the form of purchase of seed.</p> <p>Men and women in three communities of Chuilexi report increased support of conservation initiatives since beginning of project: Seven training exercises were completed, and women are represented in each group. In addition, 45 women have become members of the Chuilexi micro-credit scheme.</p> |
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ANNEX G - ICWWC PROJECTS OUTPUTS

This annex shows a summary of workstream and project outputs, both quantitative and qualitative, for ICWWC between 2016-2020 . This covers a total spend of UK spend of £3.9m (inc. £515k administration), and £13.3m in cofinancing from other donors. Many of the program's activities have been delayed due to covid-19 and are therefore still ongoing. Because of this, the outputs outlined below may understate the outcomes that will be achieved as a result of donor contributions.

| Workstream/Project | Quantitative Outputs/Benefits | Qualitative Outputs/Benefits |
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| <p>1.1.1. Promote law enforcement networking and regional cooperation in identified key regions by convening regional meetings between agencies responsible for wildlife law enforcement to discuss and develop targeted responses to address identified threats.</p> | | <p>CITES: Meeting held in 1-4 May 2018 in in Mozambique (Maputo) to discuss the development and implementation of National Ivory Action Plans (NIAPs)¹⁹. Reviewed the development and implementation of NIAPs exchange experiences and best practices, identify opportunities for long term collaboration among enforcement authorities and identify a number of strategies and recommendations for follow up action.</p> <p>UNODC: (a) UNODC initiated preparations for the continental event to be held in 2020 as a technical follow-up to the outcomes of the Americas IWT Conference. (b): A regional workshop on Strengthening of International Cooperation in Wildlife Criminal Matters in Eastern Africa was held in Nairobi. UNODC finalized the review of the National MLA Guides for Burundi, Ethiopia, Rwanda, South Sudan and Tanzania. (c) UNODC supported the Royal Thai Police (RTP) with the organization of the 2019 Meeting of the ASEAN SOMTC Working Group (WG) on Illicit Trafficking in Wildlife and Timber (ITWT).</p> |
| <p>1.2.1. Implement additional phases of operation FLYAWAY and Sesha targeting key identified transport routes used for illicit trafficking in wildlife (or similar operations)</p> | <p>Op THUNDERBALL 2019 - 109 countries participated worldwide. 1,828 seizures were made, amounting to 22,066 products, including, fashion garments and accessories, beauty products, food items, traditional medicine, musical instruments, handicrafts, and more.</p> <p>Op THUNDER 2020 - WCO EP organized three series of 12 webinars, conducted over the course of 12 weeks, from early June to mid-September. 36 webinars were delivered to frontline Customs officers in three regions – Asia, Sub-Saharan Africa, and South America – with 26 beneficiary countries, divided into three groups. Over 130 delegates from 66 countries attended these conference calls. 103 countries participated in the Operation, including 65 Customs administrations. Preliminary results determine that 2,082 seizures of wildlife and forestry products were made, and 699 offenders apprehended. The total seized contraband included: Over 1.3 tonnes of ivory; over 1 tonne of pangolin scales, representing approximately 1,700 killed pangolins; 56.2 tonnes of marine products; 87 truckloads of timber (950 tonnes); 15.9 tonnes of plants; Over 45,500 live animal and plant specimens were discovered during the operation, including: 1,400 turtles and tortoises and 6,000 turtle or tortoise eggs; 1,160 birds and 1,800 reptiles.</p> | <p>Op THUNDERBALL 2019 - the OCC was active until 5 July 2019 to follow up on seizure data and to aggregate the data collected throughout the operational phase. During the post-operational phase, the data collected throughout the operational phase was analysed by INTERPOL..</p> <p>A debriefing meeting of Operation Thunderball took place in Shenzhen, China, from 26 to 28 November 2019, where analysis of joint activities and outcomes of the operation were presented.</p> <p>Op THUNDER 2020 The WCO and INTERPOL have conducted four post-operational debrief virtual meetings with participating countries, on the same format as the pre-operational meetings (four regional meetings). These debrief meetings aimed at presenting the results of the Operation to the participants and provide feedback on its execution. Participating countries presented cases of interest, challenges encountered, and best practices were discussed, and suggestions were exchanged in view of preparing Operation THUNDER 2021</p> |

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| 1.3.1. Arrange regional workshops to promote prosecutorial and judicial networking, in particular strengthening cooperation in identified key regions. | N/A – delayed due to coronavirus. | N/A – delayed due to coronavirus. |
| 1.3.2. Support and strengthen prosecutorial networks on wildlife and forest crime and encourage sanctions appropriate to the nature and gravity of the crime. | | UNODC, in collaboration with the Hanoi Procuratorate University, hosted a regional meeting on legal issues related to the trafficking of wildlife. The workshop drew on the principles of the 2018 UNODC Guide on Drafting Legislation to Combat Wildlife Crime (see previous reports for full details). The meeting resulted in an improved understanding of the need for strengthened and harmonized legislation regulating wildlife crime. |
| 2.1.1. Implementation of the Toolkit. | | <p>The Government of Brazil submitted a request to ICCWC for support to conduct a comprehensive assessment of its preventive and criminal justice response to wildlife crime. UNODC, on behalf of ICCWC, leads on the implementation of the ICCWC Toolkit and ICCWC Indicator Framework. The process was launched in partnership with the Brazilian Ministry of Environment on 4-6 December 2019 in Brasilia.</p> <p>The draft report of the Indicator Framework workshop held in December 2019 in Brasilia is currently with the Ministry of Environment for review and comments. UNODC expects to receive feedback in Q1 2021.</p> |
| 2.2.3. Implement specific recommendations directed to ICCWC resulting from ICCWC Wildlife and Forest Crime Analytic Toolkit implementation | | <p>Tanzania: UNODC procured Semantica Intelligence Software for Tanzania (co-funded with other sources).</p> <p>Mozambique: Support to prosecutors and investigators: As part of the recommendations of the ICCWC Toolkit assessment, a Rapid Reference Manual (RRM) for prosecutors and investigators of wildlife and forest crime was developed in 2018. A series of dissemination trainings on the RRM took place in Q3/Q4 2018. A training of trainers (ToT) session was held in September 2019 to build a national team of trainers that will disseminate the RRM through training sessions through 2020 (funded through other sources). This will provide a cost-effective and more sustainable delivery of training, as well as to strengthen the ownership of the RRM by Mozambican counterparts.</p> <p>Uganda: Mentorships to Uganda Wildlife Authority conservation areas: From 9 to 20 November 2020, UNODC supported mentorship sessions across four Uganda Wildlife Authority (UWA) conservation areas. This support builds on an earlier training carried out in February 2020 for UWA officers on wildlife crime scene management by the NGO Space for Giants. The mentorship sessions focused on one-to-one meetings with the trained officers to review the application of the skills learned, provide in-situ refresher training. One session focused on training officers on the use of the crime scene kits and correct use and maintenance of such equipment. In total, 20 UWA officers were trained to better</p> |

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| | | <p>investigate WLFC cases in Uganda.</p> <p>Support to Uganda Wildlife and Utilities Court and prison room digitization: In Uganda, the lockdown due to COVID-19 caused the court system to close, except for very sensitive cases, and brought in-person court appearances to a near standstill; cases were taking place via digital courts. In addition, prisons in Uganda requested the government for congestion relief, by releasing petty offenders. As wildlife crimes are treated as petty offences, most wildlife traffickers would have been released despite the efforts and heavy cost incurred in the investigation, arrest and prosecution of many of the suspects.</p> |
| <p>3.1.2. Training on crime scene investigation and management with focus on specific identified needs.</p> | | <p>Scoping and preliminary research have been conducted, as well as aggregation of available material from the WCO, ICCWC Partners, and other WCO partners in the field of IWT.</p> <p>Existing modules have been assessed, and potential improvements, amendments, and updates have been identified. Following a call for experts, the WCO EP hired two consultants to conceptualize the modules and elaborate the content. Some modules have been redesigned and updated to match current requirements of Customs and CITES, whilst new content has been developed where gaps exist. The experts delivered the final draft of the end of the module of December 2020.</p> |
| <p>3.2.1. Training on specialized investigation techniques with a focus on specific identified needs.3</p> | <p>13 training courses delivered across 10 countries, out of 10 planned. Additional trainings were possible due to cost savings against some trainings, allowing further trainings to take place.</p> | <p>Viet Nam Training course on wildlife controlled delivery techniques for frontline officers, in Hai Phong (16-19 April 2019): The activity aimed to enrich Vietnamese front line capacity in the investigation of wildlife related cases, as well as to provide a platform for Viet Nam multi-agency cooperation to combat wildlife crime. • 24 participants from Police (anti-smuggling and investigation departments), Airport Authority, and Customs officers were trained. Delivery methods combined classroom theory and lectures as well as practical and reality- based field exercises.</p> <p>Thailand Undercover Techniques for the Investigation of Wildlife Crime, 13-17 May 2019: The objective of the workshop was to identify, demonstrate and allow participants to practice and implement proven investigation techniques when initiating and conducting a series of activities (e.g. covert suspect contacts; interviews of suspects and witnesses; covert foot and vehicle surveillance; managing informants; covert vehicle surveillance while monitoring a GPS satellite tracking device, and; introducing an undercover officer). • Twelve participants from the Royal Thai Police Natural Resources and Environmental Crime Suppression Division, the Royal Thai Customs and the Department of National Parks and Wildlife Conservation were trained.</p> <p>Myanmar: • Investigator’s Seminar on Domestic Controlled Delivery, Myanmar (27-31 May 2019): The activity aimed to strengthen the capacity of frontline law enforcement officers to effectively address transnational organized crime (TOC) involved in wildlife trafficking. Twenty-six participants from the Forest Security Police, Police TOC Division, Customs Department and Forest Department were trained.</p> <p>Cambodia:</p> |

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| | | <ul style="list-style-type: none"> • Training course on domestic controlled delivery (22-26 July 2019): The activity aimed to strengthen the capacity of frontline law enforcement officers to effectively address transnational organized crime (TOC) involved in wildlife trafficking. Twenty-four participants from the Forestry Administration Department, Anti-Economic Crime Police and Customs were trained. Lao PDR: • Training course on wildlife online investigation (9–12 September 2019): The Online Investigation Training for Wildlife Law Enforcement Officers provides officers with an opportunity to strengthen their abilities to investigate and prosecute illicit wildlife trafficking taking place on crypto markets. Twenty-four participants from the Environment Police MPS, Department of Forestry Inspection, Lao Customs Department, Forensic Science Department of MPS and the Public Procuracy Prosecutors Office were trained. <p>Malaysia: Online investigation training course in Kuala Lumpur (24-28 February 2020): The overall objective of this course was to provide officers with advanced online investigative techniques focusing on conducting major investigations online to successfully detect individuals and organizers involved in transnational organized wildlife crime. The strategy of focusing on the mid and upper levels of a TOC group was stressed during the five-day course. • The training course combined lectures and real world practical exercise scenarios in order to build participants’ knowledge, skill and confidence. During practical exercises, participants were mentored and coached in effectively detecting, investigating, documenting criminal activity online and then coordinating surveillance and a meeting with a person suspected of selling contraband wildlife products online.</p> |
| <p>3.2.1. Combating money laundering and environmental crimes</p> <p>Reported on separately to other ICCWC activity</p> | <p>Joint public/private sector exercise/ NRA Tool implemented in 100+ countries</p> | <p>Environmental Crimes Module” developed and added to NRA to look at forms of the crimes and develop specific actions to combat EC as part of AML/CFT Strategies. On-going in Zambia; Zimbabwe; Cote d’Ivoire; Mozambique; Namibia; Kenya (virtual); Cameroon EC embedded as part of FATF Obligations in client countries – Financial Sector Assessment Program (Madagascar)</p> <p>Work with the Financial Sector: Disseminate NRA findings and raise awareness of EC Threats (Madagascar) Developed a training program adapt financial institutions’ AML compliance programs to improve the detection of illicit transactions related to EC (PEPs list/persons of interest) Build capacity of private sector supervisors to enforce risk-based supervision (Madagascar)</p> <p>Work with Law enforcement and the Judiciary: Specific training based on real-life case – upcoming in Madagascar and Zimbabwe.</p> |
| <p>3.3.2 Provide mentorship to prosecutors to build capacity in preparing and presenting wildlife cases in court, applying legislation, including in financial investigations.</p> | | <p>10th National Judicial Dialogue and Continuing Judicial Education on Wildlife and Environment Crimes was held in a virtual format, which brought together over 40 magistrates from Kenya as well as participants from Kenyan law enforcement agencies and Civil Society Organizations under the theme of “Emerging issues and trends in adjudicating wildlife and environment crimes”. Participants had the opportunity to discuss the challenges between the agencies in countering wildlife and forest crime, as well as to learn about emerging issues, mutual legal assistance and the use of new legislation. A training for the prosecution of wildlife crime in Malaysia will take place from 17-19</p> |

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| | | March 2021 in a virtual format. (initially planned for July 2020). |
| 3.4.1. Deliver training to selected institutions on identification and prioritization of corruption risks. | | <p>In Malawi, the first stage of the corruption prevention work with the Department of National Parks and Wildlife (DNPW) included the identification and prioritization of corruption risk areas with relevant officials, in liaison with the Anti-Corruption Bureau (ACB). A follow up workshop will take place in Q2 2020 to develop risk mitigation strategies to close identified gaps within DNPW.</p> <p>In Uganda corruption risk prevention work was initiated with other sources of funding in 2018, and support has been ongoing and is covered through other funding sources. To date, UNODC has supported the Botswana Department for Wildlife and National Parks (DWNP) in undertaking a corruption risk assessment and provided support to the mitigation strategies of some of the identified priority risks. The processes related to revenue collections (from visitors and licences/permits respectively) were identified as particularly vulnerable to corruption and UNODC has since supported DWNP in identifying corruption risks specifically related to these processes through the 1) development of a predictive modelling system to help forecast revenue and compare those forecasts with actual revenue received from visitors and 2) process mapping to identify gaps in the visitors and licensing processes.</p> <p>Malawi: UNODC initiated corruption prevention work with the wildlife management authority in Malawi in February 2020. A follow up workshop to develop risk mitigation strategies to close identified gaps with the Department of National Parks and Wildlife (DNPW) will take place in 2021 as soon as the conditions permit. In the interim, follow-up work to review and upgrade the Departments Standing Orders has commenced as this is a priority and can be supported remotely.</p> <p>In Botswana, UNODC initiated support to the Botswana Department for Wildlife and National Parks (DWNP), through other funding sources. A corruption risk assessment was undertaken, and support provided to the development of mitigation strategies for some of the identified priority risks. Under this grant, UNODC has since supported DWNP in identifying corruption risks specifically related to these processes. To help address the risk that revenues might be lost due to corruption, a predictive modelling system is being developed for the DWNP. Information collection and design of the base model are complete.</p> <p>UNODC initiated corruption prevention work with the Kenya Forest Service (KFS). A preliminary workshop to identify corruption risk areas was held to identify corruption risk areas within the institution and develop a risk registrar.</p> |
| 4.1.1. Organize side events at high level/strategic meetings to increase awareness of the need to treat wildlife crime as serious crime, the political will to counter it and to promote the use of | | <p>Supported the organization of side events on wildlife crime and corruption at the 27th session of the Commission on Crime Prevention and Criminal Justice (CCPCJ), and at the 15th anniversary of the United Nations Convention Against Corruption (UNCAC).</p> <p>At the margins of the Conference of the Parties to the United Nations Convention on Transnational Organized Crime (UNTOC COP) held from 12-16 October 2020, UNODC convened an ICCWC side event to discuss recent trends and policy implications, based on the newly launched World Wildlife Crime Report. UNODC is planning an ICCWC exhibit at</p> |

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| appropriate tools and services available through ICCWC. | | the 14th United Nations Congress on Crime Prevention and Criminal Justice, which will take place from 7-12 March 2021 in a hybrid format. The virtual exhibit on ICCWC will showcase the work of ICCWC partners and celebrate ICCWC's 10-year anniversary. |
| 4.1.2. Revise and reproduce ICCWC visibility materials such as brochures, banners, etc. | <p>ICCWC side events organized to date (SC70, SC71 and CoP18) have had excellent levels of attendance, with approximately 120-150 people attending on average. The panels continue to be organized taking gender balance into consideration and overall this objective has been achieved to date (on average a 50% gender balance was recorded).</p> <p>On 23 November 2020, ICCWC celebrated its 10th anniversary with a week-long social media campaign "10 years, 10 achievements".²⁷ The campaign was highly successful resulting in an increase in visit to the ICCWC webpage by 63%.</p> | <p>ICCWC visibility materials were updated and made available at various fora, including ICCWC events and meetings held, as well as for the London Conference (October 2018), the Special ASEAN Ministerial Meeting on Illegal Wildlife Trade (March 2019), CITES CoP18 (August 2019) and the High-Level Conference for the Americas on Illegal Wildlife Trade (October 2019, Lima, Peru). Materials are also generally made available and distributed at all ICCWC side events and high-level meetings (see CITES and UNODC Activity 4.1.1 above for details). Materials were produced and printed in English, Spanish and French and distributed to all ICCWC partners so they can be distributed where appropriate in relevant ICCWC activities implemented under the ICCWC Strategic Programme.</p> <p>In addition, a range of communications activities have been developed and delivered on behalf of ICCWC across 2020, including:</p> <ul style="list-style-type: none"> • Development of the ICCWC Communications and Visibility Strategy 2021-2022 has been ongoing since late 2020 with the engagement of a communications expert. Consultations with all ICCWC partners, as well as major donors (including DEFRA) has helped shape the Strategy. |
| 5.1.1. ICCWC to continue to support the UNODC Global wildlife crime research initiative | | <p>UNODC conducted a regional threat assessment of illegal wildlife trade in West and Central Africa. The threat assessment report was developed with a particular focus on elephant ivory, pangolins, parrots and rosewood, selected because these specimens appear prominently in global seizure data related to West and Central Africa and also illustrate several of the crosscutting matters affecting other species in the two subregions. A review of the data compiled facilitated the identification of key countries throughout West and Central Africa most affected by wildlife crime.</p> <p>The West and Central Africa Threat Assessment Report is considered to be a flagship product that will tailor and guide activities in the two subregions to more effectively combat wildlife crime. The assessment will help guide activities and efforts of various stakeholders in the region as directed by the CITES Conference of the Parties. The report also contributed to the approval of a number of targeted recommendations that countries are encouraged to implement and CoP18 directed Parties and other stakeholders (donors, IGOs, CSOs) to provide financial and technical assistance to Parties in the region to address the matters identified in the report.</p> <p>The Secretariat and ICCWC partners will also provide targeted support in the region based on requests received and is in the process of drawing the report and its recommendations to the attention of the International Community</p> |
| 5.3.3. Support further development, piloting and expansion of the Mobile Office concept. | | <p>In 2019, the WCO began drafting an Environmental Guide designed for frontline Customs officer. This Guide will not only look at CITES protected species but also at waste and other environmental matters under the Green Customs Initiative (GCI). As such, the WCO seeks to align its efforts on both ICCWC and GCI fronts. The WCO is dedicating the UK funds allocated to Activity 5.3.3 under the ICCWC Strategic Programme to develop the Guide's chapter on CITES and IWT matters</p> <p>The final draft was submitted in 2020 after amendments requested by the WCO EP The Guide will be designed as a user-friendly material for frontline Customs officers, to</p> |

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| | | provide quick and pertinent on-the-spot guidance when said officers are confronted to potentially environmentally sensitive matters. |
| CoP18 Decisions/ Resolutions | | <p>Decision 18.75 on Annual illegal trade reports: requests the Secretariat to ‘contract the United Nations Office on Drugs and Crime (UNODC) to establish, host and maintain a database for the storage and management of illegal trade data collected through annual illegal trade reports, The Secretariat will report on further progress in the next annual report.</p> <p>Decision 18.79 on Enforcement; requests the Secretariat to external convene a Task Force on illegal trade in specimens of CITES-listed tree species. As reported to the 17th (CoP17) and 18th (CoP18) meetings of the Conference of the Parties to CITES, illegal trade in CITES-listed tree species continues to be a matter of great concern.</p> <p>Decision 18.93 b) and c) on Wildlife crime enforcement support in West and Central Africa; At the time of writing the Secretariat is exploring a suite of activities to be deployed in a hybrid format and support that can be provided. The aim of the activities is to enhance Parties ability to comply with CITES, as well as effectively respond to the threat of wildlife crime within the regions. The activities will focus on a range of broad issues including CITES implementation, border controls, legislation, enforcement training, national coordination, international cooperation and corruption and it is expected they will be implemented in close coordination with ICCWC partners and relevant stakeholders. It is expected activities will be delivered across two phases.</p> <p>Decision 18.240 c) i-iv) on Pangolins (Manis spp.); The Decision requests CITES to work with relevant experts and the pangolin range States to prepare a report for review by the Animals Committee and Standing Committee on: i) the national conservation status of pangolin species, ii) legal and illegal trade in pangolins, iii) stocks of specimens of pangolins and stockpile management, and iv) enforcement issues. An agreement with IUCN was signed in December 2020. It is expected the draft report will be available in Q2 2021 for discussion at the animals committee and the final report will be available for SC74.</p> <p>Decision 18.246 a) on African lions (Panthera leo) and the CITES Big Cats Task Force; The Decision requests CITES to conduct further research and analysis on the legal and illegal trade in lions and other big cats to better understand trends, linkages between trade in different species, and the commodities in trade which contain, or claim to contain, such specimens. An agreement with TRAFFIC is being finalized.</p> <p>Decision 18.288 on Tortoises and freshwater turtles (Testudines spp.) The Decision requests the Secretariat to contract consultants to develop, in collaboration with relevant Parties, experts and ICCWC, a guide on categories of turtle parts and derivatives in trade, for national agencies responsible for wildlife law enforcement, to raise their awareness of the trade in these types of specimens, to enable initial recognition of such specimens, and to provide guidance on further identification resources and expertise that can be consulted. A draft guide, developed in collaboration with a broad range of Parties and experts, has been submitted and is under final review. It is expected the guide will be finalized in Q2 2021. Development and update of regional risk assessments and Enhancing CEN platform • Risk management is one of the key tools used by customs to target inspections, consignments and key routes/trends. During Operation Thunder ball</p> |

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| | | <p>WCO produced targeted risks assessments that were used to guide the focus of the operation. They identified key origin, transit and destination routes for particular species and key modus operandi and facilitated the work of all enforcement officers. • At the time of writing, this activity is ongoing and is co-funded with funds from the US towards the ICCWC Strategic Programme.</p> |
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ANNEX H – ACCOUNTING OFFICER TESTS

The accounting office tests have been considered throughout the development of this business case:

- **Affordability** (and financial sustainability): the intervention is *affordable*.

Projects work to agreed budgets and avoid unaffordable longer-term commitments, taking a proportionate view about the demand for other resources. Grants are awarded through a competitive process, with an assessment on the proposed budgets and the financial sustainability of the intervention projects prior to award. Delivery against agreed budgets is closely monitored through the financial controls in place.

The IWTCF will only be delivered subject to the agreed availability of budgets. IWTCF spending has been secured for 2021-22 from Spending Review 2020, including £6m of Defra IWTCF funding and £600k of FCDO's IWTCF contribution. We will bid for future year spending through the next Spending Review with safeguards in place to curtail activities should future budgets not be secured.

Grants are awarded following an assessment of what is affordable within this envelope and based on the assumption that all projects will complete; over-programming is not considered.

- **Regularity**: The intervention is *regular* as it is compliant with the relevant legislation and guidance in *Managing Public Money*.

There is adequate legal authority for the spending under the spending powers in the International Development Act 2002, and Initiative is aligned to requirements of the 2002 Act, with poverty reduction being addressed both

- directly e.g. through activities that help secure increased income for local communities, and therefore reduce the need to generate income through poaching, or through providing access to important assets for local communities whilst helping them to tackle the illegal wildlife trade, and
- indirectly e.g. through safeguarding traditional rights, cultural values and increasing the voice of marginalised communities, while seeking to increase equality within communities, or improved security through capacity building of local enforcement agencies.

Grants will be made in accordance with relevant legislation, the relevant delegated authority and all requirements specified in *Managing Public Money*. The programme and its funds will be managed in accordance with International Development Act 2002, HMT's *Managing Public Money* guidance, Government Functional Standard: Grants, FCDO ODA guidance, and is within Defra's delegated authority.

- **Propriety**: The intervention is *proper* as it meets the standards in *Managing Public Money* and accords with the generally understood principles of public life.

All risks are assessed to be within the agreed Defra risk profile, with a low appetite for fiduciary risk, but a greater appetite for delivery risk where there is potential for scaling or transformation. Mitigation plans will monitor and manage the key risks: operating in challenging environments (incl. politically volatile and economically unstable), and safeguarding in working with vulnerable groups.

Established due diligence and safeguarding processes, will be applied to each potential grantee prior to award, and throughout the lifespan of the grant agreement.

Proposals and expenditure should respect Parliament's intentions, conventions and control procedures. ODA funding will be allocated under the International Development Act 2002 and expenditure will be in accordance with this legislation and all ODA requirements, with HMT approving of business case following Defra Ministerial clearances.

- **Value for money:** the intervention is assessed as providing *value for money*.

Alternative proposals, including doing nothing, have been considered and appraised to ensure that the IWTCF represents value for money.

Economy will be ensured through the selection of projects on merit.

Efficiency is encouraged by utilising sectoral expertise to recommend projects for award, building on the effective work of the IWTCF since 2014, and a systematic approach to learning and lesson sharing.

Effectiveness will be achieved through its alignment with the IWT Conference Series strategic approach to tackling IWT, focused priorities that support impact on the most pertinent issues, identifying scaling pathways for successful IWT interventions, effectively managing project risk, and an improved outreach, monitoring evaluation and learning processes.

Equity will be ensured by valuing proposals that contribute to reducing inequality between different genders and marginalised groups, and supporting the design of projects that proactively contribute to increased equality in vulnerable communities, and utilise indicators to track equity performance.

The value for money of each grant is assessed prior to award, and reviewed during annual reviews.

We consider the risk-reward profile appropriate for Defra, given the urgency and potential impact of the IWT on biodiversity and sustainable development.

- **Feasibility:** the intervention is *feasible* and *deliverable*.

The IWTCF was established in 2014 and has a track record of deliver positive, tangible outcomes in tackling the IWT, it therefore is considered feasible and deliverable. The case for its continued need, the impact and sustainability of the interventions is made in the Strategic Case and elsewhere in the Business Case.