



# GEF-6 REQUEST FOR ONE-STEP MEDIUM-SIZED PROJECT APPROVAL

TYPE OF TRUST FUND: GEF Trust Fund

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## PART I: PROJECT IDENTIFICATION

Project Title:	Enhancing legislative, policy, and criminal justice frameworks for combating poaching and illegal wildlife trade in Africa		
Country(ies):	Gabon, Kenya, Malawi, Mozambique, Zambia	GEF Project ID: <sup>1</sup>	9882
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01605
Other Executing Partner(s):	Conservation Council of Nations (CCN)	Resubmission Date:	August 23, 2017
GEF Focal Area(s):	Biodiversity	Project Duration (Months)	18 months
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>		
Name of Parent Program:	N/A	Agency Fee (\$)	95,000

### A. FOCAL AREA STRATEGY FRAMEWORK AND PROGRAM<sup>2</sup>:

Focal Area Objectives / Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
BD 2 – Program 3	Reduction in rates of poaching of rhinos and elephants and other threatened species and increase in arrests and convictions (baseline established per participating country)		1,000,000	1,105,000
<b>Total project costs</b>			1,000,000	1,105,000

### B. PROJECT FRAMEWORK

Project Objective: Strengthening policies, laws, and criminal justice capacities to address poaching and illegal wildlife trade (IWT) in five target countries in Africa						
Project Components	Financing Type <sup>3</sup>	Project Outcomes	Project Outputs	Trust Fund	(In \$)	
					GEF Project Financing	Co-financing
1: Enhancing policy and legal frameworks, and building political will for wildlife conservation and combating wildlife crime	TA	1.1: New or amended laws, regulations, and policies to mitigate poaching and illegal wildlife trade and advanced wildlife conservation enacted  <b>Indicators:</b> At least 4 countries have enacted new or amended wildlife laws or policies (where primary wildlife laws/policies are not possible, ancillary laws/policies concerning forests, tourism, anti-organized crime, or anti-corruption have been amended)	1.1.1: Baseline analysis of legal / policy frameworks completed and strategy for reforms proposed  1.1.2: Briefings, workshops, dialogues and field visits held to generate political will and stakeholder input to support legal, regulatory and policy reforms increased through engagement with caucus members and other stakeholders  1.1.3: Amendments to wildlife laws, regulations and policies drafted	GEFTF	296,182	241,667
2: Strengthening national capacities to more effectively and efficiently combat wildlife crime	TA	2.1: Strengthened prosecutions and judicial deterrents on wildlife crimes  <b>Indicators:</b> Strengthened deterrent to engage in wildlife crime as a result of	2.1.1: Identification and development of requested guidance materials for prosecutors and judges in providing improved investigative, prosecutions, and judicial services in wildlife crime cases  2.1.2: Prosecutors and judges are trained	GEFTF	294,727	551,666

<sup>1</sup> Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.

<sup>2</sup> When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETF, LDCF and SCCF](#) and [CBIT programming directions](#).

<sup>3</sup> Financing type can be either investment or technical assistance.

		increase capacity of prosecutors and judges/magistrates to prosecute and sentence perpetrators	and able to effectively utilize toolkits and guidance materials			
3: Strengthening role and capacities of Parliamentary Conservation Caucuses to address wildlife conservation and combat wildlife crime	TA	<p>3.1: Increased and more diverse political representation in each caucus</p> <p><b>Indicators:</b> % increase in caucus membership in each country focusing on key parliamentary leadership from diverse (non-environment) portfolio committees, and multiple political party representation</p> <p>3.2: Caucuses operating with long-term Strategic Plans</p> <p><b>Indicators:</b> Number of caucuses that adopt and started implementation of strategic plans</p> <p>3.3: Conservation Councils providing increased support for Parliamentary Conservation Caucuses</p> <p><b>Indicators:</b> Increase in Conservation Council members in each project country</p>	<p>3.1.1: Awareness raising activities undertaken on Parliamentary Conservation Caucuses focused on diverse parliamentary stakeholders in order for them to become members</p> <p>3.2.1: Strategic plans for Parliamentary Conservation Caucuses updated</p> <p>3.3.1: Private Sector, NGO and multilateral/bilateral organizations engaged in order to increase capacities of “Conservation Councils” to provide information and funding for Parliamentary Conservation Caucuses</p>	GEFTF	318,182	221,667
Subtotal					909,091	1,015,000
Project Management Cost (PMC) <sup>4</sup>				GEFTF	90,909	90,000
Total GEF Project Financing					1,000,000	1,105,000

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: (N/A)

### C. SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Please include confirmed co-financing letters for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
CSO	International Conservation Caucus Foundation (ICCF)	Grant	272,000
CSO	International Conservation Caucus Foundation (ICCF)	In-kind	291,000
CSO	Conservation Council of Nations (CCN)	Grant	162,000
CSO	ICCF-Kenya	Grant	20,000
CSO	Congressional Advisory Board	In-kind	10,000
Private Sector	Arnold and Porter	In-kind	250,000
Private Sector	Sive, Paget, & Riesel	In-kind	100,000
<b>Total Co-financing</b>			<b>1,105,000</b>

<sup>4</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND PROGRAMMING OF FUNDS**

GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee <sup>a)</sup> (b)	Total (c)=a+b
UNEP	GEF TF	Regional	Biodiversity	NA	1,000,000	95,000	1,095,000
<b>Total Grant Resources</b>					1,000,000	95,000	1,095,000

a) Refer to the [Fee Policy for GEF Partner Agencies](#)

**E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>5</sup>**

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning, financial, and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 5 countries	5 countries

**F. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No**

(If [non-grant instruments](#) are used, provide an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/CBIT Trust Fund) in Annex B

NA

**G. PROJECT PREPARATION GRANT (PPG)<sup>6</sup>**

Is Project Preparation Grant requested? Yes  No  If no, skip item G.

**PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS\***

GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee <sup>7</sup> (b)	Total c = a + b
UNEP	GEF TF	Regional	Biodiversity	N/A	N/A	N/A	N/A
<b>Total PPG Amount</b>					N/A	N/A	N/A

<sup>5</sup> Provide those indicator values in this table to the extent applicable to your proposed project. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF, SCCF and/or CBIT.

<sup>6</sup> PPG of up to \$50,000 is reimbursable to the country upon approval of the MSP.

<sup>7</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

## **PART II: PROJECT JUSTIFICATION**

1. **Project Description.** Briefly describe: a) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; b) the baseline scenario or any associated baseline projects, c) the proposed alternative scenario, GEF focal area<sup>8</sup> strategies, with a brief description of expected outcomes and components of the project, d) [incremental/ additional cost reasoning](#) and expected contributions from the baseline, the GEFTF, LDCF/SCCF, CBIT and [co-financing](#); e) [global environmental benefits](#) (GEFTF), and [adaptation benefits](#) (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

### **a) The global environmental and/or adaptation problems, root causes and barriers that need to be addressed.**

Wildlife populations around the world continue to decline significantly due to illegal killing and trafficking of wildlife products, illegal bushmeat hunting, human-wildlife conflict, and habitat loss. Gabon, Kenya, Malawi, Mozambique, and Zambia, the five countries identified in the current project, each contain globally significant populations of wildlife, including many threatened and specially protected species such as elephant and rhinoceros, as well as vast tracts of wildlife habitat. Additionally, each country plays a critical role in the wildlife trafficking supply chain in which wildlife products poached in Africa travel through the continent to be trafficked overseas to demand countries, primarily in Asia.

The severity of the problems of poaching and illegal wildlife trade (IWT) has prompted significant support from the international donor community. Recently, the GEF-World Bank Global Wildlife Program released a report finding that \$1.3 billion was committed to combat wildlife crime between 2010 and 2016. A limiting factor in the efficacy of these initiatives, however, is the political will and capacity of African governments to adequately protect and sustainably manage wildlife populations. A 2016 report conducted by The ICCF Group and Stop Ivory titled, “Stopping Poaching and Wildlife Trafficking through Strengthened Laws and Improved Application,” found that each of the five target countries has gaps in legislative and policy frameworks for combating wildlife crime, and faces capacity challenges in its investigative, prosecutions, and judicial services in handling wildlife crime cases. In addition to the law enforcement challenges, there are significant shortfalls in each of the target countries in protected area management capacity, as well as the capacity to manage human-wildlife conflict. These challenges are also due in part to weaknesses in legislative and policy frameworks, but also in the political will and commitment by local governments to address those issues.

The Conservation Council of Nations (CCN), a program of The ICCF Group, has sought to address the shortfalls in political will, legislative/policy frameworks, and local capacity through its programs to engage policymakers, legal practitioners, and non-governmental stakeholders on conservation governance issues. CCN allows both donor and developing country national governments that believe in the critical importance of conservation and the link between good natural resource management and sustainable economic growth to collaborate with like-minded and concerned policymakers as well as corporate and NGO members. CCN works to create or expand inter-parliamentary dialogue on natural resource management and its links to poverty alleviation, sustainable economic development, and conflict avoidance on a bilateral and multilateral basis between member nations and, where desired, to assist Council nations in creating multi-partisan conservation caucuses within their own legislatures.

CCN has supported the creation of ten such caucuses in Africa, each of which is showing significant results. For example, caucuses have facilitated the adoption of the multi-government Arusha Declaration against wildlife trafficking, the passage of amendments to wildlife legislation increasing penalties for wildlife crimes, and the implementation of governance strategies to improve human-wildlife conflict and strengthen law enforcement against poaching and illegal wildlife trade. Each of the target countries in this project was selected based on the results and engagement demonstrated by each caucus under the previous GEF-supported CCN project. CCN is now positioned to develop the conservation caucus model further, creating and mobilizing the high-level political will critical to bridge the gap between conservation policy recommendations and further legislative or executive action. CCN’s work will capitalize on the momentum created through its previous project by increasing in-region capacity to deliver a strong program of issue-focused parliamentary-level activities within and among the five countries targeted in this project with a focused objective of improving the legal

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<sup>8</sup> For biodiversity projects, in addition to explaining the project’s consistency with the biodiversity focal area strategy, objectives and programs, please also describe which [Aichi Target\(s\)](#) the project will directly contribute to achieving.

and policy frameworks and capacity to stem the loss of critical wildlife populations and habitat. In each country, CCN will focus on the key role that a parliamentary caucus plays in the advocacy, policymaking, and high-level dialogue necessary to reduce illegal wildlife trafficking and advance wildlife conservation governance.

To address the capacity gaps in law enforcement, CCN has expanded its programs to include high-level “training of trainers” engagement with investigators, prosecutors, and the judiciary. In this program, CCN has engaged at the highest levels of law enforcement to advance the development of standardized processes and protocols to enhance the efficiency and effectiveness of all legal officers in the investigation, prosecution, and sentencing of wildlife crimes. Interventions aimed at standardizing practices and building capacity of criminal justice and wildlife agencies in handling wildlife crimes include the expanded and improved use of prosecutor-led investigations, the development and utilization of official prosecutor handbooks and inter-agency protocols on wildlife crimes, the development of official sentencing guidelines by the judiciary, and the implementation of systematic court reporting on wildlife criminal cases. By incorporating leaders from the parliamentary conservation caucuses into the criminal justice capacity-building program, CCN has also advanced the political will to implement these critical institutional interventions.

## **Gabon**

Biodiversity, Environmental, and Socio-Economic Context: Gabon is one of the most biodiverse countries in the world, with more than 22 million hectares of forest and a coastline greater than 885km. Gabon holds roughly 700 species of birds, 98 species of amphibians, 10,000 species of plants, and 198 species of mammals. Perhaps most significant to this project, Gabon is one of the last strongholds in Central Africa for the African forest elephant (*Loxodonta cyclotis*), with approximately 50% of the remaining population of that species. Gabon is also home to the Western Lowland Gorilla (*Gorilla gorilla gorilla*) and Chimpanzees (*Pan troglodytes*). Habitat for these species in Gabon includes three of the world’s designated “globally important eco-regions,” including the Congo Basin.

Gabon is endowed with considerable reserves of oil and gas, the exploitation of which has fuelled sustained economic growth for the past several decades. Coupled with long-standing political stability and a low population density (85% of the population lives in urban areas), this reliance on oil and gas reserves to drive economic growth has withheld the pressure on land and biodiversity that many other developing nations face. Nevertheless, unsustainable exploitation of natural resources poses threats to Gabon’s biodiversity and environmental integrity. The palm and rubber plantation industry continues to grow, along with increases in illegal mining and timber exploitation and trafficking.

Institutional, Policy, and Current Political Will Context: Gabon has long demonstrated a high level of political will and commitment to conservation. “Gabon Vert” (Green Gabon) and “Gabon Bleu” (Blue Gabon) are fundamental pillars of the government’s sustainable development and economic growth strategy. In line with these principles, Gabon established 13 national parks in 2001, setting aside over 1.2 million hectares of land, and in 2017, Gabon established Africa’s largest network of marine protected areas (MPAs) comprising 26% of Gabon’s Exclusive Economic Zone (EEZ). Gabon, in partnership with the principals of ICCF, also played a significant role in launching the Congo Basin Forest Partnership, an unprecedented conservation initiative spanning Central Africa. In its 2004 2nd National Report to the CBD, Gabon reported having undertaken a thorough reform of the legal and institutional framework incorporating the recommendations of Agenda 21 on sustainable development and those of the 2010 target (halting biodiversity decline by 2010) agreed at Johannesburg in 2001. The Government of Gabon is currently developing an integrated land-use strategy that takes a multi-use approach to development planning in all major economic sectors.

Gabon is run by a multi-party presidential regime, and its legal system is based on a mix between French civil law and customary law. Legislation is implemented by the Senate and the National Assembly. Gabon’s success and commitment to conservation have largely emanated from the executive branch under the leadership of President Ali Bongo Ondimba. President Bongo has expressed to CCN/The ICCF Group the need to further codify the government’s sustainable development and conservation initiatives in law to ensure long-term implementation. CCN took steps to support this initiative by working with the Parliament of Gabon to launch the Gabon Parliamentary Conservation Caucus in 2017, with high-level support from the President of the Senate, the President of the National Assembly, and the Chair of the Committee on Environment and Sustainable Development. The Forest Code is the primary legislation governing wildlife trade in Gabon. Since its enactment, the Forest Code has been regulated and augmented by executive orders enacted by

the Minister for Forests, Environment and the Protection of Natural Resources. Other legislation that is relevant to wildlife governance includes the National Parks Law and the Hunting Regulations. Legislative reform is a priority given the lax penalties under existing laws. The Convention of International Trade in Endangered Species of Wild Fauna and Flora (CITES) classifies Gabon as a ‘Category 2’ country; i.e., its legislation does not meet all the requirements for implementing CITES.

## **Kenya**

Biodiversity, Environmental, and Socio-Economic Context: Kenya’s biodiversity is among the most important in Africa. According to GEF project documentation, Kenya is home to nearly 25,000 animal species, including 359 species of mammal. Habitat includes a wide range of terrestrial and marine ecosystems from savannahs and semi-desert to moist forests to coral reefs and mangroves. Kenya’s protected area estate consists of more than 50 National Parks and National or Forest Reserves covering both terrestrial and marine environments and spanning roughly 11% of the country’s land area (or approximately 44,000 km<sup>2</sup>). The majority of Kenya’s National Parks and National Reserves are located within rangeland ecosystems, including the Tsavo East and Tsavo West National Parks, the Maasai Mara, and assorted national reserves and conservancies. Wildlife also occurs in abundance outside of protected areas on private, state, and land trusts; together these areas harbour more than 70% of Kenya’s wildlife. The “conservancies movement” in Kenya has grown from 4 conservancies in the early 1990s to 150 today, covering 15 million acres and spread in 19 counties. These include both privately owned land and communal trust lands. For the communities that live in these ecosystems, agriculture, livestock and forests account for most of the subsistence and cash economy, employment and export earnings.

Despite experiencing significant economic growth in recent years, there are still many people living in poverty and through subsistence agriculture in Kenya. Kenya’s rural landscapes are home to many pastoral communities, including Maasai tribes, which graze livestock or practice subsistence farming, which can often create competition and conflict with protected lands and wildlife.

Institutional, Policy, and Current Political Will Context: Kenya has a devolved system of governance, with policy and decision-making occurring at both the county level as well as at the national level through the executive and the parliament. The devolved governance structure has provided for greater independence of the legislative and judiciary branches. While conservation governance continues to be largely enacted and implemented at the central government level, more authority is being devolved to the county level, especially with the spread of the private land conservancy movement. The Government of Kenya has demonstrated a strong historical commitment to wildlife conservation. In addition to more than 50 national parks and forest reserves, many protected areas have been established as “conservancies” through private, state, and land trusts, whereby private individuals, entities, counties, or communities have set aside land for conservation and wildlife habitat.

The Wildlife Conservation and Management Act 2013 is the principal legislation governing wildlife and containing provisions against wildlife offences. Supporting legislation and policies include the Wildlife Policy (1975), the Forest Act (2016), the Environmental Management and Coordination Act (1999), the National Trade Policy (2008), the National Land Policy (2009), the Tourism Act (2011), and the Vision 2030 Plan (2005). Political will in Kenya, in part due to the Parliamentary Conservation Caucus – Kenya (PCC-K) program, is strong on conservation and especially on wildlife governance and combating wildlife crime. The PCC-K was the first caucus to launch in Africa, and currently holds over 70 Members of Parliament, including senior leadership in the Environment Committee as well as the Deputy Speaker of the National Assembly. The Cabinet Secretary for Environment, Hon. Judi Wakhungu, collaborates closely with CCN/ICCF Kenya and engages regularly in caucus programs. The Cabinet Secretary led the delegation to the 2014 Arusha Summit and provided significant guidance on drafting the 2014 Arusha Declaration. Through CCN/ICCF Kenya programs, the PCC-K, in collaboration with the Cabinet Secretary for Environment, has facilitated the passage of significant natural resource legislation over the past several years, including key provisions of the Wildlife Conservation and Management Act 2013, and subsequently forests, mining, water, and climate change acts.

In December 2013, Kenya overhauled its wildlife legal framework through enactment of the Wildlife Conservation and Management Act, 2013 (drafted with CCN support by the Co-Chairs of the PCC-K). Among the most notable changes the reform introduced was a dramatic increase in both custodial and financial penalties for wildlife-related crimes. In the

years since enactment, stakeholders, including prosecutors and judges, have identified significant issues with the legislation in its enforcement and implementation. Accordingly, significant amendments to the legislation have been identified and proposed, as well as a regulatory framework for its implementation. Other initiatives to reform Kenya's wildlife legal, regulatory, and policy frameworks include a) finalizing and enacting the draft Wildlife Conservation and Management Policy 2017; and b) drafting a Wildlife Conservation and Management Strategy 2018-2022.

## **Malawi**

Biodiversity, Environmental, and Socio-Economic Context: Malawi boasts some of the most important and diverse ecosystems in the world. Its inland waters, including Lake Malawi, are home to the most diverse freshwater fish species in the world, with over 800 species, 90% of which are endemic. Malawi's protected area estate, which consists of five national parks totalling over 1.8 million hectares of land, provides habitat to significant populations of elephants (*Loxodonta Africana*), lions (*Panthera leo*), leopard (*Panthera pardus pardus*), kudu (*Tragelaphus strepsiceros*), nyala (*Tragelaphus angasii*), and small populations of black rhinoceros (*Diceros bicornis*). Protected area networks in Malawi are also important corridors for migratory wildlife to access nearby habitats in Zambia and Mozambique. Several of Malawi's forest reserves and national parks serve critical ecosystem functions, providing watersheds that feed the main freshwater sources for Malawi's capital city, Lilongwe, as well as Lake Malawi. Elephant populations have declined by approximately 50% over the past 15 years, largely due to the illegal ivory trade, but still number around 2,000 individuals spread throughout Malawi's protected areas. Malawi's northern protected area estate serves a key role in the Malawi-Zambia Trans-Frontier Conservation Area, creating connectivity for wildlife populations ranging from the Lungwa Valley in Zambia.

Malawi is one of the most densely populated countries in Southern Africa, placing significant pressure on both its conservation and economic development goals. Malawi is also considered one of the poorest countries in the world as measured by average household income. Much of the population lives in rural areas and practices subsistence farming. Beginning in 2016, Malawi began to experience a drought, raising significant concerns about food security, which is being treated as one of the country's highest priorities. Major economic drivers in Malawi include tobacco, tea, and sugar exports, which also put significant pressures on land use.

Institutional, Policy, and Political Will Context: The Ministry of Natural Resources oversees the Department of National Parks and Wildlife (DNPW) and the Department of Forestry and the Forestry Research Institute, which together are responsible for the management of Malawi's protected areas and forest resources. Fisheries resources, however, are managed by the Department of Fisheries under the Ministry of Agriculture, Irrigation and Water Development. The Malawi Parliamentary Conservation Caucus (MPCC) launched in 2015 and boasts significant high-level support. The Chair of the Committee on Natural Resources is a Co-Chair of the caucus, and the President of Malawi is the official patron. Malawi's principal legislation governing wildlife is the National Parks and Wildlife Amendment Act of 2016. The amendment act, which was passed in late 2016, significantly increased penalties for wildlife crimes. The MPCC played a significant role in providing the political will and substantive input that supported the passage of the new legislation. The Government of Malawi is now examining the need for a subsidiary regulatory framework for the DNPW that will enable the full enforcement of the new legislation and ensure clarity and compliance. Ancillary legislation, including the forestry act and forestry regulations, which supports wildlife conservation and law enforcement activities in combating wildlife trafficking, also needs to be examined as part of a broader policy review.

## **Mozambique**

Biodiversity, Environmental, and Socio-Economic Context: Mozambique is endowed with exceptional natural resources, including rich soil, dense forests, abundant water resources, minerals, large reserves of offshore natural gas, and significant marine life. Intact miombo woodlands can be found throughout the central and northern regions, providing essential ecosystem services to many rural populations, such as freshwater, wood, and food, in addition to habitat for an abundance of wildlife species. Mozambique supports more than 222 mammal species and over 600 bird species. Mozambique has established 47 protected areas, including seven national parks and six national reserves. Mozambique is home to several migratory elephant (*Loxodonta africana*) populations and other wildlife species that range across

neighbouring Tanzania and Malawi. Mozambique's flagship national park, Gorongosa, is considered one of the most biodiverse parks in the world.

A major economic driver is Mozambique's recent discovery of immense offshore natural gas reserves, which have attracted significant foreign investment from oil and gas corporations. Other important economic activities include agricultural and fish exports. Despite the potential for sustained economic returns from the extractive sector, Mozambique still ranks among the least developed nations, with widespread poverty and over 70% of the country living and working in rural areas.

Institutional, Policy, and Political Will Context: The parastatal National Agency for Conservation Areas (ANAC) is responsible for managing all of Mozambique's protected areas, several of which are under co-management agreements with non-governmental organizations, such as Gorongosa National Park with the Carr Foundation, Wildlife Conservation Society (WCS) in the Niassa Reserve, Peace Parks/Chissano Foundation in the Limpopo Reserve, and a recent agreement with African Parks. Policy decision-making on environmental issues also resides in the Ministry of Land, Environment, and Rural Development, as well as the President. Mozambique has a unicameral National Assembly, and legislative initiative can emanate from MPs, Committees, or the Executive. Important entities also include the Environmental Police, a specialized force created by the Government of Mozambique in 2014, the Inter-Ministerial Task Force, the Ministério Público, which handles most of the prosecutions and training of prosecutors who deal with wildlife crimes, and the Provincial Courts, which preside over most of the wildlife crime cases.

The Conservation Law of 2014 (amended in 2016) and the Forests and Wildlife Law of 1999 and subsidiary regulations are the principal domestic laws governing wildlife resources and Mozambique's protected area estate. The Conservation Law provides the primary provisions for handling wildlife-related offences. Ancillary legislation includes the Penal Code, the Anti-Corruption Law, and the Anti-Money Laundering Law. To improve compliance with CITES, Mozambique developed a 'National Ivory and Rhino Action Plan 2015/2016' (NIRAP) in 2015, setting out priority actions in wildlife conservation, including legislation, frontline enforcement, and training programs. Those include effective prosecution and judicial handling of wildlife crime, national and international cooperation and improving law enforcement operations. On the international level, Mozambique is a member of the Wildlife Enforcement Network of Southern Africa (WENSA), the Lusaka Agreement, and several MOUs regarding transboundary and transfrontier conservation areas with neighbouring countries. CCN supported the formation and signing of an MOU between Mozambique and Tanzania regarding the coordinated management of the Selous-Niassa ecosystem.

Political will to advance conservation and combat wildlife crime in Mozambique is strong, in part due to CCN's level of engagement to-date. In 2016, the Parliament of Mozambique agreed to form a Parliamentary Forum on Conservation, following several U.S.-based and regional inter-parliamentary exchanges on wildlife governance. The Parliament did not take the formal step of establishing a caucus out of concern that it may put pressure on the parliament's limited financial resources. The forum, however, follows the same multi-party principles of a caucus and benefits from the leadership of the Chairman of the Agriculture, Economy, and Environment Committee as well as the President of the National Assembly. CCN has also facilitated high-level engagements with the President of Mozambique, Minister of Environment, and a delegation of MPs to Washington, D.C. to hold dialogues with counterparts in the U.S. Government and donor institutions. With support from CCN, the Mozambique Parliamentary Forum on Conservation played a significant role in building the political will to pass critical amendments to Mozambique's Conservation Law, which now includes penalties for trafficking of protected species, in addition to poaching and possession. The parliamentary forum also played a role in updating Mozambique's tax laws to ban the export of raw timber as a step toward combating deforestation and the illegal timber trade. The government has also expressed interest in combating wildlife trafficking through enhanced law enforcement at Indian Ocean seaports through coordinated initiatives with neighbouring countries.

The Government of Mozambique has expressed a commitment to developing a comprehensive national strategy for addressing wildlife and forest crime, in part by updating and integrating the National Ivory and Rhino Action Plan, the National Elephant Action Plan, the draft National Strategy for Wildlife Law Enforcement, and the SADC Law Enforcement and Anti-Poaching Strategy. The government also recently completed a UNODC-assisted national assessment following the International Consortium on Combating Wildlife Crime (ICWC) indicator toolkit, as well as a GEF-assisted report, "Toward a National Strategy to Combat Wildlife Crime and Illegal Wildlife Trade in Mozambique,"

both of which will provide guidance to the government on structuring a national strategy and addressing legislative and policy gaps.

## **Zambia**

Biodiversity, Environmental, and Socio-Economic Context: Zambia is a landlocked country with a diversity of wildlife species, including large game animals such as elephants, hyenas, zebras and crocodiles. Zambia's year is punctuated by the season of abundance, when the landscape becomes lush, and the season of stress, when river channels are reduced and the landscape becomes dry, sending animals deeper into the bush in search of forage. The Luangwa River hosts Africa's largest hippo (*Hippopotamus amphibious*) population, while the Luangwa Valley is the only place in the world with a population of Thornicroft's giraffes (*Giraffa camelopardalis thornicrofti*). Great migrations of antelope and wildebeest (*Connochaetes taurinus*) roam across the Liuwa Plains, while some of Africa's largest populations of lions (*Panthera leo*), leopards (*Panthera pardus pardus*), and wild dogs (*Lycaon pictus*) can be found in the country. Zambia's protected area estate consists of 20 national parks, 36 game management areas, two bird sanctuaries and one wildlife sanctuary, as well as approximately 432 forest reserves, altogether covering nearly 36% of Zambia's land. To provide further protection to its national parks and satisfy demand for wildlife-based economic activity, Zambia created the concept of "game management areas" (GMAs), which create buffer zones of mixed-use protected areas around national parks. Often, GMAs allow hunting of wildlife resources and other forms of sustainable natural resources utilization.

Zambia's economy remains largely dependent on the copper industry, which creates fluctuation in currency and macroeconomic trends with the fluctuations of copper commodity values worldwide. 68% of Zambia's population lives in poverty and the majority resides in rural areas practicing subsistence farming.

Institutional, Policy, and Political Will Context: The Zambian Wildlife Act 2015 is now the principal legislation for wildlife conservation, regulating the international trade in endangered species of flora and fauna and imposing restrictions on the import, export, and re-export of any species listed in the Appendices to CITES. The official guiding policy document continues to be the National Parks and Wildlife Policy of 1998. Ancillary legislation includes the Zambia Forests Act 2015, as well as anti-corruption, anti-money laundering, mutual legal assistance, and criminal procedure legislation.

Political will for wildlife conservation and the development of a diversified wildlife-based economy is strong. The Government of Zambia has recognized that a cross-sectoral and integrated rural development approach including biodiversity conservation and promotion of eco-tourism through the protected area network is an opportunity to enhance rural livelihood strategies and options. The Zambian Parliamentary Conservation Caucus (ZPCC) launched in 2012 following an inter-parliamentary conference organized by CCN. The caucus now consists of over 50 Members of Parliament, including several Cabinet Ministers (such as the Minister for Home Affairs and the Provincial Minister for Luapula Province) and Committee Chairpersons in its Executive Committee, providing the caucus with considerable political and policy/legislative influence. The Ministry of Tourism and Arts has also collaborated closely with the ZPCC and CCN in various policy workshops and wildlife crime capacity-building activities.

In the last year, Zambia has made positive advances towards a more effective legislative framework for wildlife crime; together with the help of a few core NGOs, there have been initiatives in policy support, enforcement, and judicial training. With support from CCN, Zambia signed the Arusha Declaration on Regional Conservation and Combating Wildlife/Environmental Crime, and Zambia's Ministry of Tourism and Arts drafted a new National Parks and Wildlife Policy. The draft policy, however, has not been officially finalized and adopted by the government as it was set aside during a prolonged election period in 2016. Additionally, in 2015, Zambia signed an MOU with the Government of Tanzania on the Coordinated Conservation and Management of the Miombo/Mopane Woodland Ecosystem, and established a Trans-Frontier Conservation Area with the Government of Malawi spanning several national parks and forest reserves on both sides of the border. The Government of Zambia has proposed to finalize its Draft National Parks and Wildlife Policy, improve the governance frameworks for wildlife management and wildlife-based enterprises in the Game Management Areas (GMAs), and take policy and regulatory actions to support cooperative enforcement of the Trans-Frontier Conservation Areas. Until recently, DNPW had its own prosecutions team specially devoted to handling poaching and wildlife trafficking cases. The Government of Zambia is now transitioning DNPW prosecutors into the

National Prosecutions Authority. As this process has just recently begun, it is unclear what the institutional structures within the NPA will be regarding wildlife trafficking (i.e., whether there is a special prosecutions team, delegation of cases, etc.).

### **Threat Analysis**

**Infrastructure Development:** Despite its significant contributions to gross domestic product (GDP) across the African continent, the wildlife sector is consistently under-prioritized in considerations of national development planning, land-use planning, and international financing agreements, and wildlife and environmental management agencies are often seen as preventing development or “taking something away” from local communities and businesses. As a result, national and local development planning does not incorporate the economic value of the wildlife sector and frequently threatens the existence of protected areas, wildlife-based enterprises, and wildlife populations themselves. Furthermore, infrastructure development (such as roads, railways, towns, etc.) often proceeds without any consideration of the movements of wildlife populations, thereby preventing migrations and endangering the connectivity of wildlife species.

**Human-Wildlife Conflict:** Human-wildlife conflict is most concentrated and impactful within agricultural regions where human population growth begins to encroach on animal territory. Human population growth, agricultural intensification, and wealth creation have limited the living space and resources for both humans and animals, creating conflict. Wildlife can cause destruction to crops, livestock, infrastructure, and human lives, while human settlement and productive activities can destroy critical habitat for wildlife. Compounding these problems is the fact that the farmers who face these challenges are often the poorest members of society, with small, subsistence-based plots, and thus are highly vulnerable to negative impacts from wildlife. Elephants, for example, the largest mammal to walk the earth, need to eat enough roots, grasses, fruit, and bark to sustain their large bodies, which means that an elephant can destroy a poor farmer’s livelihood in one night. This is a big problem in rural parts of Africa. Animal eating preferences and migration patterns play a big role in the rivalry. People farm near water and tend to harvest in March and April, at the same time as elephants migrate to large bodies of water.

**Illegal Wildlife Trade:** The poaching crisis in Africa endangers numerous species in many parts of the continent, including elephants and rhinos as well as many other species. The global illegal wildlife trade, excluding timber, is estimated to be worth \$15-20 billion annually – and is considered the fourth largest global illegal trade behind trafficking in drugs, humans, and arms. The illegal wildlife and timber trade and the theft of natural resources frequently affect the poorest populations most directly, undermine the rule of law and government authority, and have a negative impact on local and national economies. For elephants, poaching levels and the number of large-scale seizures of ivory intended for Asia tripled in size between in 2008-2013<sup>9</sup>. For many countries in Central and Western Africa, the extent of the killings now far exceeds the natural population growth rates, putting elephants at risk of extinction in those countries. Previously secure populations in Eastern and Southern Africa are also under growing threat, as a wave of poaching seems to be spreading east and southwards across the African continent. Highly organized criminal networks operate with relative impunity to move large shipments of ivory off the continent and to markets in Asia. The prevalence of unregulated domestic ivory markets in many African cities, coupled with the large number of potential Asian buyers residing in Africa associated with infrastructure projects and resource extraction operations, also fuel the demand for ivory. In many countries, weak governance and collusive corruption at all levels further exacerbates this situation, and poverty facilitates the ability of organized criminals to recruit, bribe or threaten locals and underpaid police, military personnel, and wildlife rangers. Furthermore, poachers are becoming better equipped, are able to conduct more sophisticated operations, and are better supported by illegal traders and criminal networks. Poaching of Rhinos in Africa, fuelled by the illegal trade in rhino horn, is also dramatically increasing, pushing the species closer and closer to extinction<sup>10</sup>. The Western black rhino was declared extinct by the International Union for Conservation of Nature (IUCN) in 2011, with the primary cause identified as poaching, and all five remaining rhino species are listed on the IUCN Redlist of threatened species, with three out of five species classified as critically endangered. Apart from South Africa, which is home to 83% of Africa’s rhinos and has seen a dramatic escalation in poaching in recent years (e.g. 668 rhinos were killed by poachers in South Africa in 2012,

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<sup>9</sup> UNEP, CITES, IUCN, TRAFFIC (2013). *Elephants in the Dust – The African Elephant Crisis*. A Rapid Response Assessment. United Nations Environment Programme, GRID-Arendal. [www.grida.no](http://www.grida.no)

<sup>10</sup> [http://www.savetherhino.org/rhino\\_info/threats\\_to\\_rhino](http://www.savetherhino.org/rhino_info/threats_to_rhino)

and 1,004 rhinos were killed in 2013), other countries with rhino populations do not regularly publish poaching statistics. However, news reports and press releases show a similar dire problem; for example, Kenya reported in August 2013 that it had lost 34 rhinos to poaching since the beginning of that year.

### **Barrier Analysis**

In 2016, The ICCF Group/CCN, in partnership with Stop Ivory, conducted a review of current challenges and on-going initiatives to combat wildlife trafficking titled: “Stopping poaching and wildlife trafficking through strengthened laws and improved application: an analysis of criminal justice interventions across African range states and proposals for action.” The report identified a number of significant barriers to stemming the challenge of wildlife trafficking. The proposed CCN project will address several of the barriers identified in this report, including the following:

**Barrier 1 - Lack of awareness of wildlife conservation opportunities and threats at the decision maker level (leadership, parliamentarian, law enforcement/criminal justice):** In Africa, a top priority is stemming the poaching crisis and protecting wildlife as a valuable natural resource, but leaders are also under great pressure to address water shortages, undertake sustainable land-use planning, and ensure food security for a growing population. For policymakers, legislators, and leaders in criminal justice institutions such as the judiciary and public prosecutions authorities, wildlife conservation and combating wildlife crime are often seen as lower priorities than other national development and law enforcement needs. This under-prioritization of wildlife trafficking and wildlife conservation is often due to a lack of awareness of a) the contributions of wildlife-based enterprises and tourism to GDP; b) the social, economic, and environmental benefits of ecosystem services contributed by wildlife populations; and c) the seriousness of wildlife trafficking and its involvement in transnational organized criminal networks that consistently and significantly undermine rule of law, drive corruption, and threaten security. Law enforcement institutions often lack an understanding of how combating wildlife trafficking can be utilized as part of a broader national security and anti-crime/anti-corruption strategy. This lack of awareness of the importance of the wildlife sector inhibits the political will to take action, and the institutional resources to implement effective strategies on the ground. As a result, wildlife conservation and combating wildlife trafficking are often left out of key decision-making processes regarding national development planning and investments, law enforcement training and strategies, and regional economic and law enforcement cooperation priorities.

**Barrier 2 - Inadequate national policy, legislation, and supporting regulatory frameworks:** As noted in the institutional-policy context for each target country above, governments have taken significant steps to update and strengthen policy and legislative frameworks for combating wildlife crimes, the designation of protected areas, and investment in frontline protection and law enforcement. There remain, however, significant gaps in each country’s legal and policy frameworks. The 2016 ICCF Group/CCN-Stop Ivory Report indicates numerous issues with each country’s legal frameworks regarding penalties, conflicting mandates, discord with other laws, and a lack of updated ancillary legislation that supports law enforcement. In the case of Gabon, primary legislation still needs to be updated to reflect appropriate, proportional penalties for wildlife crimes. In the case of Kenya, Malawi, Mozambique, and Zambia, primary legislation has been updated recently with harsher penalties for wildlife trafficking, but subsequent stakeholder engagement has revealed several critical inadequate, conflicting, or missing components to each of those laws. Additionally, these laws lack subsidiary regulations and a comprehensive policy framework that would enable full implementation and provide guidance and mandates to agencies and others in the wildlife sector. Apart from primary wildlife legislation and policies, each of the target countries requires a more comprehensive review of ancillary legislation, including laws governing other natural resource sectors such as forests, fisheries, and mining, to laws on corruption, money-laundering, penal codes, and mutual legal assistance. In addition to law enforcement and wildlife management, each target country suffers from inadequate and/or inconsistent policy and legal regimes governing the tourism industry and other wildlife-based enterprises. Inadequate rules regarding wildlife industries create disincentives to new investments and hamper the ability of communities, business, and governments to directly benefit financially and socially from wildlife resources. Finally, financing of programs to address illegal trafficking of wild fauna and flora is very limited, and as a result, agencies are inadequately staffed, staffs are inadequately trained and equipped, and enforcement suffers.

**Barrier 3 - Weak and inconsistent practices, capacity, and training among prosecuting and judicial authorities on wildlife crimes:** As noted in the policy baseline, as well as in the ICCF Group/CCN-Stop Ivory report, each of the target countries has taken strides to train its judicial, prosecuting, and investigative officials in the application of wildlife laws in

investigations, prosecutions, and sentencing. Despite these significant strides and high-level commitments, there remains a significant challenge that without institutionalization and standardization of best practices and training, capacity will remain inconsistent across officials and agencies, as well as unsustainable. While some prosecutors and judges are receiving high-level training from international organizations, many judges and prosecutors continue to lack the experience with wildlife trafficking and the knowledge of wildlife and ancillary laws to properly charge and successfully prosecute and sentence wildlife criminals. There is a lack of a coordinated, institution-wide effort to standardize and codify best practices for all criminal justice practitioners. Many cases continue to be dismissed based on poor evidence handling, charging, and other capacity-based issues, or facing significant delays in the courts due to a lack of active case management by the judiciary, or a lack of knowledge of the issues. Coordination and cooperation between prosecutors and investigators remains a significant challenge as well. Without a standardization and institutionalization of practices and protocols for each step in the wildlife law enforcement custody chain, from arrest to sentencing, some prosecutors and judges may become experienced and well trained in wildlife crimes while others will not. The shifting dynamics of those institutions and roles will enable the continuation of inconsistent enforcement and widespread capacity challenges.

Barrier 4 - Lack of coordination among government agencies and branches: As noted above, there is a significant lack of coordination among government agencies on cross-cutting issues of wildlife management and combating wildlife crime. It has become clear in recent years that, due to the seriousness of wildlife trafficking, as well as the complexities of wildlife and protected area management, the challenges of wildlife conservation are too large and complex for one sector, or one agency, to handle. Wildlife departments are not equipped to handle militarized frontline protection, transnational organized crime investigations, customs enforcement, and high-level prosecutions. By that same token, wildlife departments may not be equipped to properly manage other sectors that happen to fall within their scope of authority and mandate, such as forests and fisheries management, or local governance and community development. Internationally, wildlife agencies face challenges in their mandate to operate across borders without significant engagement with law enforcement and foreign affairs departments. Lack of coordination among government agencies diminishes the capacity of government to successfully manage wildlife populations and combat wildlife crime, while also hindering the mainstreaming of biodiversity and incorporation of the wildlife sector as a key priority for other government institutions and national planning.

Barrier 5 - Corruption: The 2016 ICCF Group/CCN-Stop Ivory Report demonstrated widespread stakeholder consensus that corruption and weak governance were among the most significant enablers of wildlife crime and barriers to sustainable wildlife conservation. The report further notes that both governmental and non-governmental initiatives in the wildlife sector have not adequately addressed the issue of corruption. With the high demand and large financial incentives in the illegal wildlife trade, corruption has flourished and permeates all levels of the IWT supply chain from source to transit to destination. Significant contributing factors to corruption in the wildlife sector include a) weak laws and policies for handling corruption and b) capacity challenges in the investigative, prosecuting, and judicial authorities in handling wildlife crime cases. National laws and policies such as anti-corruption laws and anti-money laundering laws are also often out-dated and lacking in provisions that enable stronger application of these laws in wildlife crime investigations and prosecutions. The widespread lack of capacity and training among prosecuting and judicial authorities on the handling of wildlife crimes also contributes significantly to corruption. Poor and inactive management of cases by the judiciary, improper evidence and case preparation by prosecutors and investigators, lacking or non-existent court reporting, and non-standardized practices for sentencing are among the capacity challenges that enable corruption to thrive in the criminal justice system.

Barrier 6 - Lack of coordination between the public and private sectors: In each country, private and public sector entities lack a consistent forum and infrastructure for high-level engagement with one another. Lack of coordination between the public and private sectors results in missed opportunities for partnership and sharing of resources and expertise, as well as a duplication of efforts and misunderstanding on policy and regulatory issues. Given the widespread capacity and resource challenges, as well as the urgent need to develop tourism and provide economic benefits and opportunities to local communities, the public sector is hindering progress toward its own goals when it does not actively engage and collaborate with the private sector. Conversely, private-sector entities interested in tourism development, local economic enterprise opportunities related to wildlife and national parks, or direct public-private partnerships do a disservice to themselves by not engaging in dialogue with government at the highest levels.

## **b) The baseline scenario or any associated baseline projects**

### **Regional Baseline Activities**

The Conservation Council of Nations (CCN), a part of The ICCF Group network, continues to engage policymakers, legal practitioners, and non-governmental stakeholders in many African countries on conservation governance issues. Over the past 6 years, CCN has built 13 conservation caucuses in Africa and Latin America addressing natural resource governance, utilizing the caucus model pioneered by the International Conservation Caucus Foundation. CCN is working to create and expand inter-parliamentary dialogue on natural resource management (including wildlife conservation) and its links to poverty alleviation, sustainable economic development, and conflict avoidance, and, where desired, is assisting nations in creating multi-partisan conservation caucuses within their own legislatures. In each of the project countries, CCN has planned activities with parliamentary conservation caucuses to address several wildlife and non-wildlife related conservation priorities. In Gabon, CCN has planned activities to address oceans and forest conservation, and a field visit to examine human-wildlife conflict mitigation measures with ANPN. In Kenya, ICCF-Kenya will continue to implement programs with the PCC-K to build political will for a variety of natural resource governance issues, including the wildlife sector (which will co-finance this project), water, mining, and energy. In Malawi, CCN is planning work through a grant from the U.S. Fish and Wildlife Service to implement programs with the MPCC that will significantly co-finance this project, including support for developing sentencing guidelines, strengthening anti-corruption mechanisms in the wildlife sector, and addressing wildlife policy/regulatory issues. In Mozambique, CCN will continue to connect the parliamentary conservation forum with various stakeholders, with co-financed support from ICCF and its collaboration with the Carr Foundation. In Zambia, CCN will continue implementing programs with the caucus addressing wildlife issues through partnerships with the Panthera Foundation, WWF-Zambia, and other local NGOs.

The International Conservation Caucus Foundation (ICCF), part of The ICCF Group network, is an educational foundation which supports the International Conservation Caucus in the United States Congress through educational programs which link U.S. leadership in good natural resource management internationally and sustainable economic development, and regional and global security. ICCF complements the work of CCN by linking U.S.-based conservation leadership with CCN-supported caucuses abroad. ICCF is planning programs involving conservation caucuses in each of the target countries in this project, including Head of State engagements in the U.S., educational briefings in Washington for U.S. policymakers on efforts to combat wildlife trafficking, and delegations of U.S. caucus leadership to Africa.

ICCF Kenya: ICCF Kenya and CCN are the secretariat of the PCC-K and support and guide the caucus with sound information and economy-oriented solutions to Kenya's natural resource management challenges. ICCF Kenya convenes leaders and innovators in business, conservation, and global development to collaborate with policymakers and provide sector-specific expertise that drives conservation through natural resources-based development strategies. ICCF Kenya is the first fully registered secretariat in Africa and serves as a regional hub for ICCF and CCN activities. CCN intends to support replication of this model in the target countries with the development of independent, legally registered secretariat offices.

International Conservation Corps (ICC): The ICCF Group's International Conservation Corps program offers partner nations support in the management of protected areas and natural resources through technical expertise offered by retired experts from US and Canadian government resource management agencies. ICC is currently providing technical expertise to support the development and implementation of land-use management strategies to enhance biodiversity and livelihoods in the Naibunga Community Conservancy located in Laikipia County, Kenya, as well as inputs to CCN's legislative programs on the governance challenges in a community conservancy.

Other regional / international baseline activities include:

- Activities of the International Consortium to Combat Wildlife Crime (ICCWC), a collaborative effort between five inter-governmental organizations aimed at supporting national and sub-regional enforcement agencies to effectively enforce wildlife law
- The Lusaka Agreement Task Force on Cooperative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora, is a regional instrument in Africa that came into force in 1996, with a secretariat based at Kenya Wildlife Service. This Task Force will be considered as one of the key partners in this project. It could contribute in kind

support as well as serve in a technical capacity as it already works on these issues with several countries in Africa (<http://www.lusakaagreement.org>).

- Funding by various U.S. Government agencies in support of wildlife conservation and protected areas management, including: 1) on-the-ground training, capacity-building, and equipping of rangers, other law enforcement officials, prosecutors, and the judiciary by the U.S. Department of State Bureau of International Narcotics and Law Enforcement; 2) capacity building on protected area management, wildlife management, community development, tourism development, and law enforcement by the U.S. Agency for International Development (a key partner of CCN in Kenya); and 3) funding and technical assistance for wildlife investigations, protected area and wildlife management, and managing human-wildlife conflict in Gabon, support to CCN work in Malawi, and support for regional law enforcement attachés in Southern and East Africa by the U.S. Fish and Wildlife Service.

### **National Baseline Activities**

At the national level, there are a variety of governmental programs and non-governmental organization (NGO) projects being implemented that feature actions to strengthen wildlife conservation and protected-area law enforcement and monitoring systems.

<b>Country</b>	<b>Baseline</b>
Gabon	Gabon is a participant in the World Bank Group’s Wealth Accounting and Valuation of Ecosystems Services Program. Gabon has also requested a US\$100 million IBRD loan from the World Bank Group for the Gabon Skills Development Project, which will include capacity building in areas relevant to the proposed project, such as training in judicial systems and criminology, anti-money laundering and asset recovery, intelligence gathering and forensic investigation, specialized training for park rangers, and local community skills development to improve livelihoods. Training relevant to this project has an estimated cost of US\$29 million. The French Development Agency (AFD) plans to provide, through debt conversion, 10 million Euros to the “Gabon Elephant Project” aimed at combatting wildlife crime and ivory trafficking in Gabon, providing another important baseline program to complement the proposed project. Relevant NGO programs include: 1) support from WCS for protected area management in the TriDom transboundary conservation area; support and technical assistance by Conservation Justice for investigations and prosecutions of wildlife trafficking; 3) support by Space for Giants (a key ICCF Group/CCN partner) for interventions to combat human-elephant conflict and build capacity of prosecutions and the judiciary; and 4) general programs of the African Wildlife Foundation.
Kenya	Over the past year, the Government of Kenya has invested heavily to improve on-the-ground anti-poaching activities and will continue to invest significant resources in the creation and operation of an elite anti-poaching unit with the Administrative Police and General Service Unit (GSU). Both the Judiciary and the Office of the Director of Public Prosecutions (ODPP) have also committed to far-reaching reforms, training, and cooperation with civil society. It is estimated that the Government of Kenya will, over the next three years, invest several million dollars in anti-poaching activities. Kenya is also working to protect wildlife resources by supporting conservancies in order to provide income to communities and also safeguard wildlife outside national parks and reserves. Communities are increasingly engaging in tourism through the conservancy model. It is estimated that Kenyan conservancies will invest several million dollars over the next three years in the management of the conservancies targeted by this project. Finally, major public sector spending in Kenya is anticipated over the next five years by the Ministry of Water, Environment and Natural Resources, as well as project interventions by donor agencies such as USAID and DFID. Relevant NGO programs include: 1) on-the-ground technical and capacity-building support from TNC to conservancies in the Northern Rangelands Trust ecosystem; 2) participation by ANAW in the ICCF Kenya Conservation Council; 3) technical and advocacy support from KWCA to conservancies throughout Kenya; 4) technical assistance by Space for Giants to Kenya’s prosecutions and judicial authorities to build capacity and strengthen criminal justice systems for combating wildlife crime; 5) targeted on-the-ground investments by Save the Elephants in local organizations involved in protected area and wildlife management and law enforcement; 6) technical assistance and capacity-building by the Freeland Foundation for investigators and prosecutors on wildlife crime; 7) general programs of the African Wildlife Foundation; and 8) intensive trial advocacy training by Lawyers without Borders for prosecutors on handling wildlife crime cases.
Malawi	With funding from KFW and GIZ, the Government of Malawi has begun extensive conservation work in the Malawi-Zambia Trans-Frontier Conservation Area, including investments in law enforcement and investigative units to prevent poaching and disrupt wildlife trafficking, as well as protected area management in several national parks and forest reserves, and cross-border collaboration with Zambian authorities. Relevant NGO programs include: 1) a program of the Lilongwe Wildlife Trust (LWT) supporting investigations and prosecution of wildlife trafficking and engagement on wildlife policy task force; 2) LWT support for the development of sentencing guidelines and wildlife policies and laws;

	3) a co-management agreement between African Parks and the Government of Malawi to manage four national parks; and 4) a project of Stop Ivory to implement the Elephant Protection Initiative.
Mozambique	Three important baseline programs are underway in Mozambique that support the approach of the proposed project. The first is a program of state investments, both national and sub-national, of approximately US\$15 million that are focused on ecosystem services (e.g., forest and protected area management) and improving agricultural sustainability, specifically relating to the Marromeu and Gorongosa protected areas. The second program involves investments of approximately US\$25 million made by concessionaires and their partners to manage key protected areas and combat poaching on the ground, with a focus on Gorongosa, Marromeu, Niassa, and other areas. The final program involves additional investments of approximately US\$12 million by beneficiary communities, core protected area concessionaires, and partners (this figure may increase as the number of operational conservancies expands). Relevant NGO programs include: 1) a co-management agreement between the Carr Foundation and the Government of Mozambique to manage the Gorongosa National Park and planned conservancies; 2) a co-management agreement between WCS and the Government of Mozambique to manage the Niassa Reserve; 3) a co-management agreement between Peace Parks Foundation & Chissano Foundation and the Government of Mozambique to manage the Greater Limpopo Trans-Frontier Conservation Area; and 4) general programs of the African Wildlife Foundation
Zambia	The Government of Zambia, with support from GIZ, has already begun extensive conservation work and investments in the Malawi-Zambia Trans-Frontier Conservation Area, including law enforcement to prevent poaching and combat wildlife trafficking, and support for national park and forest reserve management. The Government is also facilitating the development of a specialized wildlife prosecutions unit with the National Prosecutions Authority, which will be particularly relevant to the implementation of this project. Relevant NGO programs include: 1) support from Panthera for predator research and protected area management in Kafue National Park; 2) co-management agreement between African Parks and the government for the Bangwuelu National Park and the Liuwa Plains National Park; 3) support from WWF-Zambia for policymakers to improve conservation governance and raise awareness of wildlife trafficking; 4) capacity building of prosecutors to combat wildlife trafficking by the Wildlife Crime Prevention Project (WCPP); 5) support from the Peace Parks Foundation for implementation of the Malawi-Zambia Trans-Frontier Conservation Area; 6) a co-management agreement with Frankfurt Zoological Society in North Luangwa National Park; and 7) predator conservation research by the Zambian Carnivore Programme in South Luangwa National Park

Further, the UN Environment Regional Office for Africa based in Nairobi will support the promotion and integration of the outcomes from this project in the Planning Processes and UNDAFs of target countries, as well as provide a platform for dissemination of results, and provision of technical support to countries. Project contribution to relevant sections of the UNDAF:

Country	Project Contribution to relevant sections of the UNDAF
Gabon	<p><a href="http://countryoffice.unfpa.org/gabon/drive/Gabon_UNDAF2012-2016_FR.pdf">http://countryoffice.unfpa.org/gabon/drive/Gabon_UNDAF2012-2016_FR.pdf</a></p> <p>(2012 – 2016) The Gabon UNDAF states six outcomes: (i) The national statistical system produces quality information on the monitoring of Millennium Development Goals (MDGs) and Sectors economic and social issues; (ii) The national administration has the legislative and regulatory tools or policy documents consistent with the Declarations, Conventions and Agreements, International and regional human rights instruments and uses them; (iii) Communities have taken appropriate preventive measures to improving well-being; (iv) Local entrepreneurship contributes to the diversification of the national economy; (v) the populations, particularly the most vulnerable, benefit from the strategies and sectoral policies for the equitable and inclusive development of human capital.</p> <p><b>The proposed project will contribute to the achievement of the above UNDAF priority areas, enhancing policy and legislative frameworks and building political will for conservation and combating wildlife crime, strengthening national capacities to more effectively and efficiently combat wildlife crime and strengthening role and building capacity at the Parliamentarian level to address wildlife conservation and combat wildlife crime.</b></p>
Kenya	<p><a href="http://www.ke.undp.org/content/kenya/en/home/library/government-reports/united-nations-development-assistance-framework-2014-2018.html">http://www.ke.undp.org/content/kenya/en/home/library/government-reports/united-nations-development-assistance-framework-2014-2018.html</a></p> <p>(2014 – 2018) The Kenyan UNDAF has four Strategic Results Areas: 1) Transformational Governance encompassing Policy and Institutional Frameworks; Democratic Participation and Human Rights; Devolution and Accountability; and Evidence-based Decision-making, 2) Human Capital Development comprised of Education and Learning; Health, including Water, Sanitation and Hygiene (WASH), Environmental Preservation, Food Availability and Nutrition; Multi-sectoral HIV and AIDS Response; and Social Protection, 3) Inclusive and Sustainable Economic Growth, with Improving the Business Environment; Strengthening Productive Sectors and</p>

	<p>Trade; and Promoting Job Creation, Skills Development and Improved Working Conditions, and 4) Environmental Sustainability, Land Management and Human Security including Policy and Legal Framework Development; and Peace, Community Security and Resilience. The UNDAF Results Areas are aligned with the three Pillars (Political, Social and Economic) of the Government’s Vision 2030 transformational agenda.</p> <p><b>The proposed project will contribute to the achievement of the above UNDAF priority areas, enhancing policy and legislative frameworks and building political will for conservation and combating wildlife crime, strengthening national capacities to more effectively and efficiently combat wildlife crime and strengthening role and building capacity at the Parliamentarian level to address wildlife conservation and combat wildlife crime.</b></p>
Malawi	<p><a href="http://www.mw.one.un.org/wp-content/uploads/2014/04/UNDAF-Action-Plan-2012-2016.pdf">http://www.mw.one.un.org/wp-content/uploads/2014/04/UNDAF-Action-Plan-2012-2016.pdf</a> (2012 – 2016) The Malawian UNDAF has four main themes namely (i) Sustainable and Equitable Economic Growth and Food Security; (ii) Equitable and quality basic social and protection services; (iii) National Responses to HIV and AIDS; and (iv) Governance and Human Rights. Under each theme, a key priority is identified: (i) UNDAF Key Priority 1: National policies, local and national institutions effectively support equitable and sustainable economic growth and food security by 2016; (ii) Key Priority 2: National institutions effectively deliver equitable and quality basic social and protection services by 2016; (iii) Key Priority 3: National response to HIV and AIDS scaled up to achieve Universal Access to HIV prevention, treatment, care and support by 2016; and (iv) Key Priority 4: National institutions effectively support transparency, accountability, participatory democracy and human rights by 2016.</p> <p><b>The proposed project will contribute to the achievement of the above UNDAF priority areas, enhancing policy and legislative frameworks and building political will for conservation and combating wildlife crime, strengthening national capacities to more effectively and efficiently combat wildlife crime and strengthening role and building capacity at the Parliamentarian level to address wildlife conservation and combat wildlife crime.</b></p>
Mozambique	<p><a href="https://www.unicef.org/about/execboard/files/Mozambique-UNDAF_2017-2020_Eng.pdf">https://www.unicef.org/about/execboard/files/Mozambique-UNDAF_2017-2020_Eng.pdf</a> (2016 – 2020) The Mozambique’s UNDAF states 10 outcomes to be achieved over the period, namely: (i) OUTCOME 1: Vulnerable populations are more food secure and better nourished; (ii) OUTCOME 2: Poor people benefit equitably from sustainable economic transformation; (iii) OUTCOME 3: Children, youth and adults benefit from an inclusive and equitable quality education; (vi) OUTCOME 4: Disadvantaged women and girls benefit from comprehensive policies, norms and practices that guarantee their human rights; (v) OUTCOME 5: Poor and most vulnerable people benefit from a more effective system of social; (vi) OUTCOME 6: People equitably access and use quality health, water and sanitation services; (vii) OUTCOME 7: Adolescents and youth actively engaged in decisions that affect their lives, health, well-being and development opportunities; (viii) OUTCOME 8: All people benefit from democratic and transparent governance institutions and systems that guarantee peace consolidation, human rights and equitable service; (ix) OUTCOME 9: Most vulnerable people in Mozambique benefit from inclusive, equitable and sustainable management of natural resources and the environment; and (x) OUTCOME 10: Communities are more resilient to the impact of climate change and disasters</p> <p><b>The proposed project will contribute to the achievement of the above UNDAF priority areas, enhancing policy and legislative frameworks and building political will for conservation and combating wildlife crime, strengthening national capacities to more effectively and efficiently combat wildlife crime and strengthening role and building capacity at the Parliamentarian level to address wildlife conservation and combat wildlife crime.</b></p>
Zambia	<p><a href="http://zm.one.un.org/sites/default/files/final_zambia-&lt;br/&gt;united_nations_sustainable_development_partnership_framework.pdf">http://zm.one.un.org/sites/default/files/final_zambia- united_nations_sustainable_development_partnership_framework.pdf</a> (2016 – 2021) The eight Partnership Framework outcomes are: (i) By 2021, Government of Zambia and partners deliver equitable, inclusive, quality and integrated social services; (ii) By 2021, marginalised and vulnerable populations demand and utilise quality and integrated social services; (iii) By 2021, productive sectors expand income-earning opportunities that are decent and sustainable, especially for youths and women in the poorest areas; (iv) By 2021, women, youth and other vulnerable groups are empowered to participate in economic opportunities that are decent and promote sustainable livelihoods; (v) By 2021, the national statistical system generates and disseminates disaggregated data for evidence-based national development processes; (vi) By 2021, national institutions at all levels target, manage, coordinate and account for resources for equitable service delivery and economic growth that is based on reliable data; (vii) By 2021, all people in Zambia, including women, youth and marginalised have equitable and effective participation in national and local democratic processes; (viii) By</p>

2021, all people in Zambia, including the large number of marginalised and vulnerable people, have greater understanding of their rights and are able to claim them, have greater human security, have access to justice and have equal opportunity under the law.

**The proposed project will contribute to the achievement of the above UNDAF priority areas, enhancing policy and legislative frameworks and building political will for conservation and combating wildlife crime, strengthening national capacities to more effectively and efficiently combat wildlife crime and strengthening role and building capacity at the Parliamentary level to address wildlife conservation and combat wildlife crime.**

**c) The proposed alternative scenario, GEF focal area strategies, with a brief description of expected outcomes and components of the project**

**Component 1: Enhancing policy and legal frameworks, and building political will for wildlife conservation and combating wildlife crime**

In this project, CCN will work with parliamentary conservation caucuses to facilitate the enhancement of wildlife-related laws and policies. The parliamentary conservation caucus model provides a unique vehicle for: a) building political will for wildlife conservation; and b) utilizing that political will to drive policy and legislative reform. Under a previous GEF-supported project, CCN facilitated the formation of multi-party conservation caucuses in the Parliaments of ten East, Southern, and Central African countries. Gabon, Kenya, Malawi, Mozambique, and Zambia are now among the most developed caucus programs, with multi-party membership and top-level support from the highest positions in government, including the Head of State and Ministers for Environment/Wildlife and Foreign Affairs, and Wildlife/National Park Directors, among others.

As the secretariat to each parliamentary conservation caucus, CCN works with caucus members, other policymakers, and key non-governmental stakeholders to identify major gaps in wildlife policy and legislation as well as proposed solutions. CCN then creates and facilitates programs that bring together caucuses with other key decision-makers, and expert stakeholders from the private sector, multilateral/bilateral organizations, and NGOs to advance proposed policy and legislative reform. These programs may take on the form of workshops or briefings in the capital to review draft language or analyse and discuss key issues, sub-regional inter-parliamentary and inter-agency dialogues to address international issues and harmonization, missions to protected areas and wildlife management sites to better understand the perspective on the ground, and delegations to the U.S. to enhance coordination with U.S. policy and law and support political will-building. Often, the value of wildlife conservation and the significance of the threats to wildlife are best demonstrated by the experts managing wildlife and protected areas on the ground, the communities affected, and the private-sector entities that are generating revenue based on these resources for the country. Each of these programs helps to educate policymakers and MPs about the value of wildlife and protected areas for economic growth, community livelihoods, and vital ecosystem services, and to identify the policy and legislative opportunities to enhance those resources. The resulting political will and understanding of the policy and legislative opportunities can be utilized to drive commitments to action on policy and legal reforms, as well as the commitment of further resources to wildlife conservation initiatives on the ground by national governments.

**Outcome 1.1:** *New or amended laws, regulations, and policies to mitigate poaching and illegal wildlife trade and advanced wildlife conservation enacted*

CCN anticipates achieving significant legislative and policy outcomes. Drawing from the list of potential focal areas below, CCN will work with caucuses and national governments at the time of project inception to identify which specific policy and legislative priorities the project will support. Policy outcomes may include executive action to enact new or updated wildlife management regimes, as well as policies and strategies to counter wildlife trafficking. Legislative and regulatory outcomes may include parliamentary and/or executive action to develop new or amended primary legislation (wildlife and protected area laws and regulations), budgetary allocations to wildlife management and law enforcement to counter wildlife trafficking, as well as ancillary legislation (laws and regulations for criminal penalties, money laundering, corruption, mutual-legal assistance, evidentiary rules, sentencing guidelines). Priority areas include:

- Gabon: a) review of wildlife and protected area governance provisions and enactment of the National Land-Use Strategy; b) review and passage of amendments to the Forest Code and other legislation to enhance implementation of CITES standards; and c) development and enactment of national strategy to manage human-elephant conflict and corresponding regulations
- Kenya: a) finalization and enactment of the National Wildlife Conservation and Management Policy (drafted and submitted to National Assembly); b) development and enactment of the National Wildlife Conservation and Management Five-Year Strategy 2018-2022 (in development); c) review, finalization, and passage of amendments to the Wildlife Conservation and Management Act 2013 and corresponding regulatory frameworks; and d) incorporation of alternative wildlife and protected area management models into policy and legal reviews and actions (private and community conservancy models)
- Malawi: a) review and finalization of Wildlife Regulations (subsidiary legislation to the National Parks and Wildlife Act); b) review and updating of the National Parks and Wildlife Policy; and c) review and amendment of Forestry Act and corresponding Forestry Regulations
- Mozambique: a) development and enactment of a National Strategy on Wildlife and Forest Crime; b) review and further amendment to the Conservation Law 2014 and the Forests and Wildlife Law 1999; and c) incorporation of alternative wildlife and protected area management models (community-managed conservancies) into policy and legal reforms
- Zambia: a) finalization and enactment of the National Parks and Wildlife Policy; and b) subsidiary regulations to the Zambia Wildlife Act 2015 and Zambia Forests Act 2015 clarifying provisions for wildlife management, community engagement, and wildlife-based enterprises in Game Management Areas.

Ancillary laws/policies: CCN anticipates, where possible, utilizing caucus engagement to facilitate executive and parliamentary action to also seek increased budgetary allocations to wildlife agencies and law enforcement, and enact new or amended ancillary legislation supporting law enforcement, prosecutions, and anti-corruption (e.g., penal codes, anti-money laundering acts, anti-corruption acts, mutual legal assistance). In some cases, sentencing guidelines for the judiciary may require parliamentary approval/action. In each country, CCN is facilitating engagement of parliamentary conservation caucuses with activities to develop sentencing guidelines with the judiciary.

Output 1.1.1: Baseline analysis of legal / policy frameworks completed and strategy for reforms proposed

- Policy and legislative baseline review and assessment/synthesis of proposed reforms

Output 1.1.2: Briefings, workshops and field visits to generate political will and stakeholder input to support legal, regulatory and policy reforms increased through engagement with caucus members and other stakeholders

- Policy and legislative briefings and workshops in-country with parliamentary conservation caucuses, executive agencies, and multi-sector stakeholders
- High-level dialogues between parliament and executive ministries/agencies on policy strategies
- In-country field visits with parliamentary conservation caucus members and other decision-makers to protected areas and wildlife management sites highlighting on-the-ground wildlife governance challenges and both successful and unsuccessful models for addressing those challenges. Parliamentary conservation caucus participation in criminal justice capacity-building activities outlined in this project where appropriate. This will provide a mutual benefit to both aspects of the project: a) first-hand knowledge to legislators and policymakers on the challenges facing legal practitioners, such as prosecutors and the judiciary, in combating wildlife crimes, and b) political engagement, support, and oversight to criminal justice reforms on wildlife crime, such as sentencing guidelines, institutional changes in the prosecuting authorities, and inter-agency collaboration.

Output 1.1.3: Amendments to wildlife laws, regulations and policies drafted

- High-level dialogues between parliament and executive ministries/agencies on policy strategies

## **Component 2: Strengthening national capacities to more effectively and efficiently combat wildlife crime**

Under the previous GEF-supported project, CCN worked with senior-level judges, prosecutors, investigators, policymakers, and legislators in East, Southern, and Central African countries to strengthen the criminal justice pathways

to combating wildlife crime. Through regional workshops, CCN worked with targeted officials in each country to develop “Action Plans and Implementation Road Maps” that indicate their interest in key capacity-building interventions and activities for their criminal justice institutions. In this project, CCN plans to support implementation of the interventions contained in the Road Maps for Gabon, Malawi, Mozambique, and Zambia.<sup>11</sup>

Interventions proposed in the Road Maps focus on developing toolkits and “standard operating procedures” (SOPs) for wildlife crime investigators, prosecutors, and the judiciary that aim to enhance coordination, efficiency, and success in investigations and prosecutions, and improve the consistency and proportionality of sentencing wildlife crimes. Toolkits and SOPs include prosecutor guidebooks that promote prosecutor-led investigations, establish protocols for inter-agency collaboration, and provide guidance for each step and variable in the prosecution process. Toolkits for the judiciary include the development of sentencing guidelines for wildlife crimes, as well as a systematic approach to monitoring and surveying courts to create more complete records of the outcomes of wildlife crime cases. Each intervention serves to increase the likelihood of a successful prosecution, decrease capacity-based delays in wildlife cases, and create greater consistency, efficacy, and transparency in sentencing. Court monitoring and surveying also serve the purpose of creating records of precedent and case law that can be utilized in future prosecutions and sentencing.

As noted in the ICCF-Stop Ivory report, efficiency and stronger capacity in the criminal justice system can mitigate the opportunity for corruption in wildlife crime cases. Interventions listed above serve to increase accountability, monitoring, and reporting through standardized practices and procedures. Capacity-building also serves to decrease delays in the system, which can also have a significant impact on the opportunities for corruption.

**Outcome 2.1:** *Strengthened prosecutions and judicial deterrents on wildlife crimes*

Through legal consultants and collaborations with local organizations, CCN will: a) partner with local agencies to provide technical assistance in drafting documents and facilitate workshops to engage stakeholders and train officials in the application of new criminal justice practices and guidance materials; b) engage with criminal justice institutions and parliamentary conservation caucuses to build political will and support for above stated interventions; c) facilitate any legislative processes (i.e., sentencing guidelines); and d) increase understanding of the policy and legislative challenges facing legal practitioners.

Output 2.1.1 Identification and development of requested guidance materials for prosecutors and judges in providing improved investigative, prosecutions, and judicial services in wildlife crime cases

Output 2.1.2: Prosecutors and judges are trained and able to effectively utilize toolkits and guidance materials

Country-specific priority areas for action in this component include:

- Kenya: Engagement between criminal justice institutions and Kenyan political leadership through the PCC-K to educate policymakers on the challenges facing legal practitioners in combating wildlife crimes, and to build political will amongst all parties on implementing reforms and capacity-building initiatives to strengthen and institutionalize practices.
- Gabon - Malawi – Mozambique - Zambia: a) Technical assistance to wildlife and criminal justice institutions in drafting and implementing interventions laid out in the Road Maps. Possible interventions include: prosecutor toolkits (rapid-reference guides, inter-agency protocols, guidance in prosecutor-led investigations); guidance on conducting mutual legal assistance; sentencing guidelines; and the development of court monitoring and survey systems.

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<sup>11</sup> Kenya already receives significant development partner and NGO support for capacity building and training initiatives for prosecutors, judges, and investigators on wildlife crimes. As such, under the previous project, CCN was not tasked with capacity building initiatives with Kenyan criminal justice institutions. Instead, CCN supported and complemented on-going efforts through its caucus programs, which aimed to address the policy and legislative challenges that Kenyan legal practitioners face in wildlife crime investigations, prosecutions, and sentencing. CCN anticipates continuing this approach in Kenya during the proposed project.

### **Component 3: Strengthening role and capacities of Parliamentary Conservation Caucuses to address wildlife conservation and combat wildlife crime**

Building on the success of the previous GEF-supported CCN project to expand its parliamentary conservation caucus model and enhance collaboration among diverse sets of conservation governance stakeholders, CCN under the proposed project will strengthen the infrastructure and sustainability of its parliamentary conservation caucus programs in Gabon, Kenya, Malawi, Mozambique, and Zambia. The anticipated results of this component will include a) stronger and more influential parliamentary conservation caucuses in each target country; b) increased collaboration between parliaments and the executive branches of government on wildlife policy and legislative issues; c) increased collaboration between legislators, executive agencies, and non-governmental stakeholders on wildlife policy and legislative issues; and d) advancements toward sustainable funding for conservation caucuses through multi-sector partnerships and financing mechanisms. Beyond the caucus program, this component will complement the other aspects of the project to generate increased private sector, NGO, and donor government engagement with decision-makers on wildlife conservation and wildlife trafficking issues and facilitate discussions and exploration of innovative public-private partnerships and financing mechanisms for wildlife conservation.

#### **Outcome 3.1: *Increased and more diverse political representation in each caucus***

Output 3.1.1: Parliamentary Conservation Caucuses strengthened through increased and more widely representative membership

CCN will build on its previous efforts to successfully establish parliamentary conservation caucuses in ten African countries by strengthening caucus membership. CCN will work with each caucus to strategically add new members by adding key party leadership, members of parliament who are also in the executive branch, and the leadership of diverse portfolio committees in the parliament. Strategic increases in caucus membership will enable caucus programs, such as wildlife policy and legislative workshops, field missions, and sub-regional dialogues, to reach a more diverse and influential set of political leaders, thereby creating a stronger policymaking and legislative infrastructure around wildlife conservation, and conservation governance more broadly. Incorporating more members of parliament who also have significant roles in the executive branch, such as Ministers and Deputy Ministers, will also enable each caucus program to drive more effective collaboration on wildlife governance between parliament and the executive agencies, as well as among executive agencies themselves.

#### **Outcome 3.2: *Caucuses operating with long-term Strategic Plans***

Output 3.2.1: Strategic plans for Parliamentary Conservation Caucuses updated and/or formally adopted

CCN has also begun developing “strategic plans” for each caucus that formalize terms of reference, missions, visions, and long-term strategic frameworks for each caucus. In this project, CCN will work with each caucus to finalize and formally adopt strategic plans.

#### **Outcome 3.3: *Conservation Councils providing increase support for Parliamentary Conservation Caucuses***

Output 3.3.1: Private Sector, NGO and multilateral/bilateral organizations engaged in order to increase capacities of “Conservation Councils” to provide information and funding for Parliamentary Conservation Caucuses

ICCF U.S. developed the concept of a “Conservation Council,” an informal, multi-sector group of NGOs and corporate entities who provide funding for caucus programs as well as technical content from their areas of expertise on key conservation and sustainable development topics to educate caucus members. CCN is replicating this model in the target countries in Africa, and will seek to expand this initiative by engaging private sector, NGO, and development partner organizations relevant to the wildlife sector to join national “Conservation Councils.” Members will provide unique expertise on wildlife governance issues to the caucuses as well as possible co-financing for CCN activities. Expanding this multi-sector collaboration will provide opportunities for government and private/non-governmental organizations to

collaborate, and facilitate innovative partnerships, including public-private partnerships, that will leverage funding from GEF and other investments in the wildlife sector. Enhanced Conservation Councils will increase the level of funding for each caucus program, advancing each country toward financial sustainability through multi-sector partnerships. CCN has successfully secured funding through Conservation Council membership in several countries, including Kenya, Malawi, Tanzania, and Zambia, and will seek to expand on those existing partnerships and successful fundraising efforts.

Activities will include engagement with private sector, NGO, and multilateral/bilateral organizations to develop structured partnerships through which Conservation Council members provide expertise and possible co-financing to the wildlife governance activities anticipated in this project. This engagement may include technical briefings for caucus members by Conservation Council members on various aspects of wildlife management, combating wildlife trafficking, tourism development, and the role of other natural resource and economic sectors in wildlife conservation. CCN will work with each Conservation Council member to identify possible areas of engagement on key wildlife conservation and combating wildlife crime issues, and facilitate all aspects of their engagement in CCN activities. The priority action for all target countries in this component is to increase the number of private- and NGO-sector Conservation Council members.

#### Alignment with GEF Focal Area and Aichi Targets

The proposed project is consistent with the objectives of the GEF-6 Focal Area in Biodiversity, particularly GEF BD Outcome 3.1: Reduction in rates of poaching of rhinos and elephants and other threatened species and increase in arrests and convictions (baseline established per participating country). It conforms to the Convention of Biological Diversity (CBD) Aichi Biodiversity Targets by working toward all five of the goals; in particular, this project will achieve results in the following areas: Aichi CBD Target 12: By 2020, the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained, particularly as relevant to “Actions taken under CITES to ensure that no species is threatened by international trade also contribute to the achievement of this target”. Goal A-Addressing the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society, and Goal E-Enhancing implementation through participatory planning, knowledge management, and capacity building. The project is furthermore consistent with the prioritization of GEF-6 global focal area set aside funds to address supra-national strategic priorities to make substantive changes in the state of biodiversity at the global level. The project specifically is: (i) relevant to the objectives of GEF’s biodiversity strategy; (ii) in support of priorities identified by the Conference of Parties of the CBD; (iii) high likely to have a broad and positive impact on biodiversity; (iv) targets potential for replication; (v) delivers global demonstration value; and (vi) contributes to global conservation knowledge. The project also aligns with UNEP’s Programme of Work and in so with the Medium Term Strategy 2014 – 2017 Environmental Governance Sub-programme. The two related Expected Accomplishments in the Strategy that the project will contribute to are: EA 2 Law: The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced; and EA 3 Mainstreaming environmental sustainability: Countries increasingly mainstream environmental sustainability in national and regional development policies and plans.

#### **d) Incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF/SCCF and co-financing**

##### Scenario without GEF Investment:

Poaching and the illegal wildlife trade in many parts of Africa are at a critical state. In order to combat the crisis, efforts need to be made at every level and in the shortest time span possible. In the baseline situation, site- and regional-level efforts will continue to be made, but the overall spread and increased intensity of poaching and IWT will not be reversed. Without GEF investment, CCN engagement with each caucus will be minimized in the near term while additional funding resources are sought, and decision-makers from the five target countries would not have adequate opportunities to network, engage, share experiences and enhance their understanding and decision-making capacity in the arena of conservation. The momentum in each caucus program garnered through the previous GEF-supported CCN project is currently high, so the “bridge funding” that this GEF investment will provide will enable the full utilization of that momentum in this critical period for both the caucus programs and the wildlife governance goals of each country. In the absence of a fully engaged caucus program, proposed governance reforms are likely to stall without sustained high-level

political will and facilitation. Without sustained engagement at the highest levels with criminal justice institutions, commitments to reform, standardization, and training may waver and lose momentum as well. Without a consistent and active program for building political will, gains in the wildlife sector risk remaining limited to site-level rather than national, sector-wide advancements.

#### Scenario with GEF Investment:

In the baseline, governments are proposing to address several policy and legislative reforms, and non-governmental organizations are tackling wildlife trade largely from the perspective of site-based investments. These multi-faceted approaches provide a solid baseline for the proposed CCN project to inject the necessary momentum at the highest level of decision makers in policymaking, legislative, and criminal justice institutions to provide the political leadership, impetus, and enabling conditions for a cohesive and complete approach to building policy and legal capacity. This project's contribution to the baseline is to: a) to utilize conservation caucuses, which include respected and powerful legislative and ministerial members, to provide the political support, additional stakeholder engagement, and multi-party consensus necessary to facilitate development and enactment of policy, legislative, and regulatory reforms aimed at enhancing wildlife conservation and combating wildlife crime; and b) to engage prosecuting and judicial authorities at the highest levels with technical and political support for advancing implementation of specific interventions aimed at building capacity to handle wildlife crimes in the criminal justice system. Engagement of parliamentary conservation caucuses in wildlife governance initiatives will also raise the profile of wildlife conservation and combating wildlife crime as national development priorities, providing enhanced and more sustainable support for increased allocations of resources to the wildlife sector. The proposed project will deliver multiple conservation outcomes by mainstreaming wildlife conservation as a sustainable development and criminal justice priority with positive economic benefits, and by strengthening governance structures for wildlife protection and management. Complementing these efforts will be a broader understanding and integration of biodiversity and ecosystem services valuation into policy making. **The approach of the proposed project is to influence policy and criminal justice reforms through this lens, with tangible enhancements through informed and effective policy instruments and lasting awareness and capacity strengthening created through political will and sustained high-level engagement.**

Building on the baseline, CCN intends to work through GEF support and in collaboration with on-the-ground partners to deliver the **political and legal increment**.

- Component 1 will build on architecture created in the previous GEF-UNEP CCN project and the baseline strategies, action plans, and legislative frameworks to catalyse new policy formulation and commitment to action. A certain amount of baseline legislative and policy work is being carried out under specific GEF-funded national projects, and by recipient country governments with the assistance of donors -- but needs the incremental push and support of parliamentarian-level impetus to reach fruition. GEF incremental support at the political will level will spur the passage of new or amended laws, regulations, and policies addressing IWT in all five of the target countries. The scaling-up of best practices achieved over the past decade is essential in order to reach the tipping point necessary to effect change at the regional level. By building on these achievements, and by providing the incremental pace to enhance regional harmonization and cooperation, the project will enhance substantive technical and site-based efforts being carried out through GEF-supported initiatives and broader partner efforts. For example, demonstrations of best practice will draw from the GEF portfolio where possible and draw on CCN partners' strengths in the region.
- Component 2 will build on the frameworks developed under the previous GEF-supported CCN project and the baseline contributions for building capacity of prosecutors and the judiciary to combat wildlife crimes by standardizing practices, protocols, and guidance materials that are otherwise provided in trainings and implemented on a case-by-case basis. The contribution to the baseline can be seen in a similar light to the political will work – catalysing the institution-wide adoption and implementation of best practices for prosecuting and sentencing wildlife crimes, which will scale-up and support the smaller-scale training and capacity-building initiatives already planned in the criminal justice sector.
- Component 3 will build on the progress made under the previous GEF-supported CCN project to build a sustainable policymaking and political will-generating infrastructure through the launch of parliamentary conservation caucuses. This project will build on the baseline, which predicts that other organizations will engage the caucus on wildlife governance issues on an ad-hoc basis, by formalizing the caucus structures and support over the long term,

and diversifying its influence in the conservation governance sector. Component 3 will also serve to build on the baseline GEF-supported Global Wildlife Program projects and other planned interventions in the wildlife conservation sector by creating greater engagement between target country governments and potential donors and partners in the private, development agency, and NGO sectors to leverage the current investment over the longer term.

**e) Global environmental benefits (GEFTF), and adaptation benefits (LDCE/SCCF)**

Through its focus on combating wildlife crime and advancing wildlife conservation, the proposed CCN project will protect several key biodiversity values. The target countries – Gabon, Kenya, Malawi, Mozambique, and Zambia – contain several globally significant populations of wildlife, including elephants and rhinoceros. Additionally, reductions in wildlife crime and protection of wildlife species have the benefit of protecting species habitat, including protected area systems that house significant forests, plant species, and watersheds. The project will also aim to enhance the value of biodiversity to economic development in African countries. CCN will seek to do so not only by protecting biodiversity, but also by working across the public and private sectors to enhance the sustainable use of biodiversity for economic investment. By building multi-stakeholder collaboration around wildlife governance and combating wildlife crimes, the project will also seek to mainstream biodiversity into broader economic development and national planning considerations.

<b>Baseline</b>	<b>Alternative</b>	<b>GEB</b>
Institutional capacities to monitor and control IWT are limited and are not coordinated at the regional level	Increased capacity of key actors and institutions to assess, monitor and address poaching and IWT at local, national and regional levels	Creation and strengthening of enabling environment to effectively address poaching and illegal wildlife trade (IWT) through high-level dialogue and cooperation in 5 priority countries
Insufficient legal and regulatory framework for addressing IWT	National laws and regulations strengthened for investigation, arrest, seizure and prosecution for poaching and IWT in 5 priority countries	
Low level of awareness of the value of wildlife and biodiversity and the costs associated with their decline, as well as the potential opportunities and benefits of effective wildlife conservation	Strengthened awareness, technical capacities, cooperation mechanisms, and utilization of best practices among policy makers, parliamentarians, resource managers, and law enforcement agencies in five African countries important for wildlife range, transit and consumption	

**f) Innovation, sustainability and potential for scaling up**

**Innovation:** The Parliamentary Conservation Caucus model is an innovative framework for advancing political will and governance reforms for conservation. Further establishment / strengthening of the caucus model as a well-known and widely-utilized resource for a wide range of stakeholders engaged in conservation initiatives will provide an innovative structure for addressing conservation goals in the participating countries. The project approach of simultaneously working to strengthen policy, legal and regulatory frameworks; of increasing awareness, understanding and support from key policymakers in the executive and legislative branches; and of strengthening enforcement mechanisms and capacities at all levels, including judiciary, prosecutors and law enforcement agencies, constitutes a new and innovative approach in these countries. Finally, project activities to encourage and enable the participation of private sector and NGO partners in providing technical inputs and financial support for wildlife conservation through the Parliamentary Conservation Caucuses will enable further innovations in wildlife conservation.

**Sustainability:** The project seeks to spur and incentivize further investment in the wildlife sector by governments and private entities. Increased government allocations will enable more sustainable wildlife conservation and programs to combat poaching and IWT. A more stable policy and legal framework for wildlife management and conservation will also enable further investments by private, NGO, and development partner stakeholders in the wildlife sector, whether through enterprises, conservation projects, development projects, or through the Parliamentary Conservation Caucuses. CCN will also leverage the GEF investment in this project to solidify additional funding through a variety of stakeholders and

mechanisms to establish full secretariats and a longer-term sustainable caucus program in each country. Further expanding the caucus model and solidifying its role in the political infrastructure of each country will support its long-term stability through national elections and changes in government.

**Potential for scaling up:** The conservation caucus model has the potential to catalyse replication, considering the interest of legislators, the receptivity of the executive branch, the engagement of civil society, and the impact that has been generated thus far by successful caucuses. In Gabon, for example, a recent CCN-led Central African policymaker workshop resulted in significant interest among participating states to form a Central African regional caucus, and ultimately individual national caucuses in each of the Central African nations. Such regional caucus initiatives have also been discussed at the East and Southern Africa sub-regional levels. Furthermore, there is vast potential in each of the target countries to expand the focus and strategy of the caucus to tackle other natural resource governance challenges that may complement the wildlife conservation strategy over the long term, such as in the agricultural, forest, fisheries, water, and energy sectors. Criminal justice reforms aimed at enhancing capacity to handle wildlife crime will have spillover benefits for rule of law and combating environmental crime, including illegal timber, fish, and mineral extraction and trade. Given the seriousness and high-level nature of wildlife crime, criminal justice capacity-building will also support overall initiatives to combat transnational organized crime networks. Finally, the strengthening of governance capacity in policy and legal frameworks and in criminal justice institutions will have the effect of reducing opportunities for corruption in natural resource management, and provide avenues for bolstering national initiatives to actively combat overall corruption in government institutions.

**2. Child Project?** If this is a child project under a program, describe how the components contribute to the overall program impact. N/A

**3. Stakeholders.** Will project design include the participation of relevant stakeholders from [civil society organizations](#) (yes  /no ) and [indigenous peoples](#) (yes  /no )? If yes, elaborate on how the key stakeholder engagement is incorporated in the preparation and implementation of the project.

Stakeholders	Roles
Conservation Council of Nations (CCN)	CCN will act as the project executing agency, with the leading role of ensuring that the project is executed according to the agreed project workplan and budget, and providing technical guidance in building regional capacity to sustain effective Parliamentary Conservation Caucuses.
International Conservation Caucus Foundation (ICCF)	ICCF will contribute US and other political engagement, logistical support, and relationship building as needed. Support will include: facilitation of activities for delegation to the U.S., as well as from the U.S. to project countries; senior advisor support in developing high-level political relationships and facilitating conservation council recruitment.
ICCF Kenya	ICCF Kenya will provide local and regional staffing support for CCN, support in developing multi-stakeholder engagement, as well as co-financing through existing ICCF Kenya partnerships supporting the caucus programs in Kenya. As mentioned above, ICCF-Kenya is currently the only fully registered independent secretariat office in Africa under The ICCF Group umbrella, but will serve as support for the Kenya programs, as well as a model for secretariat development in the other project countries.
Private sector, NGO, and development partners and collaborators in each target country	These stakeholders will provide expertise based on their knowledge of IWT challenges and solutions in order to educate policymakers, legislators, prosecutors, and the judiciary to better understand and address poaching and IWT. They also will contribute with baseline activities to build the capacity of law enforcement / criminal justice institutions, support policy and legislative reforms, and strengthen protected area management. Site-level wildlife-related projects will often provide opportunities to educate policymakers through field visits to CCN partner/collaborator projects on the ground, such as an African Parks co-managed protected area. (Details on on-going projects of these partners that will collaborate with this proposed project are provided in the Baseline section above).
Parliamentarians, members of the judiciary, high-level decision makers	These stakeholders will participate primarily as beneficiaries of project activities designed to build capacity and knowledge. As caucus members and/or decision makers, they will identify policy-related challenges and opportunities; help to foster national political will to make necessary changes; and demonstrate leadership in successfully strengthening the legal frameworks to address poaching and IWT.
UNEP	UNEP will act as the project Implementing Agency (IA), providing consistent and regular oversight of the project to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and expected outcomes.

**4. Gender Equality and Women's Empowerment.** Are [gender equality and women's empowerment](#) taken into account (yes  /no )? If yes, elaborate how it will be mainstreamed into project implementation and monitoring, taking into account the differences, needs, roles and priorities of women and men.

The project will ensure significant participation of both men and women in project implementation and will involve multi-racial and multi-ethnic stakeholder groups. The project will be consistent with UNEP and GEF gender policies. Women will play a key role in this project at many levels: parliamentary, judicial, prosecutor, stakeholder, etc. Some of the most prominent figures in existing Parliamentary Conservation Caucuses (co-chairs and Ministers) are women, and CCN will be proactive in ensuring their inclusion and leadership in project supported activities. The project will work to support women's attendance in project-related activities, provide for gender disaggregation in data gathering and project reporting, and assure that policies consider the gender dimension. In addition to gender disaggregation of data, gender mainstreaming will also be achieved by the use of a gender lens in the gathering and analysis of data. The project itself is designed to be inclusive of all stakeholders, political parties, socio-economic groups, etc., in order to ensure that the effects of the project are far reaching and that project results are sustainable. Because of the important role of rural communities within this project, CCN will ensure that indigenous people and community leaders have the opportunity and are encouraged to participate in project activities and engage with other stakeholders.

**5. Benefits.** Describe the socioeconomic benefits to be delivered by the project at the national and local levels. Do any of these benefits support the achievement of global environment benefits (GEF Trust Fund) and/or adaptation to climate change?

The project is expected to create positive environmental and social impacts in the target countries in terms of biodiversity and habitat preservation, wildlife-human conflict avoidance, economic development, increased tourism revenues, etc. Previous experience has shown that wildlife-based enterprises contribute significantly to national GDP and local community wellbeing, and local communities (including indigenous groups) will benefit in terms of improved economies, revenues, stability, and other factors. For example, at present the benefits of wildlife related tourism are not being fully realized due to the impacts of poaching and the illegal wildlife trade. The project is expected to not only provide protection to tourism products – charismatic wildlife – but also to advance enabling policy and legal frameworks that support tourism investment and protected area management, and build private sector engagement in the wildlife sector.

**6. Risks.** Indicate risks, including climate change, potential social and environmental future risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks:

The following table summarizes the information about possible risks and associated risk mitigation strategies that have been identified for the project.

Risk	Risk Level	Risk Mitigation Strategy
A high number of stakeholders are involved in addressing the illegal wildlife trade at national, regional and international levels, thereby creating the potential for competition among stakeholders over mandates and increasing the difficulty of carrying out coordinated action	L	CCN's approach to creating multi-stakeholder engagement with the participation of high-level decision-makers will bring key stakeholders to the same table on a regular basis and will provide the project with an opportunity to engage all partners across sectors, as well as a tool for improving coordination of among both stakeholders and the many relevant programs and projects in the region. In addition, the Project Steering Committee (PSC) will meet on a biannual basis to review project approaches, priorities and work plans.
Lack of participation / buy-in from legislators	L	<ul style="list-style-type: none"> <li>Through the existing parliamentary conservation caucuses, support and active participation by legislators already exists in each target country; this support will be leveraged to build political will among additional legislators and with a broad spectrum of decision-makers</li> <li>Caucus leaders will be encouraged to develop a conservation agenda broader than IWT</li> </ul>
Turnover in legislatures due to election cycles	M	

		<p>alone, to reflect national concerns and to generate broader understanding, interest in, and support of conservation objectives</p> <ul style="list-style-type: none"> <li>• The project will work to ensure that the caucuses have the strength and numbers to ensure longevity despite election cycles</li> </ul>
Drafted and proposed legislation is not passed into law	M	<ul style="list-style-type: none"> <li>• Project activities tap into existing policy and legislative expertise in government departments to ensure that proposed legal and regulatory changes are properly identified and addressed, are developed in accordance with each country’s legal procedures, and align with existing national priorities, policies and laws</li> <li>• The project work on caucus-building and executive-level engagement will create the political will, momentum, and leadership necessary to get legislation enacted</li> <li>• Enacted legislation, policy, and regulations are the ideal to which the project will aspire, but where immediately feasible, parliamentary resolutions and/or formal executive commitments to action may be sought in the near term.</li> </ul>
Corruption in the judiciary and at the site level undermines attempts to properly enforce new legislation	H	<p>Project activities to build the capacity of judges/magistrates and prosecutors will be aimed at institutionalizing standard operating procedures that minimize the opportunities for corruption in the criminal justice system. In addition, training efforts will target magistrates, judges, investigators and prosecutors working in areas that are most prone to wildlife crime so as to establish increased transparency and a new paradigm for wildlife law enforcement in those areas. Furthermore, co-financed activities will strengthen the enforcement involvement of local communities / civilian oversight.</p>

**7. Cost Effectiveness.** Explain how [cost-effectiveness](#) is reflected in the project design:

Under the previous GEF-supported project “Engaging policy makers and the judiciary to address poaching and illegal wildlife trade in Africa”, CCN facilitated the formation of multi-party conservation caucuses in ten African countries; of these, the caucuses in the five countries included in this project (Gabon, Kenya, Malawi, Mozambique, and Zambia) are the most well-developed, with multi-party membership and high level support from Heads of State and Ministers for Environment and Foreign Affairs, among others. The proposed project will therefore be building on significant platforms and capacities already in place in each of the five countries, which will reduce the costs that would otherwise have been incurred to establish conservation caucuses and carry out awareness raising among policy makers. Furthermore, through its work on the previous GEF project and other initiatives, CCN has developed broad experience and highly efficient processes for bringing together public and private sector representatives, NGOs and development partners to collaboratively engage on the topics of natural resource conservation. CCN’s approach, which focuses on transferring and connecting existing capacity and knowledge to build human capital, is a highly cost effective way address the key legal, regulatory, political and capacity constraints to reducing poaching and the illegal wildlife trade. Alternative approaches to the multi-country approach proposed in this project would be costly country-by-country approaches or diffused, discordant training programs. The project also proposes to add corporate and NGO members to national “Conservation Councils” in order to ensure both a steady flow of information and increased funding for conservation caucus programs. Finally, the proposed project will take into account co-financing and other national and international support to leverage much larger investments in a highly cost-efficient manner.

**8. Coordination.** Outline the coordination with other relevant GEF-financed projects and other initiatives [not mentioned in 1]

Consultation with countries and Agencies of the projects that are part of the GWP has taken place and the project with these 5 countries received their support. To ensure continued coordination with on-going and to-be-programmed GEF-financed initiatives that address the illegal wildlife trade, a Project Steering Committee comprised of the Project Coordinator representing CCN, the UNEP Task Manager, and representatives appointed by the GEF Focal Point of each project country, will be established and meet twice a year. CCN will also regularly engage in dialogue with World Bank and UNDP offices, as well as the GEF program project management teams and partner organizations who are implementing the wildlife programs. Following are the on-going GEF supported projects in each of the five target countries that are part of the Global Wildlife Program and will be the focus on cooperative efforts with this proposed project:

- Gabon: GEF-World Bank project, “Wildlife and human-elephant conflict management in Gabon.” CCN will engage with this project through its caucus programs. The Gabon Parliamentary Conservation Caucus Co-Chair, Hon. Angelique Ngoma, has attended workshops on human-wildlife conflict and has been appointed to lead an advisory group on the issue.
- Kenya: GEF-UNDP project, “Combating Poaching and Illegal Wildlife Trade in Kenya through an Integrated Approach.” CCN will engage regularly with this project’s development and implementation, providing the political and policy/legal support to support achievement of its objectives.
- Malawi: GEF-World Bank project, “Strengthening Landscape Connectivity and Management to Improve Livelihoods and Conserve Key Biodiversity Areas in Malawi.” CCN will complement, support, and utilize aspects of this project to advance common goals in Malawi.
- Mozambique: GEF-UNDP project, “Strengthening the conservation of globally threatened species in Mozambique through improved biodiversity enforcement and expanding community conservancies around protected areas.” CCN and ICCF, through both the caucus program in Mozambique and collaboration with key stakeholders such as the Carr Foundation, will significantly complement the goals and outcomes proposed in this GEF-UNDP project.
- Zambia: GEF-World Bank project, “Integrated Forest and Sustainable Land Management Program.” CCN will engage regularly with this project to support achievement of CCN objectives as well as support key aspects of the GEF-World Bank project such as international collaboration in the Malawi-Zambia TFCA.

**9. Institutional Arrangement.** Describe the institutional arrangement for project implementation:

UNEP is acting as the GEF Implementing Agency. The Conservation Council of Nations (CCN) will serve as Executing Agency. CCN will provide overall management and oversight of the project from its headquarters in Washington, DC. The Project Steering Committee (PSC) will provide overall guidance and strategic direction and oversight to project management and will approve all final outputs and deliverables of the project. The PSC will be made up of the Project Coordinator representing CCN, the UNEP Task Manager, and representatives appointed by the GEF Focal Point of each project country. The Lead of the World Bank Coordination Grant of the GEF Global Wildlife Program will be invited to sit as an observer in the PSC. The PSC will meet at least twice a year to review project progress, provide direction and guidance, and assist in project implementation, as well as provide synergies with other complementing initiatives and ongoing projects. Participation in PSC meetings will be possible also via teleconference or Skype, and decisions and consultations might also take place in email exchange form. UNEP EA and CCN will service as secretariat of the PSC. Furthermore, the PSC will decide at its first meeting on the engagement of the local coordination entities. CCN’s management role will be to administer, oversee, and implement all project activities; provide financial management; monitor project implementation and outcomes; and ensure that the project is delivered on time and on budget. The Project Coordinator, in collaboration with the Senior Policy Adviser and the Africa Director will supervise the programs and initiatives in the respective country-based operations. Annex G (Implementation Arrangements) has additional details on the project implementation structures and responsibilities, including a Project Implementation Diagram.

**10. Knowledge Management.** Outline the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.

To grow awareness and engender replication efforts, CCN will broadly disseminate information on the results of the project together with the tools and materials developed for its execution. Materials and modules on specific themes related to laws, regulations, policies and enforcement mechanisms and strategies to combat poaching and the illegal wildlife trade will be made available to key groups, including the conservation community. CCN’s website will provide access to diverse materials and information about the project, together with project progress reports. The project team will be complemented by CCN communications experts who have extensive experience in building awareness through the utilization of networks that maximize the exposure of project products; these communications experts will electronically communicate project updates on a regular basis to CCN’s extensive network of email subscribers. CCN also will work broadly with the press and media channels at large. Finally, CCN will proactively engage key GEF implementing institutions such as UNEP, World Bank, and UNDP to support the dissemination of materials, knowledge, and key

information from the CCN project, utilizing their existing knowledge management platforms (e.g. the World Bank is already the coordinating institution for knowledge management for the Global Wildlife Program).

**11. Consistency with National Priorities.** Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? (yes  /no  ). If yes, which ones and how: NBSAPs.

**Relevant Regional Declarations / Global Conventions**

The project is consistent with and supportive of a number of regional and global agreements related to wildlife conservation and the illegal wildlife trade. At the 2013 African Elephant Summit, held in Gaborone, Botswana in December 2013<sup>12</sup>, 30 countries and 27 organizations adopted by consensus a set of 14 urgent measures required to stem the illegal ivory trade and its impacts on elephants in Africa. The February 2014 London Declaration<sup>13</sup> calls for action to “address the problem of corruption and money-laundering facilitating wildlife trafficking by adopting or amending legislation, criminalizing corruption and bribery”; and to “harmonize national policies and laws relevant to conservation and management of African elephants within and across range states where possible”. The November 2014 Arusha Declaration on Regional Conservation and Combating Wildlife/Environmental Crime calls for transboundary coordinating actions between governments, as well as national domestic coordinating bodies, to create a more cohesive, landscape approach to wildlife governance and law enforcement.

CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora) is an international agreement designed to ensure that the international trade in specimens of wild animals and plants does not threaten their survival. At the 15<sup>th</sup> Conference of Parties of CITES, the African Elephant Action Plan<sup>14</sup> was developed, owned and managed by all the African elephant range states; the plan seeks to address the real ‘situation on the ground’ in terms of what actions must be taken in order to effectively conserve elephants in Africa across their range. As an environmental treaty under the aegis of UNEP, the Convention for the Conservation of Migratory Species of Wild Animals (CMS) provides a global platform for the conservation and sustainable use of migratory animals and their habitats. The Memorandum of Understanding Concerning Conservation Measures for the West African Populations of the African Elephant<sup>15</sup> provides additional governance support for CCN's efforts to engage policy makers and the judiciary to address poaching and illegal wildlife trade in Africa. The primary directive of this MoU is to...“take steps to conserve and, when and where appropriate, to strictly protect the African Elephant and to conserve and sustainably use the habitats essential for its survival. Other relevant agreements include the SADC Wildlife Conservation and Law Enforcement Protocols, including the SADC Law Enforcement and Anti-Poaching Protocols, the United Nations Convention on Transnational Organized Crime, and the Lusaka Agreement on Co-Operative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora.

**National strategies and plans or reports and assessments under relevant conventions**

Each of the five countries participating in the proposed project is actively engaged in many of the relevant regional and global agreements and declarations noted above. The table below summarizes the participation of the five countries in many of the key agreements:

**Declarations & Plans Summary Table**

Country	Kasane Conference on IWT, 2015	Arusha Declaration on Regional Conservation and Combating Wildlife/Environmental Crime 2014	London Declaration 2014	African Elephant Action Plan - March 2010 (CITES COP 15)
Gabon	Participated	Did not participate	Participated	Submitter
Kenya	Participated	Participated & signed	Participated	Submitter
Malawi	Participated	Participated & signed	Participated	Submitter
Mozambique	Participated	Participated & signed	Participated	Submitter

<sup>12</sup> [https://cmsdata.iucn.org/downloads/aes\\_final\\_summary\\_record\\_1.pdf](https://cmsdata.iucn.org/downloads/aes_final_summary_record_1.pdf)

<sup>13</sup> <https://www.gov.uk/government/publications/declaration-london-conference-on-the-illegal-wildlife-trade>

<sup>14</sup> <http://www.cites.org/common/cop/15/inf/E15i-68.pdf>

<sup>15</sup> <http://www.cms.int/en/legalinstrument/west-african-elephants>

Zambia	Participated & signed	Participated & signed	Participated	Submitter
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Gabon: Gabon ratified the CBD in 1997, the CMS in 2008 and accepted CITES in 1989. The country is a signatory to the 2012 Gabarone and 2013 London Declarations and contributed to the African Elephant Action Plan (CITES). In addition, in its 2004 2nd National Report to the CBD, Gabon reported having undertaken a thorough reform of the legal and institutional framework incorporating the recommendations of Agenda 21 on sustainable development and those of the 2010 target (halting biodiversity decline by 2010) agreed at Johannesburg in 2001.

Kenya: Kenya ratified the CBD in 1994 and 1997, ratified CITES in 1978, and became a CMS Party in 1999. Kenya is a signatory to both the Gabarone and London Declarations, made contributions to the African Elephant Action Plan (CITES), and has ratified the Convention on the Conservation of Migratory Species of Wild Animals. Kenya is also a signatory to the 2014 Arusha Declaration on Regional Conservation and Combating Wildlife/Environmental Crime. The proposed project is in line with these recent commitments, as well as with Kenya’s NBSAP and NAP, and will directly support the strategic objective of creating an enabling environment for biodiversity conservation by improving national capacity and strengthening regulatory mechanisms. According to Kenya’s 2009 Fourth National Report, the country has updated its policies regarding biodiversity conservation and has taken a leading role in compliance with CITES. Most recently, the President of Kenya signed the Wildlife Conservation and Management Act, 2013, which mandates aggressive penalties for illegal wildlife take and trafficking. In implementing the NBSAP, Kenya has also taken international actions, including regional arrangements that target cross-border conservation—particularly of forests and large mammals—although in a scattered and uncoordinated manner.

Malawi: Malawi is a party to the CBD, CITES, the United Nations Convention on Transnational Organized Crime, the UN Convention Against Corruption, the SADC Legal Protocols, the African Convention on the Conservation of Nature and Natural Resources, the London Declaration on Illegal Wildlife Trade, the 2014 Arusha Declaration on Regional Conservation and Combating Wildlife/Environmental Crime, and is an observer on the Lusaka Agreement Task Force.

Mozambique: Mozambique ratified the CBD 1995, the CMS in 2009 and accepted CITES in 2013. Mozambique is also a signatory to the Gabarone and London Declarations as well as the 2014 Arusha Declaration on Regional Conservation and Combating Wildlife/Environmental Crime, and contributed to the African Elephant Action Plan (CITES). The proposed project is consistent with the needs identified in the country’s NBSAP and 2009 4th National Report, which noted continuing low capacity to implement its NBSAP, including weak institutions. The 4<sup>th</sup> National Report also identified the need to address man-animal conflict as an emerging issue, while Strategy #5 of the NBSAP is to establish measures to protect sensitive natural habitats and/or endangered species. Overall, the report found a lack of clear and specific policy priorities and identified extensive gaps and weak capacity of institutions to coordinate activities, implement plans, or enforce regulations.

Zambia: Zambia accepted CITES in 1980 and ratified the CBD in 1993. More recently, Zambia signed the London Declaration and contributed to the African Elephant Action Plan (CITES). Zambia developed its NBSAP in 2003. In addition, the country’s overall environmental and natural resource management framework is supported by the National Conservation Strategy of 1985 and the National Environmental Action Plan of 1994. In 2007, Zambia adopted a National Policy on Environment, a milestone in harmonized management of environment on natural resources.

**12. M & E Plan.** Describe the budgeted monitoring and evaluation plan.

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures for GEF projects. Substantive and financial project reporting requirements are summarized in Annex F, the Costed M & E Plan. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.

The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Annex A includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks included in Annex H will be the main tools for assessing project implementation progress and whether project results are being achieved. The means of verification and

the costs associated with obtaining the information to track the indicators are summarized in the Costed M&E Plan in Annex F and are fully integrated in the overall project budget.

The M&E plan will be reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification will also be fine-tuned at the inception workshop. Day-to-day project monitoring is the responsibility of the Project Coordinator. It is the responsibility of the Project Coordinator to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

The Project Steering Committee will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP - GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.

Project supervision will take an adaptive management approach. Overall, UNEP supervision of the project is to be carried out by UNEP/DEPI - GEF staff posted in UNEP's Headquarters in Nairobi. UNEP supervision will be further enhanced by technical staff located in UNEP's headquarters staff in Nairobi, Kenya, including the Law and Ecosystem Division.

The Task Manager however, will develop a project supervision plan at the inception of the project, which will be communicated to the project partners during the inception workshop. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Steering Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Risk assessment and rating is an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

A terminal evaluation will take place at the end of the project implementation as indicated in the project milestones. The evaluation will include all parameters recommended by the GEF Evaluation Office for terminal evaluations and will verify information gathered through the GEF tracking tools, as relevant. The evaluation will be carried out using a participatory approach whereby parties that may benefit or be affected by the project will be consulted. Such parties were identified during the stakeholder analysis (see section above). The Project Steering Committee will participate in the terminal evaluation.

**PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

**A. Record of Endorsement<sup>16</sup> of GEF Operational Focal Point (S) on Behalf of the Government(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [SGP OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Louis Ebobolah Tsibah	Le Directeur Général de l'Environnement et de la Protection de la Nature	MINISTERE DE L'ECONOMIE FORESTIERE, DE LA PECHE ET DE 'ENVIRONNEMENT, CHARGE DE LA PROTECTION ET LA GESTION DES ECOSYSTEMES (GABON)	07/07/2017
Charles T.	Principal Secretary	MINISTRY OF ENVIRONMENT AND NATURAL	07/06/2017

<sup>16</sup> For regional and/or global projects in which participating countries are identified, OFP endorsement letters from these countries are required even though there may not be a STAR allocation associated with the project.

Sunkuli		RESOURCES, STATE DEPARTMENT OF ENVIRONMENT (KENYA)	
Shamiso N. Najira	Deputy Director of Environmental Affairs	MINISTRY OF NATURAL RESOURCES, ENERGY, AND MINING (MALAWI)	07/12/2017
Marilia Manjate	Technician	MINISTÉRIO DA TERRA, AMBIENTE E DESENVOLVIMENTO RURAL; DIRECCAO NACIONAL DO AMBIENTE (MOZAMBIQUE)	06/27/2017
Godwin. F. Gondwe	Director, Environmental Management Department	MINISTRY OF WATER DEVELOPMENT, SANITATION AND ENVIRONMENTAL PROTECTION (ZAMBIA)	07/28/2017

## B. GEF Agency(ies) Certification

<b>This request has been prepared in accordance with GEF policies<sup>17</sup> and procedures and meets the GEF criteria for a medium-sized project approval under GEF-6.</b>					
<b>Agency Coordinator, Agency name</b>	<b>Signature</b>	<b>DATE (MM/dd/yyyy)</b>	<b>Project Contact Person</b>	<b>Telephone</b>	<b>Email Address</b>
Kelly West, Senior Programme Manager & Global Environment Facility Coordinator Corporate Services Division UN Environment		August 23, 2017	Johan Robinson Task Manager	+254 20 7623130	<a href="mailto:johan.robinson@unep.org">johan.robinson@unep.org</a>

- C. ADDITIONAL GEF PROJECT AGENCY CERTIFICATION** (*Applicable only to newly accredited GEF Project Agencies*)  
For newly accredited GEF Project Agencies, please download and fill up the required [GEF Project Agency Certification of Ceiling Information Template](#) to be attached as an annex to this project template.

<sup>17</sup> GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, SCCF, and CBIT

## ANNEX A: PROJECT RESULTS FRAMEWORK

Project Outcomes	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks
<b>Component 1: Enhancing policy and legal frameworks and building political will for wildlife conservation and combating wildlife crime</b>					
Outcome 1.1: New or amended laws, regulations, and policies to mitigate poaching and illegal wildlife trade and advanced wildlife conservation enacted	Principal wildlife laws, policies, or corresponding regulations are amended and enacted  Where principal wildlife legislation/policy is not possible, ancillary laws and policies concerning forests, tourism, anti-organized crime, or anti-corruption are amended	Baseline laws and policies are detailed in the Alternative Scenario section of the CEO ER  Baseline ancillary laws and policies are detailed in the Alternative Scenario section of the CEO ER	At least 4 countries have enacted new or amended wildlife laws or policies (where primary wildlife laws/policies are not possible, ancillary laws/policies concerning forests, tourism, anti-organized crime, or anti-corruption have been amended)  Monitoring Milestones: - Caucuses, in collaboration with national governments, have prioritized specific legislative and/or policy goals - Briefings/workshops/meetings advancement of recommendations and draft documents - Stages of official review in parliament and/or cabinet - Parliamentary passage, enactment, signing by authorizing official	- Caucus documents reflecting prioritization of wildlife legislative and policy outcomes - Briefing/workshop/meeting minutes reflecting incorporation of stakeholder recommendations and advancement of draft documents - Official copies of draft policies and laws - Government and/or parliament official indications of stages of policy/legislative review - Final copies of policies or laws	Caucuses and policymakers will prioritize IWT policies and legislation  Political dynamics may hinder the ability to enact new policies and laws within the project timeframe
<p>Outputs:</p> <p>1.1.1: Baseline analysis of legal / policy frameworks completed and strategy for reforms proposed</p> <p>1.1.2: Briefings, workshops, dialogues and field visits held to generate political will and stakeholder input to support legal, regulatory and policy reforms increased through engagement with caucus members and other stakeholders</p> <p>1.1.3: Amendments to wildlife laws, regulations and policies drafted</p>					
<b>Component 2: Strengthening national capacities to more effectively and efficiently combat wildlife crime</b>					
Outcome 2.1: Strengthened prosecutions and judicial deterrents on wildlife crimes	Strengthened deterrent to engage in wildlife crime as a result of increased capacity of prosecutors and judges to prosecute and sentence	Baseline score using scorecard to be developed during project implementation of capacity of prosecutors and judges prior to	At least 10% increase in capacity of at least 30 judges/magistrates and prosecutors to prosecute and sentence perpetrators in wildlife crime using the capacity scorecard to be developed during project implementation  Monitoring Milestones: - Buy-in from national institutions to develop toolkits	- Drafts of toolkits/guidance materials - Meeting/workshop minutes reflect buy-in and advancement of toolkit drafts - Official reports, press releases indicate launch/roll-out of toolkits	Prosecuting and judicial institutions, as well as individual actors, continue to prioritize IWT initiatives  Bureaucratic

Project Outcomes	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks
	perpetrators	undertaking training to prosecute and sentence perpetrators in wildlife crime	<ul style="list-style-type: none"> <li>- Drafts of toolkits developed and advanced with buy-in from national institutions</li> <li>- Roll-out of toolkits</li> <li>- Survey developed to measure increase in ability/capacity to prosecute and sentence perpetrators in wildlife crime cases</li> <li>- Training workshops</li> <li>- Briefings on transnational organized crime</li> </ul>	<ul style="list-style-type: none"> <li>- Workshop attendance reflects training of key prosecutors and judges</li> <li>- Capacity scorecards of judges/magistrates and prosecutors prior and after training</li> <li>- Court monitoring data (where available)</li> <li>- Anecdotal reporting by prosecutors and judges on the use and efficacy of toolkits/enhanced practices</li> </ul>	<p>process hinders ability of national institutions to officially adopt toolkits</p> <p>Corruption hinders ability to achieve project outcomes</p>
<p><b>Outputs:</b></p> <p>2.1.1: Identification and development of requested guidance materials for prosecutors and judges in providing improved investigative, prosecutions, and judicial services in wildlife crime cases</p> <p>2.1.2: Prosecutors and judges are trained and able to effectively utilize toolkits and guidance materials</p>					
<p><b>Component 3: Strengthening role and capacities of Parliamentary Conservation Caucuses to address wildlife conservation and combat wildlife crime</b></p>					
Outcome 3.1: Increased and more diverse political representation in each caucus	% increase in caucus membership in each country focusing on key parliamentary leadership from diverse (non-environment) portfolio committees, and multiple political party representation	Current caucus membership levels <ul style="list-style-type: none"> <li>• Gabon: 26</li> <li>• Kenya: 54</li> <li>• Malawi: 30</li> <li>• Mozambique: 20</li> <li>• Zambia: 45</li> </ul>	10% increase in caucus membership in each country focusing on key parliamentary leadership from diverse (non-environment) portfolio committees, and multiple political party representation  Monitoring Milestones: <ul style="list-style-type: none"> <li>- Caucus recruitment advanced through meetings</li> </ul>	<ul style="list-style-type: none"> <li>- Caucus enrolment lists</li> <li>- Strategic Plan documents</li> <li>- Caucus meeting reports / minutes reflect launch/adoption of strategic plans</li> </ul>	<p>Additional parliamentary leadership will prioritize caucus engagement and conservation</p> <p>Political dynamics hinder the ability to expand caucus membership</p>
<p><b>Outputs:</b></p> <p>3.1.1: Awareness raising activities undertaken on Parliamentary Conservation Caucuses focused on diverse parliamentary stakeholders in order for them to become members</p>					
Outcome 3.2: Caucuses operating with long-term	Number of caucuses that adopt and started implementation of strategic plan	Zero, Draft strategic planning documents exist for each caucus	5 Caucuses formally adopted and are implementing Strategic plans  Monitoring Milestones:	<ul style="list-style-type: none"> <li>- Caucus enrolment lists</li> <li>- Strategic Plan documents</li> <li>- Caucus meeting reports / minutes reflect</li> </ul>	Caucuses will continue to prioritize development of

<b>Project Outcomes</b>	<b>Outcome Indicators</b>	<b>Baseline</b>	<b>Targets and Monitoring Milestones</b>	<b>Means of Verification</b>	<b>Assumptions &amp; Risks</b>
Strategic Plans			- Caucus recruitment advanced through meetings Strategic plan drafting advanced through meetings, stakeholder engagement	launch/adoption of strategic plans	strategic plans
<b>Outputs:</b> 3.2.1: Strategic plans for Parliamentary Conservation Caucuses updated					
Outcome 3.3: Conservation Councils providing increased support for Parliamentary Conservation Caucuses	Increase in Conservation Council members in each project country	Current Conservation Council membership levels <ul style="list-style-type: none"> <li>• Gabon: 4</li> <li>• Kenya: 12</li> <li>• Malawi: 8</li> <li>• Mozambique: 6</li> <li>• Zambia: 8</li> </ul>	Targets: <ul style="list-style-type: none"> <li>- Conservation Council members added in each project country</li> </ul>	- Conservation Council membership lists	Private sector and NGO entities will be interested in engaging with parliamentary conservation caucuses
<b>Outputs:</b> 3.3.1: Private Sector, NGO and multilateral/bilateral organizations engaged in order to increase capacities of “Conservation Councils” to provide information and funding for Parliamentary Conservation Caucuses					

**ANNEX B: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS<sup>18</sup>**

N/A (MSP 1-Step Project)

**ANNEX C: CALENDAR OF EXPECTED REFLAWS (if non-grant instrument is used)**

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/CBIT Trust Funds or to your Agency (and/or revolving fund that will be set up)

N/A

## List of Annexes & Appendices

<b>Annex</b>	<b>Location</b>
<b>Annex A:</b> Results Framework	See above
<b>Annex B:</b> PPG Reporting	See above
<b>Annex C:</b> Calendar of Expected Reflows	See above
<b>Annex D:</b> Consultants to be hired	See below
<b>Annex E-1:</b> Budget by project components and UN Environment budget lines	Separate File
<b>Annex E-2:</b> Co-financing by source and UN Environment budget lines	Separate File
<b>Annex F:</b> Costed M&E plan	See below
<b>Annex G:</b> Implementing Arrangements	See below
<b>Annex H:</b> Key deliverables and benchmarks	See below
<b>Annex I:</b> Workplan	See below
<b>Annex J:</b> GEF Tracking Tool	See below
<b>Annex K:</b> Endorsement letters of GEF Operational Focal Points	Separate File
<b>Annex L:</b> Co-financing commitment letters from project partners	Separate File
<b>Annex M:</b> UNEP Environmental, Social and Economic Review Note (ESERN)	See below
<b>Annex N:</b> Acronyms and Abbreviations	See below
<b>Annex O:</b> Theory of Change	See below

<sup>18</sup> If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities. Agencies should also report closing of PPG to Trustee in its Quarterly Report.

## ANNEX D: CONSULTANTS TO BE HIRED

<i>Position Titles</i>	<i>\$/ person week*</i>	<i>Estimated person weeks**</i>	<i>Tasks to be performed</i>
Legal Consultant (Malawi, Zambia, Mozambique)	\$1000	20	1. Develop or review/amend prosecutor toolkits 2. Develop or review/amend sentencing guidelines and court monitoring strategy
Legal Consultant (Gabon)	\$1000	10	3. Prepare training materials for national workshops 4. Lead facilitation of national workshops 5. Reporting on national workshops outcomes and next steps 6. Legal baseline analysis for development of prosecutions toolkits and sentencing guidelines

**Annex E-1: Budget by project components and UN Environment budget lines**

*See separate file*

**Annex E-2: Co-financing by source and UN Environment budget lines**

*See separate file*

## Annex F: Costed M&E plan

M&E activity	Responsible Parties	GEF Budget (US\$)	Budget co-finance	Time Frame
Inception Workshop (meetings 3301)	<ul style="list-style-type: none"> <li>• Project Management Unit (PMU)</li> <li>• UNEP</li> </ul>	10000	***	Within 2 months of project start-up (when possible should be conducted via teleconference or skype to save on budget costs)
Inception Report (translation cost) (5201 publications and reporting)	<ul style="list-style-type: none"> <li>• PMU</li> </ul>	2000	0	1 month after project inception meeting
Measurement of project indicators (outcome, progress and performance indicators, GEF tracking tools) including baseline data collection (others 5302)	<ul style="list-style-type: none"> <li>• Project Coordinator</li> <li>• PMU/ Project team</li> </ul>	**	5000	<ul style="list-style-type: none"> <li>• Outcome indicators: Start, mid and end of project</li> <li>• Progress/performance indicators: Within 1 month of the end of reporting period i.e. on or before 31 January and 31 July (through progress reports)</li> <li>• Baseline data collection: Within 1<sup>st</sup> year</li> </ul>
Project Steering Committee (SC) Meetings (3301 meeting) and other meetings	<ul style="list-style-type: none"> <li>• Project Coordinator</li> <li>• PMU</li> <li>• UNEP</li> </ul>	10000	0	Twice a year Minimum (can be conducted via teleconference or skype)
Reports of SC meetings	<ul style="list-style-type: none"> <li>• Project Coordinator with inputs from partners</li> </ul>	*	0	Within 30 days of SC meeting
PIR (translation cost) (5201 publication and reporting)	<ul style="list-style-type: none"> <li>• Project Coordinator</li> <li>• PMU</li> <li>• UNEP</li> </ul>	3000	0	As needed
Monitoring visits to field sites and areas where project is active	<ul style="list-style-type: none"> <li>• Project Coordinator</li> <li>• PMU</li> <li>• UNEP</li> </ul>	2500	0	As project focuses on political outcomes and no set “field sites” exist, suggest when possible and appropriate to conduct monitoring electronically or by phone.
Communication of M&E actions		1000	0	
Audit reports		10000	25000	
Mid Term Review	<ul style="list-style-type: none"> <li>• UNEP TM/ UNEP</li> <li>• Evaluation Office</li> <li>• PMU</li> </ul>	0	0	At mid-point of project
Terminal Evaluation	<ul style="list-style-type: none"> <li>• UNEP TM/ UNEP</li> <li>• Evaluation Office</li> <li>• PMU</li> </ul>	25000	0	At project end
<b>Total M&amp;E Plan Budget</b>		<b>63500</b>	<b>30000</b>	

\* Salary of Project Coordinator

\*\* Salaries of Project Coordinator and Africa Director

\*\*\* In Kind contributions from PSC members, cost share on audit reports, Contributions of cash towards salaries

## **Annex G: Implementation Arrangement**

### **1. Division of Responsibilities**

#### **Project Implementing Agency: UNEP**

UNEP represents the Implementing Agency (IA) of the Global Environment Facility (GEF) for this project with the following roles:

- Providing consistent and regular Project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes;
- Performing the liaison function between the project and the GEF Secretariat;
- Regularly monitoring project progress and performance and rating progress towards meeting project objectives, project execution progress, quality of project monitoring and evaluation, and risk;
- Ensuring that both GEF and UN Environment guidelines and standards are applied and met (technical, fiduciary, M&E);
- Ensure technical quality of products, outputs and deliverables;
- Ensuring timely disbursement/sub-allotment to executing agencies, based on agreed legal documents;
- Approve budget revision, certify fund availability and transfer funds;
- Providing technical support and assessment of the execution of the Project;
- Providing guidance if requested to main TORs/MOUs and subcontracts issued by the project;
- Follow-up with EA for progress, equipment, financial and audit reports;
- Certify project operational completion.

#### **Project Executing Agency: CCN**

The Conservation Council of Nations (CCN) is the Executing Agency (EA) for this project. Through its headquarters offices in Washington, D.C. and staff based in project countries, its main responsibilities will include:

- Overseeing that the project is executed according to the agreed workplan, budget and reporting tasks;
- Organize and participate in the Steering Committee meetings;
- Signing the relevant Legal Instrument to allow disbursement of funding;
- Addressing and rectifying any issues or inconsistencies raised by the IA;
- Support compilation and submission of progress, financial and audit reporting to IA;
- Take responsibility for the execution of the project in accordance with the project objectives, activities and budget;
- Deliver the outputs and demonstrate its best efforts in achieving the project outcomes;
- Notify IA in writing if there is need for modification to the agreed implementation plan and budget, and to seek approval;
- Address and rectify any issues raised by IA with respect to project execution in a timely manner;
- Report to IA and comply with the administrative and financial procedures;
- Managing the financial resources and processing all financial transaction relating to sub-allotments;
- Preparing sub-project documents using appropriate legal instruments;
- Preparing all annual/year-end project revisions;
- Organizing and facilitating inception workshops and consultative meetings;
- Assessing project risks in the field, monitoring a risk management plan.

## **Project Directors**

CCN will appoint a Project Director in each of the five participating countries, who will serve as the liaison persons between the CCN and relevant national institutions. The Project Directors will facilitate as necessary the work of the PMU and project execution with the partners and will ensure that the project fits into national development and reform agendas. The Project Directors will support resource mobilization as necessary, and will discuss and agree with the PMU the project technical and financial reports before they are sent to UN Environment.

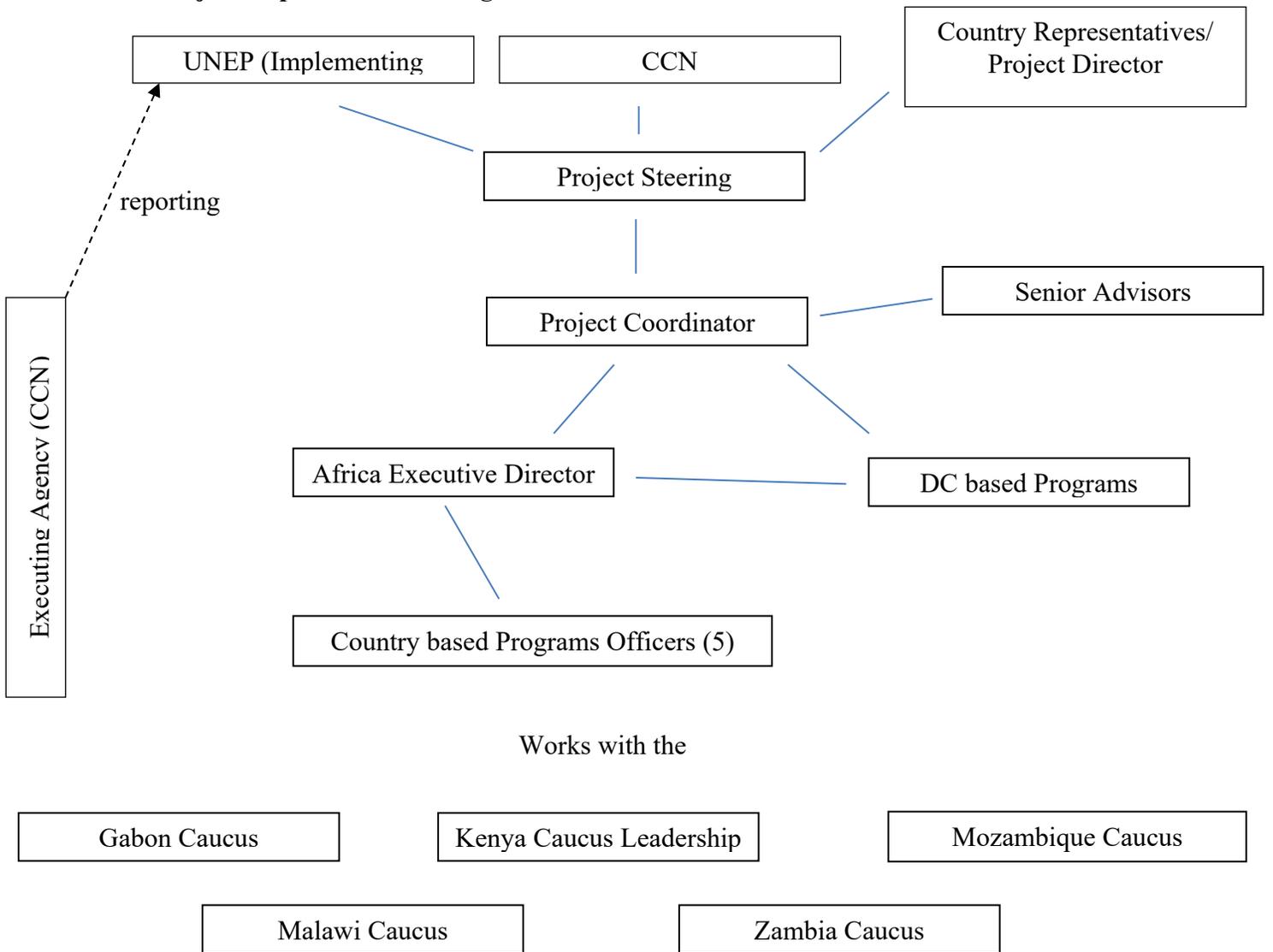
## **Project Steering Committee (PSC)**

The Project Steering Committee (PSC) will provide overall guidance and strategic direction and oversight to project management and will approve all final outputs and deliverables of the project. The PSC will be made up of the Project Coordinator representing CCN, the UNEP Task Manager, and representatives appointed by the GEF Focal Point of each project country. The Lead of the World Bank Coordination Grant of the GEF Global Wildlife Program will be invited to sit as an observer in the PSC. The PSC will meet at least twice a year to review project progress, provide direction and guidance, and assist in project implementation, as well as provide synergies with other complementing initiatives and ongoing projects. Participation in PSC meetings will be possible also via teleconference or Skype, and decisions and consultations might also take place in email exchange form. UNEP EA and CCN will service as secretariat of the PSC. Furthermore, the PSC will decide at its first meeting on the engagement of the local coordination entities.

## **Project Management Unit (PMU):**

The Project Management unit will be led by a Project Coordinator and made up of the CCN personnel hired to achieve the goals stated in the project. Personnel are a key component of this project, as the majority of the effort involved to work with policymakers, judiciary officials and other conservation stakeholders will be carried out by the PMU staff. For this reason, the proposed project budget has a high percentage allocated towards staffing. At the same time, CCN plans to co-finance portions of the staffing structure detailed in the diagram below. More details can be found in the co-financing budget in Annex F-2.

## 2. Project Implementation Diagram



### 3. Project Partners

#### Regional/International

- Global Environment Facility
- UN Environment
- UN Development Programme
- The World Bank
- USAID
- U.S. Department of State, Bureau of International Narcotics and Law Enforcement
- U.S. Fish and Wildlife Service
- Wildlife Conservation Society
- African Wildlife Foundation
- Space for Giants
- Stop Ivory
- African Parks Network
- Endangered Wildlife Trust
- Arnold & Porter
- Sive, Paget, & Riesel
- U.S. District Court of Illinois

#### Gabon

- Conservation Justice
- ANPN

#### Kenya

- The Nature Conservancy
- Freeland Foundation
- Lawyers Without Borders
- Save the Elephants
- African Network for Animal Welfare
- Kenya Wildlife Conservancy Association
- Kenya Wildlife Service

- Ministry of Environment and Natural Resources
- Office of the Director of Public Prosecutions
- Office of the Chief Justice and Registrar

#### Malawi

- Lilongwe Wildlife Trust
- Centre for Environmental Policy and Advocacy
- Department of National Parks and Wildlife
- Office of the Director of Public Prosecutions
- Office of the Chief Justice and Registrar of the Judiciary

#### Mozambique

- Carr Foundation
- Peace Parks Foundation
- ANAC
- Ministry of Environment
- Attorney General's Office

#### Zambia

- Panthera
- Wildlife Crime Prevention Program
- WWF-Zambia
- Peace Parks Foundation
- Department of National Parks and Wildlife
- Ministry of Tourism and Arts
- National Prosecutions Authority
- Office of the Chief Justice and Registrar

### Annex H: Key deliverables and benchmarks

Benchmarks	Deliverables
<b>Component 1:</b>	
<ul style="list-style-type: none"> <li>• Draft policies, laws, regulations</li> <li>• Meeting/briefing/workshop minutes and reports</li> <li>• Press releases, CCN conservation updates</li> <li>• Baseline reports on national and regional policy frameworks</li> </ul>	<ul style="list-style-type: none"> <li>• Wildlife policies, laws, or regulations</li> </ul>
<b>Component 2:</b>	
<ul style="list-style-type: none"> <li>• Draft toolkit documents</li> <li>• Training workshop minutes and reports</li> <li>• Surveys of prosecutors and judges trained in use of toolkits and on links with transnational organized crime</li> </ul>	<ul style="list-style-type: none"> <li>• Country-specific toolkit documents for prosecutors and/or the judiciary</li> <li>• Prosecutors and judges are trained in application of toolkits</li> <li>• Training materials for prosecutors and judges</li> <li>• Educational/training materials on the links between wildlife trafficking and transnational organized crime</li> </ul>

**Component 3:**

- |  |   |
|--|---|
| <ul style="list-style-type: none"><li>• Parliamentary recruitment meeting minutes/reports</li><li>• Drafts of strategic plans</li><li>• Caucus planning and strategic plan drafting meeting minutes/reports</li><li>• Reports on private sector, NGO, and development partner meetings</li></ul> | <ul style="list-style-type: none"><li>• Caucus enrollment lists</li><li>• Caucus strategic plan documents</li><li>• Conservation Council membership lists</li></ul> |
|--|---|

### Annex I – Workplan

Expected Outcomes	Expected Outputs	Activities	UNEP (Anubis) budget lines	Cost (USD)	PY1						PY2							
					1	2	3	4	5	6	1	2	3	4	5	6		
<b>1.1 New or amended laws, regulations, and policies to mitigate poaching and illegal wildlife trade and advanced wildlife conservation</b>	1.1.1 Baseline analysis of legal / policy frameworks completed and strategy for reforms proposed	1. Policy and legislative baseline review and assessment/synthesis of proposed reforms 2. Caucus executive meetings with CCN to develop strategy on addressing baseline gaps	1101; 1102; 1601; 3201; 3301; 5201	296,182	1	2												
	1.1.2 Political will and stakeholder input is generated to support legal, regulatory and policy reforms increased through engagement with caucus members and other stakeholders	Applicable to 1.1.2 and 1.1.3: 3. Policy and legislative briefings and workshops in-country with parliamentary conservation caucuses, executive agencies, and multi-sector stakeholders 4. High-level dialogues between parliament and executive ministries/agencies on policy strategies 5. In-country field visits with parliamentary conservation caucus members and other decision-makers to protected areas and wildlife management sites highlighting on-the-ground wildlife governance challenges and both successful and unsuccessful models for addressing those challenges	1101; 1102; 1601; 3201; 3301; 5201		3	4	5	3	4	5	3	4	5					
	1.1.3 Amendments to wildlife laws, regulations and policies developed and put forth for enactment by decision-makers	6. Parliamentary conservation caucus participation in criminal justice capacity-building activities outlined in this project where appropriate. This will provide a mutual benefit to both aspects of the project: a) first-hand knowledge to legislators and policymakers on the challenges facing legal practitioners, such as prosecutors and the judiciary, in combating wildlife crimes, and b) political engagement, support, and oversight to criminal justice reforms on wildlife crime, such as sentencing guidelines, institutional changes in the prosecuting authorities, and inter-agency collaboration.																
<b>2.1 Strengthened prosecutions and judicial deterrents on wildlife crimes</b>	2.1.1 Identification and development of requested guidance materials for prosecutors and judges on handling wildlife crime cases	1. Kenya: Engagement between criminal justice institutions and Kenyan political leadership through the PCC-K to educate policymakers on the challenges facing legal practitioners in combating wildlife crimes, and to build political will amongst all parties on implementing reforms and capacity-building initiatives to strengthen and institutionalize practices.	1101; 1102; 1201; 1601; 3201; 3301; 5201	294,727		1	2	1	2	1	2				1	2		
	2.1.2 Prosecutors and judges are trained and able to effectively																	

Expected Outcomes	Expected Outputs	Activities	UNEP (Anubis) budget lines	Cost (USD)	PY1				PY2				
	utilize toolkits and guidance materials 2.1.3 Prosecutors, judges, and other law enforcement authorities have increased understanding of the links between wildlife trafficking and transnational organized crime	2. Gabon - Malawi – Mozambique - Zambia: a) Technical assistance to wildlife and criminal justice institutions in drafting and implementing interventions laid out in the Road Maps. Specific interventions include: prosecutor toolkits (rapid-reference guides, inter-agency protocols, guidance in prosecutor-led investigations, guidance on mutual legal assistance); sentencing guidelines; and development of court monitoring and survey systems. Through legal consultants and collaborations with local organizations, CCN will partner with local agencies to provide technical assistance in drafting documents and facilitate workshops to engage stakeholders and train officials in the application of new criminal justice practices and guidance materials; b) engagement between criminal justice institutions and parliamentary conservation caucuses to build political will and support for above stated interventions, facilitate any legislative processes (i.e., sentencing guidelines), and increase understanding of the policy and legislative challenges facing legal practitioners.											
<b>3.1 More effective caucus infrastructure for multi-stakeholder engagement in policymaking and building political will for wildlife conservation</b>	3.1.1 Parliamentary Conservation Caucuses strengthened through increased and more widely representative membership	1. Work through existing caucus leadership to identify, engage, and recruit new MPs from variety of committee and party leadership	1101; 1102; 1601; 3201; 3301; 5201	318,182	1	1	1	1					
	3.1.2 Strategic plans for Parliamentary Conservation Caucuses updated and/or formally adopted	2. Develop or update caucus strategic plan documents 3. Incorporate stakeholder input, build consensus, and formally adopt strategic plans through caucus briefings and caucus executive committee meetings			2 3	2 3	3	3					
<b>3.2 Sustainable financing for parliamentary conservation caucuses</b>	3.2.1 Capacities of “Conservation Councils” to provide information and funding for Parliamentary Conservation Caucuses increased	4. Ensure multi-sector participation in all caucus programs through invitations and engagement 5. Meetings with private sector, NGO, and development partner representatives to propose and advance Conservation Council membership			4 5	4 5	4 5	4 5	4 5	4 5			



**Annex J: Biodiversity Focal Area Tracking Tool**  
**Annex K – Endorsement Letters of GEF Operational Focal Points**

*See separate file*

## **Annex L: Co-financing Commitment Letters from Project Partners**

*See separate file*

## Annex M – UNEP Environmental, Social and Economic Review Note

### UNEP Environmental, Social and Economic Review Note (ESERN)

#### I. Project Overview

<b>Identification</b>	<i>Insert Project ID# from Programme Framework Table</i>
Project Title	<i>Enhancing legislative, policy, and criminal justice frameworks for combating poaching and illegal wildlife trade in Africa - Conservation Council of Nations (CCN)</i>
Managing Division	
Type/Location	
Region	Africa
List Countries	<i>Gabon, Kenya, Malawi, Mozambique, Zambia</i>
Project Description	
Estimated duration of project:	18 months
Estimated cost of the project:	<i>\$2 Million (with GEF and Cofinanced funds)</i>

## II. Environmental Social and Economic Screening Determination

**A. Summary of the Safeguard Risks Triggered**

Safeguard Standard Triggered by the Project	Impact of Risk <sup>19</sup> (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H)
SS 1: Biodiversity, natural habitat and Sustainable Management of Living Resources	N/A	N/A	N/A
SS 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes	N/A	N/A	N/A
SS 3: Safety of Dams	N/A	N/A	N/A
SS 4: Involuntary resettlement	1	1	L
SS 5: Indigenous peoples	1	1	L
SS 6: Labor and working conditions	N/A	N/A	N/A
SS 7: Cultural Heritage	N/A	N/A	N/A
SS 8: Gender equity	N/A	N/A	N/A
SS 9: Economic Sustainability	N/A	N/A	N/A
Additional Safeguard questions for projects seeking GCF-funding (Section IV)			

**B. ESE Screening Decision**<sup>20</sup> (Refer to the UNEP ESES Framework (Chapter 2) and the UNEP's ESES Guidelines.)  
 Low risk  Moderate risk  High risk  Additional information required

**C. Development of ESE Review Note and Screening Decision:**  
 Prepared by: Name: Johan Robinson Date: 01 August 2017  
 Safeguard Advisor: Name: Yunae Yi, Date: 3 August 2017  
 Project Manager: Name: Date:

**D. Recommended further action from the Safeguard Advisor:**

This is likely to be a low risk project as the work is mainly in the normative are. The project is “expected to” create positive environmental and social impacts in the target countries in terms of biodiversity and habitat preservation, wildlife-human conflict avoidance, economic development, increased tourism revenues, etc. But, safeguard screening is on “unintended” or “indirect” harm that it may bring to the environment or the people.

The project plans to guide wildlife-related national policy, legislation and regulations. While its intention is to improve regulations of protected areas and land tenure, potential implication of such policy and regulations can be critical for marginalized and vulnerable people who may be affected by proposed changes. Please ensure that the project identified and pay attention to the vulnerable and marginalized groups (e.g., different tribes, gender, ethnic group, the type of livelihood activities they carry out and so on) through balanced representation of stakeholders and regular communication. Identifying the root causes of illegal poaching and helping governments to address the issues around them should be considered in the policy formulation.

<sup>19</sup> Refer to UNEP Environment, Social and Economic Sustainability (ESES): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

<sup>20</sup> **Low risk:** Negative impacts negligible: no further study or impact management required.

**Moderate risk:** Potential negative impacts, but less significant; few if any impacts irreversible; impact amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a ESEMP. Straightforward application of good practice may be sufficient without additional study.

**High risk:** Potential for significant negative impacts, possibly irreversible, ESEA including a full impact assessment may be required, followed by an effective safeguard management plan.

### III. ESES Principle and Safeguard checklist

(Section III and IV should be retained in UNEP)

<b>Precautionary Approach</b>
The project will take precautionary measures even if some cause and effect relationships are not fully established scientifically and there is risk of causing harm to the people or to the environment.
<b>Human Rights Principle</b>
The project will make an effort to include any potentially affected stakeholders, in particular vulnerable and marginalized groups; from the decision making process that may affect them.
The project will respond to any significant concerns or disputes raised during the stakeholder engagement process.
The project will make an effort to avoid inequitable or discriminatory negative impacts on the quality of and access to resources or basic services, on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups. <sup>21</sup>

Screening checklist	Y/N/ Maybe	Comment
<b>Safeguard Standard 1: Biodiversity, natural habitat and Sustainable Management of Living Resources</b>		
Will the proposed project support directly or indirectly any activities that significantly convert or degrade biodiversity and habitat including modified habitat, natural habitat and critical natural habitat?	N	Not anticipated
Will the proposed project likely convert or degrade habitats that are legally protected?	N	Not anticipated
Will the proposed project likely convert or degrade habitats that are officially proposed for protection? (e.g.; National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)	N	Not anticipated
Will the proposed project likely convert or degrade habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	Not anticipated
Will the proposed project likely convert or degrade habitats that are recognized- including by authoritative sources and /or the national and local government entity, as protected and conserved by traditional local communities?	N	Not anticipated
Will the proposed project approach possibly not be legally permitted or inconsistent with any officially recognized management plans for the area?	N	Not anticipated
Will the proposed project activities result in soils deterioration and land degradation?	N	Not anticipated
Will the proposed project interventions cause any changes to the quality or quantity of water in rivers, ponds, lakes or other wetlands?	N	Not anticipated

<sup>21</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Screening checklist	Y/N/ Maybe	Comment
Will the proposed project possibly introduce or utilize any invasive alien species of flora and fauna, whether accidental or intentional?	N	Not anticipated
<b>Safeguard Standard 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes</b>		
Will the proposed project likely result in the significant release of pollutants to air, water or soil?	N	Not anticipated
Will the proposed project likely consume or cause significant consumption of water, energy or other resources through its own footprint or through the boundary of influence of the activity?	N	Not anticipated
Will the proposed project likely cause significant generation of Green House Gas (GHG) emissions during and/or after the project?	N	Not anticipated
Will the proposed project likely generate wastes, including hazardous waste that cannot be reused, recycled or disposed in an environmentally sound and safe manner?	N	Not anticipated
Will the proposed project use, cause the use of, or manage the use of, storage and disposal of hazardous chemicals, including pesticides?	N	Not anticipated
Will the proposed project involve the manufacturing, trade, release and/or use of hazardous materials subject to international action bans or phase-outs, such as DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants or the Montreal Protocol?	N	Not anticipated
Will the proposed project require the procurement of chemical pesticides that is not a component of integrated pest management (IPM) <sup>22</sup> or integrated vector management (IVM) <sup>23</sup> approaches?	N	Not anticipated
Will the proposed project require inclusion of chemical pesticides that are included in IPM or IVM but high in human toxicity?	N	Not anticipated
Will the proposed project have difficulty in abiding to FAO's International Code of Conduct <sup>24</sup> in terms of handling, storage, application and disposal of pesticides?	N	Not anticipated
Will the proposed project potentially expose the public to hazardous materials and substances and pose potentially serious risk to human health and the environment?	N	Not anticipated
<b>Safeguard Standard 3: Safety of Dams</b>		
Will the proposed project involve constructing a new dam(s)?	N	Not anticipated
Will the proposed project involve rehabilitating an existing dam(s)?	N	Not anticipated
Will the proposed project activities involve dam safety operations?	N	Not anticipated
<b>Safeguard Standard 4: Involuntary resettlement</b>		

<sup>22</sup> "Integrated Pest Management (IPM) means the careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human health and the environment. IPM emphasizes the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms <http://www.fao.org/agriculture/crops/thematic-sitemap/theme/pests/ipm/en/>

<sup>23</sup> "IVM is a rational decision-making process for the optimal use of resources for vector control. The approach seeks to improve the efficacy, cost-effectiveness, ecological soundness and sustainability of disease-vector control. The ultimate goal is to prevent the transmission of vector-borne diseases such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease." ([http://www.who.int/neglected\\_diseases/vector\\_ecology/ivm\\_concept/en/](http://www.who.int/neglected_diseases/vector_ecology/ivm_concept/en/))

<sup>24</sup> Find more information from [http://www.fao.org/fileadmin/templates/agphome/documents/Pests\\_Pesticides/Code/CODE\\_2014Sep\\_ENG.pdf](http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/CODE_2014Sep_ENG.pdf)

Screening checklist	Y/N/ Maybe	Comment
Will the proposed project likely involve full or partial physical displacement or relocation of people?	N	Not anticipated
Will the proposed project involve involuntary restrictions on land use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	Not anticipated
Will the proposed project likely cause restrictions on access to land or use of resources that are sources of livelihood?	Maybe	Project addresses wildlife-related national policy, legislation and regulations, which may include components on land-use management, such as regulations of protected areas, that affect land tenure – but not necessarily in a negative manner.  Project also seeks to prevent poaching and other illegal uses of wildlife and protected area resources, which may be sources of livelihoods despite being illegal activities.
Will the proposed project likely cause or involve temporary/permanent loss of land?	N	
Will the proposed project likely cause or involve economic displacements affecting their crops, businesses, income generation sources and assets?	N	Not anticipated
Will the proposed project likely cause or involve forced eviction?	N	Not anticipated
Will the proposed project likely affect land tenure arrangements, including communal and/or customary/traditional land tenure patterns negatively?	Maybe	Project addresses wildlife-related national policy, legislation and regulations, which may include components on land-use management, such as regulations of protected areas, that affect land tenure – but not necessarily in a negative manner.
<b>Safeguard Standard 5: Indigenous peoples<sup>25</sup></b>		
Will indigenous peoples be present in the proposed project area or area of influence?	N	Not anticipated
Will the proposed project be located on lands and territories claimed by indigenous peoples?	N	Not anticipated
Will the proposed project likely affect livelihoods of indigenous peoples negatively through affecting the rights, lands and territories claimed by them?	N	Not anticipated
Will the proposed project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	Not anticipated
Will the project negatively affect the development priorities of indigenous peoples defined by them?	N	Not anticipated
Will the project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	Not anticipated
Will the project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization	Maybe	Project addresses land-use and wildlife-use

<sup>25</sup> Refer to the Toolkit for the application of the UNEP Indigenous Peoples Policy Guidance for further information.

Screening checklist	Y/N/ Maybe	Comment
or use of their traditional knowledge and practices?		management policies and laws, which may have an effect on the use of traditional knowledge and practices if those have any relation to use of wildlife or protected area land-use.
<b>Safeguard Standard 6: Labor and working conditions</b>		
Will the proposed project involve the use of forced labor and child labor?	N	Not anticipated
Will the proposed project cause the increase of local or regional un-employment?	N	Not anticipated
<b>Safeguard Standard 7: Cultural Heritage</b>		
Will the proposed project potentially have negative impact on objects with historical, cultural, artistic, traditional or religious values and archeological sites that are internationally recognized or legally protected?	N	Not anticipated
Will the proposed project rely on or profit from tangible cultural heritage (e.g., tourism)?	N	Not anticipated
Will the proposed project involve land clearing or excavation with the possibility of encountering previously undetected tangible cultural heritage?	N	Not anticipated
Will the proposed project involve in land clearing or excavation?	N	Not anticipated
<b>Safeguard Standard 8: Gender equity</b>		
Will the proposed project likely have inequitable negative impacts on gender equality and/or the situation of women and girls?	N	Not anticipated
Will the proposed project potentially discriminate against women or other groups based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits?	N	Not anticipated
Will the proposed project have impacts that could negatively affect women's and men's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	N	Not anticipated
<b>Safeguard Standard 9: Economic Sustainability</b>		
Will the proposed project likely bring immediate or short-term net gain to the local communities or countries at the risk of generating long-term economic burden (e.g., agriculture for food vs. biofuel; mangrove vs. commercial shrimp farm in terms of fishing, forest products and protection, etc.)?	N	Not anticipated
Will the proposed project likely bring unequal economic benefits to a limited subset of the target group?	N	Not anticipated

#### IV. Additional Safeguard Questions for Projects seeking GCF-funding

<b>Community Health, Safety, and Security</b>			
Will there be potential risks and negative impacts to the health and safety of the Affected Communities during the project life-cycle?			
Will the proposed project involve design, construction, operation and decommissioning of the structural elements such as new buildings or structures?			
Will the proposed project involve constructing new buildings or structures that will be accessed by public?			
Will the proposed project possibly cause direct or indirect health-related risks and impacts to the Affected Communities due to the diminution or degradation of natural resources, and ecosystem services?			
Will the proposed project activities potentially cause community exposure to health issues such as water-borne, water-based, water-related, vector-borne diseases, and communicable diseases?			
In case of an emergency event, will the project team, including partners, have the capacity to respond together with relevant local and national authorities?			
Will the proposed project need to retain workers to provide security to safeguard its personnel and property?			
Will UNEP or the implementing/executing partner(s) involve suppliers of goods and services who may have high risk of significant safety issues related to their own workers?			

## Annex N: Acronyms

AFD	French Development Agency
ANAC	National Agency for Conservation Areas
CCN	Conservation Council of Nations
CBD	Convention on Biological Diversity
CD	Capacity Development
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CMS	Convention for the Conservation of Migratory Species of Wild Animals
DNPW	Department of National Parks and Wildlife
EA	Executing Agency
EEZ	Exclusive Economic Zone
EOU	Evaluation Office of UNEP
GEF	Global Environment Facility
GMA	Game Management Area
IA	Implementing Agency
ICCF	International Conservation Caucus Foundation
ICCWC	International Consortium on Combating Wildlife Crime
IUCN	International Union for Conservation of Nature
IWT	Illegal Wildlife Trade
LWT	Lilongwe Wildlife Trust
M&E	Monitoring and Evaluation
MPA	Marine Protected Area
MPCC	Malawi Parliamentary Conservation Caucus
MSP	Medium Sized Project
MTE	Mid Term Evaluation
MTR	Mid Term Review
NBSAP	National Biodiversity Strategy and Action Plan
NGO	Non-Governmental Organization
NIRFP	National Ivory and Rhino Action Plan
ODA	Official Development Assistance
PA	Protected Areas
PCC	Parliamentary Conservation Caucus
PCC-K	Parliamentary Conservation Caucus-Kenya
PIR	Project Implementation Report
PSC	Project Steering Committee
SADC	Southern African Development Community
TE	Terminal Evaluation
TM	Task Manager
ToR	Terms of Reference
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNODC	United Nations Office on Drugs and Crime
UNFCCC	United Nations Framework Convention on Climate Change
WB	World Bank
WENSA	Wildlife Enforcement Network of Southern Africa
WHC	World Heritage Convention

