PROJECT DOCUMENT

SECTION 1: PROJECT IDENTIFICATION

1.1	**Project title:**	Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa
1.2	**Project number:**	GEF ID: 9525 Addis No 01391
1.3	**Project type:**	FSP
1.4	**Trust Fund:**	GEF
1.5	**Strategic objectives:**	
	GEF strategic long-term objective:	BD 2 Reduce threats to globally-significant biodiversity
	Strategic programme for GEF VI:	Program 3 Preventing the extinction of known threatened species
1.6	**UNEP priority:**	Environmental Governance, Ecosystem Management

EG (b) The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals, and to comply with related obligations is enhanced.

EG (c) Support to governments and related private and public stakeholders in mainstreaming environmental sustainability in national and regional development policies and plans.

EM (a) Use of the ecosystem approach in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased.

1.7	**Geographical scope:**	National
1.8	**Mode of execution:**	External
1.9	**Project executing organization:**	Department of Environmental Affairs, South Africa
1.10	**Duration of project:**	60 months Commencing: 2018 Technical completion: 2022
	Validity of legal instrument:	60 months

1.11	**Cost of project**	**US$**	**%**
	Cost to the GEF Trust Fund	**4,886,009**	**39.70%**
	Co-financing		
	Cash		
	Department of Environmental Affairs	2,500,000	20.32%
	South African National Parks	480,000	3.9%
	South African National Biodiversity Institute	200,000	1.63%
	World Wildlife Fund South Africa	500,000	4.06%
	Peace Parks Foundation	300,000	2.44%
	Sub-total	**3,980,000**	**32.34%**

	In-kind		
	Department of Environmental Affairs	2,500,000	20.32%
	South African National Parks	20,000	0.16%
	South African National Biodiversity Institute	420,000	3.41%
	World Conservation Monitoring Centre	200,000	1.63%
	Peace Parks Foundation	300,000	2.44%
	Sub-total	**3,440,000**	**27.95%**
Total		**12,306,009**	**100%**

1.12 Project summary

This Project aims to strengthen institutions and targeted communities to improve decision-making and reduce the rate of illegal wildlife trade in South Africa. It will specifically carry out activities to improve monitoring and management of iconic CITES-listed species threatened by illegal and unsustainable levels of international trade, and develop appropriate community governance mechanisms and management tools that will ultimately lead to improved wildlife monitoring and a reduction in illegal wildlife trade from South Africa.

Project activities have been designed to address three inter-related Components:

Component 1: Strengthening capacity and information systems for effective management of wildlife trade monitoring. The entity responsible for biodiversity monitoring in South Africa is the South African National Biodiversity Institute. Component 1 aims to develop a centralised system for improved wildlife trade monitoring through development of training modules and providing skills training to Scientific Authority of South Africa on effective wildlife trade monitoring and assessment, as well as through the creation of a national wildlife monitoring system.

Component 2: Development of a ready-to-use electronic permitting system for CITES-listed species. The centralised national system developed under Component 1 will integrate with the national e-permitting system for CITES-listed species to be developed under Component 2, which will provide an electronic system for CITES permitting that will ultimately communicate with other CITES permitting systems, including that already created by UNEP-WCMC. The Department of Environmental Affairs (DEA) is the designated CITES Management Authority in South Africa. It is responsible for implementation of CITES in South Africa and adherence to its obligations under the Convention. In this regard, ensuring that international wildlife trade is legal, sustainable and verifiable is a fundamental consideration for the DEA.

Component 3: Strengthening community capacity to reduce the rate of illegal wildlife trade. This Component will bring communities living adjacent to the western boundary of Kruger National Park into the integrated process in South Africa to address illegal wildlife trade. Efforts under the Project will focus on community-level social development through implementation of novel community governance guidelines specifically targeting community-based natural resource management. A community-led Environmental Monitors Programme will be designed and put into action to increase security of rural communities and target species (rhino, elephant, big cats), thereby reducing the rate of illegal activities in the adjoining KNP.

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ACRONYMS AND ABBREVIATIONS

AA	Administrative / Procurement Assistant
AfESG	African Elephant Specialist Group
AfRSG	African Rhino Specialist Group
AP	Action Plan
APEC	Asia-Pacific Economic Cooperation
API	Application Program Interface
ARP	African Rhino Programme
BABS	Bioprospecting, Access and Benefit-Sharing
BHL	Biodiversity Heritage Library
BLM	Bushbuckridge Local Municipality
BMP	Biodiversity Management Plan
BotSoc	Botanical Society
CBD	United Nations Convention on Biological Diversity
CEO	Chief Executive Officer
CHASA	Confederation of Hunters Associations of South Africa
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CoP	Conference of the Parties
COP	Codes of Practice
CPA	Communal Property Associations
CSA	Conservation South Africa
CSIR	Council for Scientific and Industrial Research
CSO	Civil Society Organisation
CTGSTSA	Commercial Taxidermists and Game Skin Tanners of South Africa
DEA	Department of Environmental Affairs
DEAT	Department of Environmental Affairs and Tourism (now DEA)
DNA	De-oxyribo-Nucleic Acid
DRDLR	Department of Rural Development and Land Reform
DVD	Digital Versatile Disc
EA	Environmental Assessment
EKZNW	Ezemvelo KZN Wildlife
EMI	Environmental Management Inspectorate
EO	Evaluation Office
EPWP	Expanded Public Works Programme
ESIA	Environmental and Social Impact Assessments
ETIS	Elephant Trade Infromation System
EUROPOL	European Police Office
EWT	Endangered Wildlife Trust
FLoD	First Line of Defence
FOCAC	Forum on China-Africa Cooperation
FSL	Forensic Science Laboratory
FSP	Full-sized Project
FTEs	Full-Time Equivalents
GA	General Assembly
GBIF	Global Biodiversity Information Facility
GEF	Global Environment Facility
GLTFCA	Greater Limpopo Trans-Frontier Conservation Area
GLTP	Great Limpopo Transfrontier Park
GoSA	Government of South Africa
GPS	Global Positioning System

GRAA	Game Rangers' Association of Africa
GWP	Global Wildlife Program
IAPF	International Anti-Poaching Foundation
ICCWC	International Consortium on Combating Wildlife Crime
IDP	Integrated Development Plan
INTERPOL	International Criminal Police Organisation
IRDP	Integrated Regional Development Plan
IT	Information Technology
IUCN	International Union for Conservation of Nature
IWT	Illegal Wildlife Trade
K2C	Kruger to Canyons Biosphere
KNP	Kruger National Park
KZN	Kwa-Zulu Natal
LATF	Lusaka Agreement Task Force
LED	Local Economic Development
LiMF	Lion Management Forum
M&E	Monitoring & Evaluation
METT	Management Effectiveness Tracking Tool
MOU	Memorandum of Understanding
MTE	Mid-Term Evaluation
MTEF	Medium Term Expenditure Framework
MTPA	Mpumalanga Tourism and Parks Agency
MTR	Mid-Term Review
MTSF	Medium Term Strategic Framework
N&S	Norms and Standards
NATCRU	National Wildlife Crime Reaction Unit
NATJOINTS	National Joint Operational and Intelligence Structure
NBEDS	National Biodiversity Economy Development Strategy
NBSAP	National Biodiversity Strategies and Action Pans
NDF	Non-detriment Findings
NEM:BA	National Environmental Management: Biodiversity Act
NEM:PAA	National Environmental Management: Protected Areas Act
NEMA	National Environmental Management Act
NGO	Non-Governmental Organisation
NIE	National Implementing Entity
NP	National Park
NPA	National Prosecution Authority
NQF	National Qualifications Framework
NWCRU	National Wildlife Crime Reaction Unit
NWIMU	National Wildlife Information Management Unit
NWO	Northern Wildlife Organisation
NWRU	National Wildlife Reaction Unit
OTS	Organization of Tropical Studies
P&PP	People & Parks Programme
PA	Protected Area
PC	Project Coordinator
PHASA	Professional Hunters Association of South Africa
PIF	Project Identification Form
PIR	Project Implementation Review
PM	Project Manager
PMC	Project Management Committee
PoA	Programme of Action

PPF	Peace Parks Foundation
PPG	Project Preparation Grant
PROA	Private Rhino Owners Association
PRSP	Poverty Reduction Strategy Paper
PSC	Project Steering Committee
RhODIS™	Rhino DNA Index System
SA	South Africa
SAAF	South African Air Force
SADC	Southern Africa Development Community
SAGRO	South African Game Ranchers Organization
SANAS	South African National Accreditation System
SANBI	South African National Biodiversity Institute
SANDF	South African National Defence Force
SANParks	South Africa National Parks
SAoSA	Scientific Authority of South Africa
SAPS	South Africa Police Service
SAQA	South African Qualifications Authority
SARS	South Africa Revenue Services
SAVA	South African Veterinary Association
SAVC	South African Veterinary Council
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SDF	Spatial Development Framework
SDGs	Sustainable Development Goals
SESP	Social and Environmental Screening Procedure
SMART	Spatial Monitoring and Reporting Tool
SoE	State of Environment
SOP	Standard Operating Procedures
SPLUMA	Spatial Planning and Land Use Management Act
SSC	Species Survival Commission
SSW	Sabie Sands Wildtuin
STAP	Scientific and Technical Advisory Panel
SYVBAC	Central African Bushmeat Monitoring System
TASA	Taxidermy Association of Southern Africa
TFCA	Trans-Frontier Conservation Areas
TMF	Table Mountain Fund
TOPS	Threatened or Protected Species
TRAFFIC	The Wildlife Trade Monitoring Network
TWIX	Trade in Wildlife Information Exchange
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNODC	United Nations Office on Drugs and Crime
USA	United States of America
USD	United States Dollar
VGL	Veterinary Genetics Laboratory
WB	World Bank
WCMC	World Conservation Monitoring Centre
WCO	World Customs Organisation
WFR	Working for Rhino
WRSA	Wildlife Ranching South Africa
WTA	Wildlife Translocation Association

WWF	World Wildlife Fund
WWF-SA	World Wildlife Fund-South Africa

SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

2.1. Background and context

1. South Africa is one of the top 3 most biologically-diverse countries in the world (after Indonesia and Brazil) in terms of species richness and endemism.[1] It is surrounded by 2 oceans (the Atlantic Ocean and the western Indian Ocean), covers approximately 2% of the world's land area, and has important levels of biodiversity: 10% of the world's plants; 7% of the reptiles, birds and mammals; and 15% of known coastal marine species. South Africa is recognized for its species diversity and endemism, as well as its diversity of ecosystems. It comprises 9 unique vegetation landscapes or biomes, 3 of which have been declared global biodiversity hotspots (see **Figure 1**).

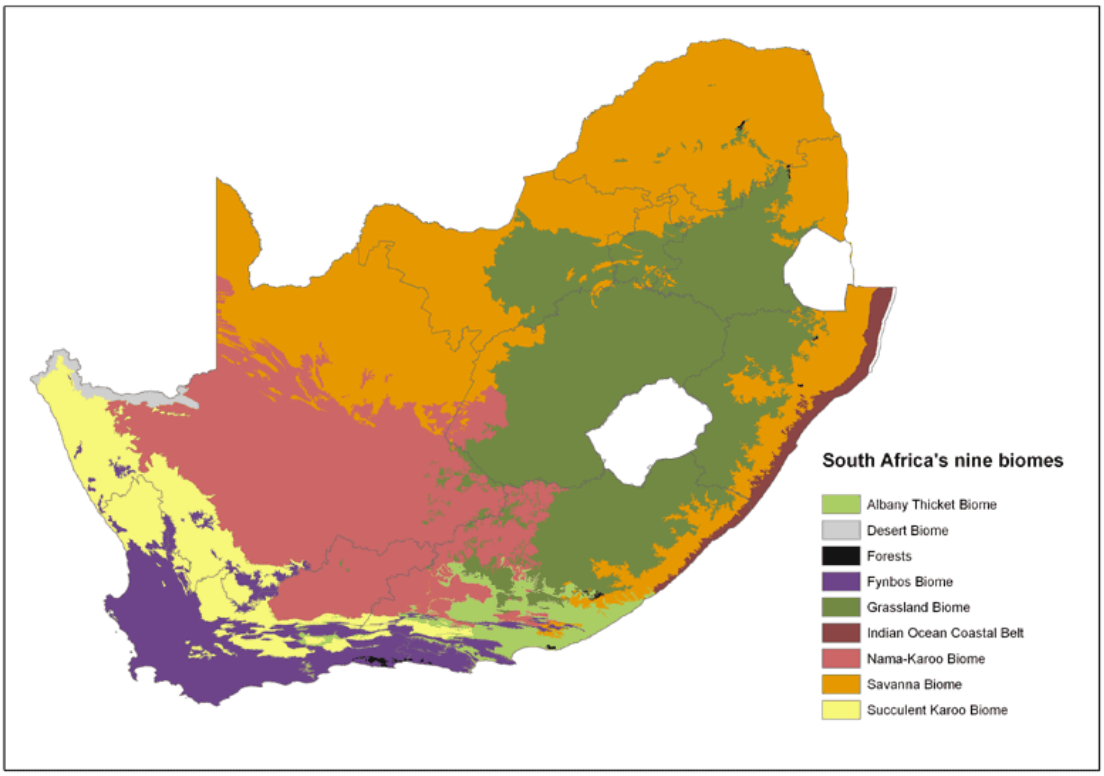


Figure 1: South Africa's Nine Biomes[2]

2. These diverse ecosystems deliver ecosystem services that are of benefit to people, including the provision of basic services and goods such as clean air, water, food, medicine and fibre; as well as more complex services that regulate and mitigate the climate, protect humans from natural disasters and provide people with a rich heritage of nature-based cultural traditions. These rich endowments of biodiversity assets and ecological infrastructure provide immense opportunity to support South Africa's development path and play an important role in underpinning the economy. Further, conservation and sustainable utilisation of the country's biological diversity is of strategic importance in terms of development and economic growth of the country, and in terms of provision of ecosystem services, now

[1] DEA (2015). National Environmental Management: Biodiversity Act, 2004 (Act No. 10 of 2004): Biodiversity Economy Strategy. National Department of Environmental Affairs, Pretoria, South Africa.
[2] Source: SANBI. 2017. Statistics: Red List of South African Plants version 2017.1. Downloaded from www.redlist.sanbi.org on 2017/07/30

and in the future. Of relevance to this project, numerous wildlife trade-related industries exist within the country from which economic benefits are obtained. For example, the wildlife hunting sector in South Africa generates annual revenue of South African Rand (ZAR) 6.935 billion and creates 65,172 jobs.[3] This sector includes the following industries:

- Hunting: one of the major contributors to wildlife tourism and the South African economy, is wildlife hunting.[4&5] Herbst (2006)[6] notes that over sixty species are available to hunt in South Africa. Hunting in the country can be classified into the two main categories of trophy and biltong (dried meat) hunting, with biltong hunters largely from South Africa, and trophy hunters chiefly from foreign destinations.
- Game meat: The promotion of the production of game meat is also extremely important to the sustainability of the wildlife industry in South Africa,[7] particularly in contributing to food security in the country.
- Live species sales: With the exceptional growth in the number and value of wildlife in South Africa a thriving market has developed in the trade and sales of live wildlife species. Trading of species, particularly surplus stock from wildlife farms, wildlife ranches and state conservation areas, occurs largely through wildlife auctions.
- Taxidermy products: Trophy hunters are the primary clients of the taxidermy industry, particularly in the case of foreign hunters. The meat from the animals hunted generally remains the property of the landowner as it is not usually sought after by the international client.

3. Further, South Africa has significant populations of species that are sought after for international trade, whether for the pet trade, for medicinal purposes, for hunting trophies or as personal effects. Endemic populations of highly-sought after endemic reptiles (the Geometric Tortoise *Psammobates geometricus* and the Giant Girdled Lizard or Sungazer *Smaug giganteus*), as well as significant populations of Black Rhino *Diceros bicornis*, African Lion *Panthera leo* (a population that is stable or increasing), Cheetah *Acinonyx jubatus*, Leopard *Panthera pardus*, African Elephant *Loxodonta africana*, Pangolin *Smutsia temminckii* and Vulture species are all traded in and from South Africa.

4. An analysis carried out by UNEP-WCMC on wildlife trade from the SADC region over a 10-year period, calculated that the value of legal wildlife trade from the SADC region is estimated to be USD 340 million per year[8]. Between 2005 and 2014, the value of South Africa's CITES exports (as reported by South Africa) was estimated at USD 1.1 billion. The study indicated that:[9]

- South Africa was the predominant exporter of live succulents and succulent products to the Netherlands (stems and live plants) and Namibia (*Hoodia gordonii* seeds);

[3] Taylor, A., Lindsey, P. and Davies-Mostert, H. 2016. *An assessment of the Economic, Social and Conservation Value of the Wildlife Ranching Industry and its Potential to support the Green Economy in South Africa.* Report prepared by the Endangered Wildlife Trust for the Development Bank of South Africa.

[4] Bauer, J. & Herr, A (2004). *Hunting and fishing tourism*. (In Higginbottom, K., ed. Wildlife Tourism: Impacts and Planning. Altona vic: Common Ground Publishing. p. 57-75.)

[5] Van Der Merwe, P. and Saayman, M (2013). *Who are the South African hunters and why do they hunt?* Journal of Hospitality and Management Tourism, 4(1): pp. 9-18.

[6] Herbert D.G., Hamer M.L., Mander M., Mkhize N. and Prins, F (2003) *Invertebrate animals as a component of traditional medicine trade in KwaZulu-Natal South Africa*. *Afr Invertebr* 44(2):327–344.

[7] Oberem, P (2012). *Harvesting wildlife for food*. *Wildlife Ranching*, Spring, pp. 68 – 73.

[8] WCMC (2016)

[9] Sinovas, P., Price, B., King, E., Davis, F., Hinsley, A. and Pavitt, A. 2016. *Southern Africa's wildlife trade: an analysis of CITES trade in SADC countries.* Technical report prepared for the South African National Biodiversity Institute (SANBI). UNEP-WCMC, Cambridge, UK.

- Cycads are valued in the ornamental plant trade, with exports from South Africa comprising most of this trade;
- The main animal exports from the country in 2005-2014 were:
  - live birds – mainly parrots (*Psittacus erithacus*) with the estimated value of USD278 million (2005-2014);
  - *Crocodylus niloticus* (Nile Crocodile) skins and meat; all largely captive-bred (estimated value USD 126.1 million). *Crocodylus niloticus* accounted for 98% of reptile trophies exported annually from the SADC region;
- *Hoodia gordonii* (Bitter Ghaap) seeds;
- *Aloe ferox* (Cape Aloe) extract (estimated value USD 153.8 million);
- Exports of *Equus zebra hartmannae* (Hartmann's Mountain Zebra) averaged 2182 animals per year. The majority of these exports were from Namibia (94%), with the remainder emanating from South Africa;
- Approximately 93 700 kg of *Loxodonta africana* (African elephant) tusks were directly exported by Namibia, South Africa and Zimbabwe during 2005-2014. South Africa reported just over half of the tusk exports by weight;
- Direct exports of *Hippopotamus amphibious* (hippopotamus) averaged 1185 individuals per year for 2005-2014, emanating chiefly from South Africa, Zimbabwe and Zambia;
- The majority of Felidae exports (2005-104) were from South Africa. Direct exports of *Panthera leo* (lion) averaged 1080 animals per year (2005-2014), 80% of which are exported as captive-produced species from South Africa;[10]
- Similarly, 657 *Panthera pardus* (leopard) individuals were directly exported per year (2004-2015), with at least 14% of these specimens emanating from South Africa.[11]

5. The products with the highest total estimated value exported from South Africa were live *Psittacus erithacus* (African Grey Parrot,[12] USD 278 million), extract of *Aloe ferox* (USD 153.8 million), and skins of *Crocodylus niloticus* (USD 126.1 million). The WCMC report - the first comprehensive overview of trade in CITES-listed wildlife in southern African countries – provides a baseline of trade data over the period 2005-2014, upon which future trade management in the region can be based.[13] The report shows the benefits that can be generated in South Africa from the legal, sustainable and verifiable trade in its wildlife.

6. Legal trade in both plant and animal resources is regulated in South Africa through a permitting system, controlled by the environmental legislation of the country and through regulations such as the Bioprospecting, Access and Benefit-Sharing (BABS), and Threatened or Protected Species (TOPS) regulations.[14] The BABS regulations control the permit system for bioprospecting of any biological

[10] DEA (2008). National Environmental Management: Biodiversity Act, 2004: Regulations On Bio-Prospecting, Access And Benefit-Sharing. Gazette No. 30739, 8 February 2008, Government Printers, Pretoria, South Africa.
DEA, (2015a) National Environmental Management: Biodiversity Act (10/2004): Threatened or protected species regulations and Publication of lists of species that are threatened or protected, activities that are prohibited and exemption from restriction. Notice 255 of 2015. Government Printers, Pretoria, South Africa.
[11] Ibidem
[12] Placed on CITES Appendix I at the CITES CoP17 (2016), resulting in administrative burden on South Africa which supplies a large number of parrot chicks to the international bird trade market from captive-breeding operations (which must now be registered as CITES Appendix I captive breeding operations to continue their business).
[13] The analysis identified 7 main streams of trade in CITES-listed species: hunting trophies, live parrots, live reptiles, crocodile skins, crocodile meat, live plants (including cycads and succulents), and plant derivatives.
[14] DEA, (2015a) National Environmental Management: Biodiversity Act (10/2004): Threatened or protected species regulations and Publication of lists of species that are threatened or protected, activities that are prohibited and exemption from restriction. Notice 255 of 2015. Government Printers, Pretoria, South Africa.

resources and determine the contents of and the requirements and criteria for benefit-sharing and material transfer agreements. The TOPS regulations regulate the conservation and sustainable use of wildlife that have been designated as threatened or protected in the country.[15]

International Wildlife Trade:

7. 183 States (known as Parties) have ratified the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), which was adopted in 1973 and came into force in 1975. CITES regulates international trade in over 35,000 species of plants and animals to ensure that any such trade is not detrimental to the survival of the species in the wild. It obliges Parties to the Convention to (*inter alia*) take appropriate measures to enforce the Convention and to prohibit trade in violation thereof, including measures to penalize such trade.

8. For some species (Appendix I) commercial international trade is generally prohibited, and for others commercial international trade is subject to strict regulation to be sure it is legal, sustainable and traceable (Appendix II). Some commercial international trade is regulated only to ensure legal origin (Appendix III), leaving the issue of sustainability to measures already taken at the national level.

9. If domestic or international trade in wildlife complies with domestic or international law respectively (or both) the trade is legal. Consequently, illicit wildlife trafficking under CITES includes trading commercially in wild-taken specimens of Appendix I listed species, and failing to obtain the necessary permits or certificates to trade in Appendix I, II or III listed species.

10. When plant and animal species listed in Appendix II of CITES are exported from South Africa, the country must demonstrate that the levels of export of the species are not detrimental to the survival of the species in the wild. This assessment is provided in a Non-Detriment Finding (NDF) by the CITES Scientific Authority of South Africa (SAoSA). An NDF is a science-based risk assessment where the vulnerability of a species is considered in relation to how well it is managed. Key to ensuring the effective application of non-detriment findings is the collection of, and access to, reliable trade data on wildlife for insights on trade patterns, trade spikes, and possible outliers.

11. In terms of CITES, each Party designates a national Management Authority, a Scientific Authority and an Enforcement Authority. The Department of Environmental Affairs (DEA) is the designated Management Authority and the national focal point for CITES. The Scientific Authority of South Africa's Scientific Authority (SAoSA) was established in terms of Section 60 of the National Environmental Management: Biodiversity Act (NEM:BA) and is responsible for, inter alia, monitoring legal and illegal trade in TOPS-listed species and making non-detriment findings on the impact of international trade on threatened species.

12. In 2017, 476 animal species from South Africa are listed in the three CITES Appendices (75 mammals, 105 birds and 71 reptiles), the majority of which are Anthozoa (167 species). An additional 632 South African plant species (221 Orchidales, 207 Euphorbiales, and 127 Liliales) are also listed in CITES Appendices, making the SAoSA's task of making NDFs onerous.

13. South Africa has made significant progress in compiling and issuing NDFs for species which are exported from the country. 13 NDFs have been gazetted by the Minister, 12 NDFs for cycad species and

DEA (2015b). National Environmental Management: Biodiversity Act (10/2004): Amendments to the regulations on Bio-prospecting, access and benefit-sharing. Government Gazette No. 38809, 19 May 2015. Government Printers, Pretoria, South Africa

[15] Ibidem

an NDF for *Hippopotamus amphibius* (hippopotamus). A further 52 NDFs are being compiled for various plant and animal species in the country.

14. In May 2015, 14 NDFs were submitted to the Minister for publication and implementation and an additional 6 NDFs were submitted in December 2015, as follows:

May 2015

- *Ceratotherium simum simum* (white rhinoceros)
- *Hippopotamus amphibius* (hippopotamus)
- *Encephalartos aemulans* (Ngotshe cycad)
- *E. cerinus* (waxen cycad)
- *E. cupidus* (Blyde River cycad)
- *E. dolomiticus* (Wolkberg cycad)
- *E. dyerianus* (Lowveld cycad/Lillie cycad)
- *E. heenanii* (woolly cycad)
- *E. hirsutus* (Venda cycad)
- *E. inopinus* (Lydenburg cycad)
- *E. laevifolius* (Kaapsehoop cycad)
- *E. latifrons* (Albany cycad)
- *E. middelburgensis* (Middelburg cycad)
- *E. msinganus* (Msinga cycad)

December 2015

- *Acinonyx jubatus* (cheetah)
- *Loxodonta africana* (African elephant)
- *Poicephalus fuscicollis suahelicus* (Grey-headed parrot)
- *Poicephalus robustus* (Cape parrot)
- *Smaug giganteus* (sungazer lizard)
- *Sphenicus demersus* (African penguin)

15. In addition, 5 NDFs were published in May 2015 for public input: *Aloe plicatilis* (fan aloe), *Damaliscus pygargus pygargus* (bontebok), *Equus zebra zebra* (Cape Mountain zebra), *Panthera leo* (African lion), *Panthera pardus* (leopard). NDFs that are currently underway include *Leptailurus serval* (Serval) and *Philantomba monticola* (Blue duiker), as well as *Aloe ferox*, 25 species of Encephalartos, four Euphorbia species and *Stangeria eriopus* (Natal Grass cycad).

16. The importance of establishing an NDF under Article IV of the CITES was put clearly by Hutton in 2002: "the solution is to give wildlife value, not to take it away – as is so often the case in CITES. Furthermore, where conservation systems are based on the economic incentives which flow from trade, and where well-managed systems of trade have been established, it is in no-one's interest to see illegal or unethical trade prosper. The conventional wisdom that legal trade inevitably leads to illegal trade is quite clearly wrong." The Government of South Africa firmly adopts the sustainable use of wildlife as a powerful tool for conservation.

Target Species:

17. South Africa has prioritised a number of animal species and plant species in the country. Prioritisation was determined by categorizing species into groups 1 to 4, based on the threat status of the species and the levels of trade in the species. Currently, there are 15 fauna and 55 flora species on this priority list. Similarly, TOPS Regulations have prioritised species based on:

- species of high conservation value or national importance, such as the Southern white rhino, African elephant, leopard and black-footed cat;
- species listed to ensure that they are managed in an ecologically sustainable manner, including species that are likely to hybridise, such as blue and black wildebeest, blesbok and bontebok. Species such as blue wildebeest, blesbok and Burchell's zebra have been added to the list, thus regulating the translocation of species that are likely to cross-breed with other closely-related species; and
- species included in Appendix I of CITES that are not already listed in any other categories.

18. Within these priority and TOPS Regulation species, the GEF 6 project has prioritised a number of species for inclusion in the project, namely big cats, rhino and elephants. An overview is provided for these priority species in this section of the report.

Acinonyx jubatus (Cheetah):

19. Cheetah have been listed in the IUCN Red List as Vulnerable (VU) since 1986 and are included in CITES Appendix I since 1975, to which in 1992 the following annotation was added: "*Annual export quotas for live specimens and hunting trophies are granted as follows: Botswana: 5; Namibia: 150; Zimbabwe: 50. The trade in such specimens is subject to the provisions of Article III of the Convention*".[16]

20. South Africa has developed an NDF for cheetah and submitted the document to the Minister for publication to secure public comment on the findings.

21. Cheetahs have disappeared from large areas of their historical range, with estimates that the species only persists in 10% of their African range.[17] Southern Africa is still one of the species' strongholds with a single panmictic population spanning six countries and totalling an estimated 6,200 animals.[18] The southern African range is estimated to accommodate 4,190 cheetah adults and independent adolescents distributed across ten sub-populations, the largest of which is estimated to include 3,940 individuals found across the large transboundary landscape covering Botswana, Namibia, northern South Africa, south-western Zambia and south-western Mozambique. Most cheetah populations occur on private lands.

22. South Africa is the only cheetah range state to have CITES-registered commercial captive-breeding operations, and is the world's largest legal exporter of live cheetahs. The South Africa CITES Management Authority (in litt. 2014) notes that "the majority of live cheetah exported from South Africa originate from captive facilities not necessarily registered with CITES" but which are registered according to national legislation with provincial authorities. For an Appendix-I captive-bred live animal to be exported from South Africa, it must be "individually and permanently marked in a manner so as to render alteration or modification by unauthorized persons as difficult as possible." Microchips are most commonly employed. Captive breeding is not considered contributory in any significant way to the conservation of wild cheetahs.

[16] Nowell, K. (2014). An Assessment of Conservation Impacts of Legal and Illegal Trade in Cheetahs *Acinonyx jubatus.* Report to the 65th meeting of the CITES Standing Committee. CAT and IUCN SSC Cat Specialist Group.
[17] IUCN SSC. 2007b. Regional conservation strategy for the cheetah and African wild dog in Southern Africa. IUCN Species Survival Commission, Gland, Switzerland.
[18] Durant, S., Mitchell, N., Ipavec, A. & Groom, R. 2015. *Acinonyx jubatus*. The IUCN Red List of Threatened Species 2015: e.T219A50649567. http://dx.doi.org/10.2305/IUCN.UK.2015-4.RLTS.T219A50649567.en. Downloaded on 20 September 2017.

Panthera pardus (Leopard):

23. Leopards are listed as Vulnerable (VU) in the IUCN Red Lists, based on loss of habitat and prey, and exploitation.[19] *Panthera pardus* is listed in CITES Appendix I (2013).

24. Leopards are widely distributed across Africa, with southern Africa believed to have the healthiest leopard populations of their entire range. The South Africa leopard populations can be found along the country's boundaries with Namibia, Botswana, Zimbabwe and Mozambique. Leopards are also located in the Cape Province of the country. The highest population estimates for mature individuals is between 1688-6979 (see Table 1 below).

Table 1: Population estimates for the leopard *Panthera pardus* in South Africa[20]

Province	Population size (minimum)	Population size (maximum)	Mature population size (range)
Limpopo	1,682	7,168	1,009–4,301
Mpumalanga	338	1,851	203–1,111
North West	174	255	104–153
Gauteng	25	31	15–19
Northern Cape	68	262	41–157
Free State	8	26	5–16
KwaZulu-Natal	247	1,120	148–672
Western Cape	200	619	120–371
Eastern Cape	71	299	43–179
South Africa (total)	**2,813**	**11,631**	**1,688–6,979**

Panthera leo (Lion):

25. The classification of the lion as Vulnerable (VU) in the IUCN Red List masks the dichotomy of increasing sub-populations in four southern African countries, including South Africa, while the remainder of the lion's range in Africa has observable declines in sample sub-populations.[21] Accordingly, listing of the species may differ in Red Lists, with lions in South Africa categorised as

[19] Stein, A.B., Athreya, V., Gerngross, P., Balme, G., Henschel, P., Karanth, U., Miquelle, D., Rostro-Garcia, S., Kamler, J.F., Laguardia, A., Khorozyan, I. & Ghoddousi, A. 2016. *Panthera pardus*. (errata version published in 2016) *The IUCN Red List of Threatened Species 2016:* e.T15954A102421779. http://dx.doi.org/10.2305/IUCN.UK.2016-1.RLTS.T15954A50659089.en. Downloaded on 01 October 2017.

[20] *from Swanepoel et al. 2014. Source: The Red List of Mammals of South Africa, Lesotho and Swaziland*

[21] Bauer, H., Packer, C., Funston, P.F., Henschel, P. & Nowell, K. 2016. *Panthera leo*. (errata version published in 2017) The IUCN Red List of Threatened Species 2016: e.T15951A115130419. http://dx.doi.org/10.2305/IUCN.UK.2016-3.RLTS.T15951A107265605.en. Downloaded on 02 October 2017

Least Concern (LC) on the national Red List.[22] The lion is listed as Vulnerable in South Africa's list of TOPS and it is protected under CITES Appendix II. In July 2013, the Scientific Authority of South Africa carried out an NDF for the lion in terms of the CITES.[23]

26. South Africa developed a Biodiversity Management Plan (BMP) for the lion in 2014. Lions have been reintroduced into 45 small, fenced areas (<1000 km^2) in the country, including private reserves, conservancies, protected areas, national and provincial parks. The BMP indicates that, apart from the 3000 wild lions in the above-mentioned areas, it is estimated that there are approximately 6000 captive lions in South Africa, which are used for breeding, hunting, petting-tourism and walking with lions.

27. The South African lion population is estimated to be 9100, of which 6188 (68%) are held in captivity (up from 5800 in 2013) and 2912 (32%) are in reserves. The GoSA took a decision to allow for the captive breeding of lion species, with the Free State province the epicentre of the captive breeding lion industry, with approximately 3000 lions in 70 breeding and two hunting facilities. The North-West province has 2200 captive lions in 64 hunting reserves.[24] Lions are found in most countries of sub-Saharan Africa. Bauer *et al* (2016) estimates that the 16 fenced African sub-populations of lions (10 in South Africa) have grown by 29% since 1993, most having already reached their presumed carrying capacities by 2013.

28. The lion is a powerful and omnipresent symbol, and its disappearance would represent a great loss for the traditional culture of Africa. However, communities living in areas bordering on conservation areas which protect lion populations experience many challenges with the species, including loss of domestic cattle, which causes conflicts with stockbreeders and poses a danger to these communities.

29. Between 1999 and 2008, South Africa reported in its Annual Report to CITES (based on permits issued), the export of the parts of at least 5,186 lions [comprising trophies (3 983), skins (630), live (514) and bodies (59)]. Similarly, in 2009 and 2010, 833 and 682 lion trophies were reported exported from South Africa respectively, more than double the combined export from other African countries.[25] According to CITES Annual Reports, there has also been a demonstrable increase in the reporting of export of lion bones from South Africa, with 645 bones/sets of bones reported as exported in 2010. In 2013, in response to a ministerial enquiry, the DEA released data on the permits issued for export of lion from South Africa to China, Lao PDR and Viet Nam. The data shows that in 2011 to 2012 at least 1160 lions trophies and 626 skeletons were exported from the country (Table 2).

[22] Child *et al.* In prep

[23] Funston, P.J & Levendal, M. (2015). Biodiversity Management Plan for *Panthera leo* (lion) in South Africa

[24] The actual number in these two Provinces fluctuates due to the large number of lion translocations from breeding facilities to hunting reserves.

[25] Lindsey, P. Alexander, R., Balme, G., Midlane, N. and Craig, J. (2012a). Possible relationships between the South African captive-bred lion hunting industry and the hunting and conservation of lions elsewhere in Africa. *South African Journal of Wildlife Research* 42(1): 11–22 (April 2012) and DEA (2015c). National Environmental Management: Biodiversity Act (1012004): Biodiversity Management Plan for African Lion（*Panthtra Leo*). Government Gazette, No. 38706, 17 APRIL 2015

Table 2: Ministerial Figures for CITES export permits issued in South Africa in 2011 and 2012 for lion body parts[26]

Category	2011	2012
Live	39	183
Skins	81	93
Bones	55 kg	739 kg
Trophies	313	847
Bodies	40	10
Skulls	181	143
Skeletons	512	114

30. All lion populations in South Africa are fenced.

Ceratotherium simum simum (White Rhinoceros):

31. White rhino is listed as Near Threatened (NT) in the IUCN Red List, is on CITES Appendix II, and is protected in the TOPS Regulations. The TOPS Regulations restrict the activities of selling or otherwise trading in, buying, receiving, giving, donating or accepting as a gift, or in any way acquiring or disposing involving horns, and any products of derivatives of the horns. The reason provided for the listing of this species as Near Threatened in the IUCN Red List *is due to the continued and increased poaching threat and increasing illegal demand for horn, increased involvement of organised international criminal syndicates in rhino poaching (as determined from increased poaching levels, intelligence gathering by wildlife investigators, increased black market prices and apparently new non-traditional medicinal uses of rhino horn).*[27]

32. As of 31 December 2010, there were an estimated 20,170 white rhino in the wild. The majority (98.8%) of white rhino occur in just four southern African countries, namely South Africa, Namibia, Zimbabwe and Kenya.[28] The population in South Africa alone comprises 93.2% of the Southern white rhino population, conserving 18 800 individuals in 2010 (largely on private land).

Diceros bicornis (Black Rhinoceros):

33. The black rhino has been listed as Critically Endangered (CR) in the IUCN Red List since 1996, and has been on CITES Appendix I since 1977.[29] As a result, all international commercial trade in Black

[26] DEA (2015c). National Environmental Management: Biodiversity Act (1012004): Biodiversity Management Plan for African Lion（*Panthtra Leo*). Government Gazette, No. 38706, 17 APRIL 2015

[27] Emslie, R. 2012. *Ceratotherium simum*. The IUCN Red List of Threatened Species 2012: e.T4185A16980466. http://dx.doi.org/10.2305/IUCN.UK.2012.RLTS.T4185A16980466.en. Downloaded on 26 September 2017.

[28] AfRSG data 2011

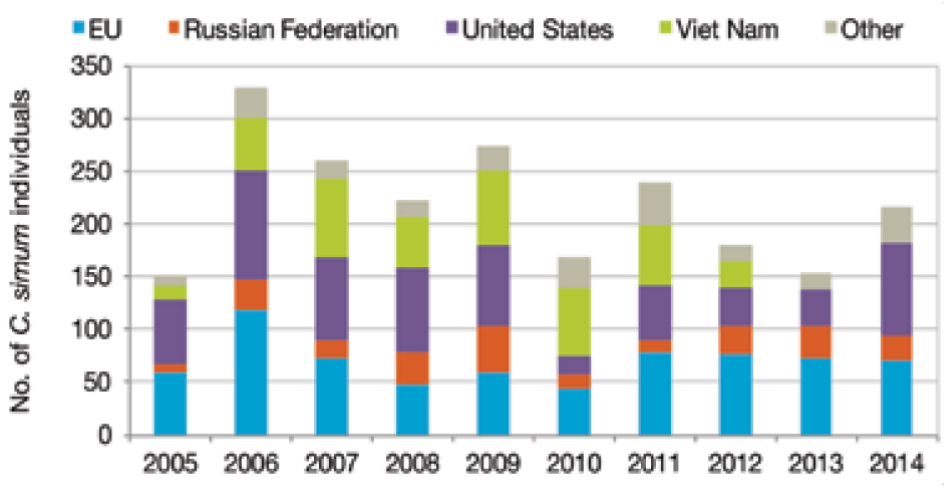
[29] Emslie, R. 2012. *Diceros bicornis*. The IUCN Red List of Threatened Species 2012: e.T6557A16980917. http://dx.doi.org/10.2305/IUCN.UK.2012.RLTS.T6557A16980917.en. Downloaded on 01 October 2017.

Rhinos and their products is prohibited. The black rhino has declined by an estimated 97.6% since 1960 with numbers bottoming out at 2,410 in 1995, mainly as a result of poaching. Since then, numbers have been steadily increasing at a continental level with numbers doubling to 4,880 by the end of 2010.

34. Strategically, black rhinos are managed by a range of different stakeholders (private sector and state) in many countries, thereby increasing their long-term security. Since CITES CoP13, limited sport hunting quotas have been approved of up to 5 surplus males annually (to further genetic and demographic conservation management goals) for South Africa and Namibia (the two range states with the largest populations). In addition to local and national initiatives, there are a number of regional African rhino conservation initiatives: the South African Development Community (SADC) Regional Programme for Rhino Conservation, the SADC Rhino Management Group, and the Southern African Rhino and Elephant Security Group/Interpol Environmental Crime Working Group. The IUCN SSC African Rhino Specialist Group (AfRSG) is the continental coordinating body for rhino conservation in Africa.

35. Black rhino numbers at a continental level were 4,880 by December[30]. As with white rhinos, four range states (South Africa, Namibia, Zimbabwe and Kenya) currently conserve the majority (96.1%) of remaining wild black rhino.

36. **Rhinos.** Legal trade in rhinos (*Ceratotherium simum* and *Diceros bicornis*) from the SADC Region comprised an average of 215 *Ceratotherium simum simum* (Southern white rhinoceros), 5 *C. simum* and 5 *Diceros bicornis* individuals per year during the 10-year review period 2005-2014[31]. All trade reported as *C. simum simum* was from South Africa, except for one export from Namibia. Trade reported at the species level was predominantly from Namibia. Nearly 90% of the trade was imported by the EU, the United States, Viet Nam and the Russian Federation (32%, 29%, 18% and 11% respectively; see Figure 2).



[30] Emslie. R.H. 2008. Rhino population sizes and trends. Pachyderm 44 (January-June), 2008, p 88-95; Emslie, R. H., Milledge, S., Brooks, M., Strien, N. J., van and Dublin, H. 2007. African and Asian Rhinoceroses – Status, Conservation and Trade. *A report from the IUCN Species Survival Commission (SSC) African and Asian Rhino Specialist Groups and TRAFFIC to the CITES Secretariat pursuant to Decisions 13.23-25 taken at the 13th meeting of the Conference of the Parties, and further deliberations at the 53rd and 54th meetings of the Standing Committee* and AfRSG data (2011)

[31] WCMC (2015).

Figure 2: Number of *Ceratotherium simum* (including subspecies *C. simum simum*) individuals by import market, as reported by SADC exporters 2005-2014.[32]

37. The CITES Trade database shows shipments for 370 horns where the purpose for rhino horn exports was reported as 'H' (Hunting trophy) on a permit. More than half of the horns were imported by Viet Nam (54%), and 14% were imported by Thailand.

Loxodonta africana (African Elephant):

38. The African elephant is listed as Vulnerable (VU) in the IUCN Red List and has been listed in CITES Appendix I since 1989.[33] However, the populations of the following Range States were transferred to Appendix II, with specific annotations: Botswana (1997), Namibia (1997), South Africa (2000) and Zimbabwe (1997). These annotations have been recently replaced by a single annotation for all four countries, with certain specific sub-annotations for the populations of Namibia and Zimbabwe.

39. In 2016 there were an estimated 18,841 elephants in South Africa, found largely in the Kruger National Park (KNP), with smaller populations in small fenced areas on privately owned land. Before 2008, there was little elephant poaching in South Africa, but this has since changed with increasing reports of poaching, particularly in the KNP. Following a decision at CITES CoP 14 (The Hague, 2007), the African Elephant Action Plan was developed by the 38 African elephant range States, including South Africa, in recognition of the threats faced by the African elephant.[34] Four priorities of the Action Plan include: (1) reducing the illegal killing of elephants and the illegal trade in elephant products; (2) increasing awareness among key stakeholders about elephants; (3) strengthening range States' knowledge about African elephant management; and (4) improving local communities' cooperation and collaboration. South Africa developed an NDF for its elephant population, which has been submitted to the Minister of Environmental Affairs for publication and public comment. Once the NDF has been reviewed by the public and relevant comments addressed, the Minister will publish the final NDF in the government gazette for adoption.

40. South Africa does not have a national strategy for elephants (unlike its neighbouring countries Botswana, Mozambique, Namibia, Zambia and Zimbabwe).[35] A southern African elephant range State sub-regional strategy was developed in 2007 and South Africa carried out is own comprehensive national assessment in 2008, which estimated the total wild population to be approximately 26,896 individuals of which 22,222 and 4,674 occur on state and private lands respectively (Figure 3). Kruger National Park (KNP) (17,086 animals) and the agglomeration of private reserves adjoining KNP (3,930 animals) contains the largest African elephant subpopulation in the assessment region, with an estimated 21,016 animals, of which 7,986 are inferred to be mature.

[32] Source: CITES Trade Database, UNEP-WCMC

[33] Blanc, J. 2008. *Loxodonta africana*. The IUCN Red List of Threatened Species 2008: e.T12392A3339343. http://dx.doi.org/10.2305/IUCN.UK.2008.RLTS.T12392A3339343.en. Downloaded on 01 October 2017.

[34] CITES (2010b). COP 15 Inf. 68. Convention on the International Trade in Endangered Species of Wild Fauna and Flora. Fifteenth meeting of the Conference of the Parties. Doha (Qatar), 13-25 March 2010. African Elephant Action Plan.

[35] AfESG website https://www.iucn.org/ssc-groups/mammals/african-elephant-specialist-group/strategies-management-plans/southern-africa

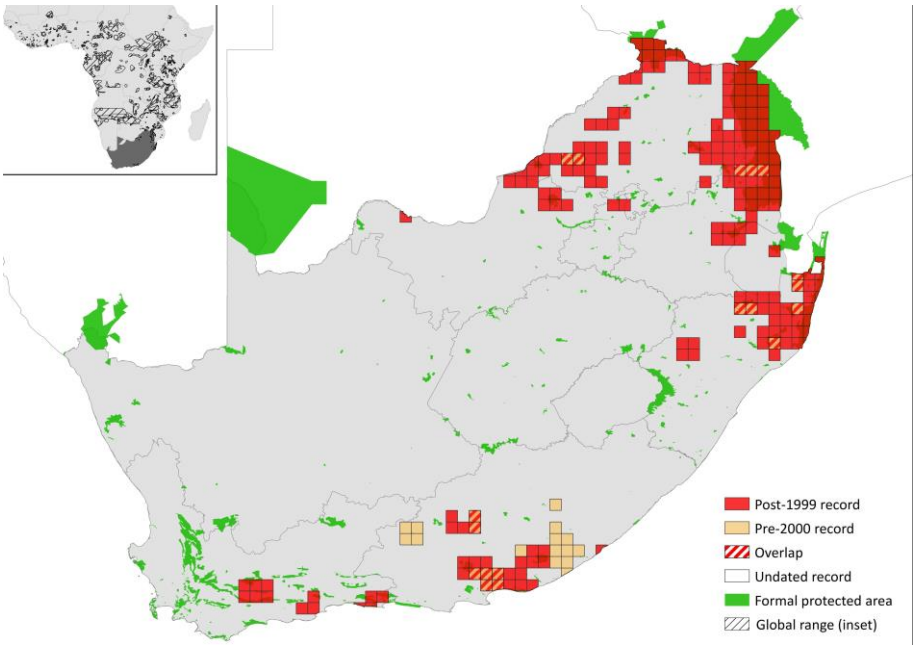


Figure 3: Distribution record for the African Elephant *Loxodonta africana* within the national assessment region[36]

41. Since 2006, elephant numbers have increased by approximately 41% within the assessment region. Furthermore, since the 1980s, considerable effort has been made to translocate elephants to new properties, thus expanding the current range (both extent of occurrence and area of occupancy). A national summary of elephant populations in the nine Provinces was prepared during the Red List Assessment and provides the data baseline for the SAoSA to monitor and report to the Government of South Africa (as the designated CITES Management Authority). Table 3 shows the population size estimate for the African elephant in South Africa.

Table 3: Summary of population size estimates for African elephant (*Loxodonta africana*) in South Africa

Province	Formally protected		Private		Total	
	No of sites (2014)	Sub-population total (2013–2015)	No of sites (2014)	Sub-population total (2013–2015)	No of sites (2014)	Sub-population total (2013–2015)
Eastern Cape	2	663	9	221	11	884
KwaZulu-Natal	5	1,299	15	574	20	1,873
Gauteng	0	0	1	13	1	13
Limpopo	5	18,371	25	2,558	30	20,929
Mpumalanga	3	610	5	1,263	8	1,873
North West	2	1,246	2	16	4	1,262
Northern Cape	0	0	0	0	0	0
Western Cape	1	1	2	29	3	30
Free State	0	0	0	0	0	0
Total	**18**	**22,190**	**59**	**4,674**	**77**	**26,864**

[36] Source: Red List Assessment *Loxodonta africana*

42. All the target species are faunal, but it is important to note that the legal trade also includes flora species. Of the plant species affected by trade, several are endemic to South Africa and others are represented by significant populations, for example:

- 37 species of *Encephalartos*, 31 are endemic and 4 are near-endemic
- The major Aloe species in trade are endemic (*A. ferox* and *A. dichotoma*), while *A. pillansii* is endemic to SA and Namibia
- Sought-after medicinal species in global trade include Hoodia and *Harpagophytum* (Devil's Claw) that are endemic to South Africa, Namibia and Botswana, the endemic *Pelargonium sidoides* (South African geranium) and wild ginger (*Siphonochilus* species).

43. Cycads are a globally distributed group of plants, with approximately 60 species found in the SADC countries; all but two of these are in the genus Encephalartos. South Africa has the highest proportion of endemic cycads on the continent, containing approximately half of SADC single-country endemics. All cycads are listed on Appendix II except *Cycas beddomei* which is listed on Appendix I. 41 of the 60 SADC native cycads are categorized as Vulnerable, Endangered or Critically Endangered; two South African species have become Extinct in the Wild as a result of illegal harvesting of wild plants. Cycads are the most threatened plant group in South Africa. Uses of cycads include ornamental purposes (live plants), ornamental flower arranging (leaves), as a food source (the starchy pith or seeds) and as traditional medicine (bark and stems). Between 2005-2014, the total value of cycad exports from the SADC region was estimated to be USD 7.7 million, with the majority comprising live plants.

44. As noted above, many species of cycad in South Africa are threatened by the trade for horticultural and medicinal purposes. The demand for wild-collected plants is especially high given the scarcity of cycads (particularly *E. latifrons*), which is extremely sensitive to removal of adults, while the harvest of seeds has relatively little impact on population dynamics. The SAoSA has produced a Biodiversity Management Plan (BMP) for 11 critically endangered and four endangered *Encephalartos* cycad species (see Section 2.4.2 for information on other BMPs).

Land Reform and Community Participation

45. The history of conservation in South Africa is tied closely to its political history and control over access to land and natural resources. The creation of the Transvaal Game Reserve in 1923 established South Africa's first National Park, subsequently renamed the Kruger National Park in terms of the National Parks Act of 1926. Conservation regulations were developed to counter the over-exploitation of wildlife resources through excessive hunting by white settlers. The creation of parks often resulted in communities being forcibly relocated to new areas, or losing their land. Reserves were fenced off, and the communities steadily lost their rights and access to resources within the reserves, and became *de facto* poachers merely to survive. The notorious Land Acts of 1913 and 1936 legislated this divide, and left indigenous people with only 13% of the total land area in South Africa, often marginal lands that were unsuitable for agriculture etc.

46. The apartheid era reinforced the division between communal managed areas and formally managed protected areas. Homelands were created and management of the protected areas became fragmented. Some protected areas became the responsibility of homeland governments, with each having its own legislation and management authority. Relationships between communities and government were strained due to the exclusion of communities from protected areas. Since 1994, when the first post-apartheid elections were held, there has been a shift from the preservationist and

segregationist approach under apartheid to a focus on sound environmental management, integrating human rights issues with access to resources, equity and sustainability. This has resulted in biodiversity and conservation policy being successfully repositioned within a new democratic dispensation.

47. South Africa has developed and maintained a proud conservation record and is committed to enhancing its role as a global conservation leader, as well as strengthening its role in influencing decision-making processes made by CITES to ensure that the Convention fulfils its objectives and aims. South Africa recognises that CITES Decisions and species-listings on the Appendices can impact on rural community livelihoods. Such CITES Decisions have to ensure long-term species conservation strategies that will have a positive impact on job creation, skills development and entrepreneurship. Accordingly, South Africa's conservation management interventions aim to enhance livelihoods of communities together with conservation and sustainable use of the country's natural resources for the benefit of current and future generations.

Kruger National Park:

48. Kruger National Park (KNP) is one of the largest protected areas in Africa. It covers an area of 19,488 km^2 in the provinces of Limpopo and Mpumalanga in northeastern South Africa, and extends 360 kilometers from north to south and 65 kilometers from east to west. The two provinces of Limpopo and Mpumalanga lie to the west and south of the Kruger National Park respectively. To the north of the park is Zimbabwe, and to the east is Mozambique. It is part of the Great Limpopo Transfrontier Park (GLTP), a peace park that links Gonarezhou National Park in Zimbabwe with the Limpopo National Park in Mozambique. The park is also part of the Kruger to Canyons Biosphere (K2C), an area designated by the United Nations Educational, Scientific and Cultural Organization (UNESCO) as an International Man and Biosphere Reserve. Internationally, KNP functions as a major tourism destination with over 1 million visitors annually, and serves as an important socioeconomic and ecological component of the GLTP.

49. Fauna and Flora: Plant life in the park consists of four main areas: (i) Thorn trees and red bush-willow veld; (ii) Knob-thorn and marula veld; (iii) Red bush-willow and mopane veld; and (iv) Shrub mopane veld. Out of the 517 species of birds found at KNP, 253 are residents, 117 non-breeding migrants and 147 nomads. All the Big Five game animals (elephant, rhino, buffalo, leopard and lion) are found at KNP, and has a total of 147 species of large mammals. KNP houses 114 species of reptile, including black mamba, African rock pythons and 3,000 crocodiles. Thirty-three species of amphibians are found in the Park, as well as 50 fish species.

50. The KNP falls within three District Municipalities: Vhembe, Mopani (both in Limpopo Province) and Ehlanzeni in Mpumalanga Province (Figure 4). Accordingly, KNP's Park Management Plan has to align with planning instruments at District level, i.e. the regional Integrated Development Plan (IDP), Local Economic Development Plan (LED) and Spatial Development Framework (SDF), from both a legislative perspective and to promote sound co-operative governance and leverage sustainable and responsible local and regional socio-economic opportunities from the conservation estate.

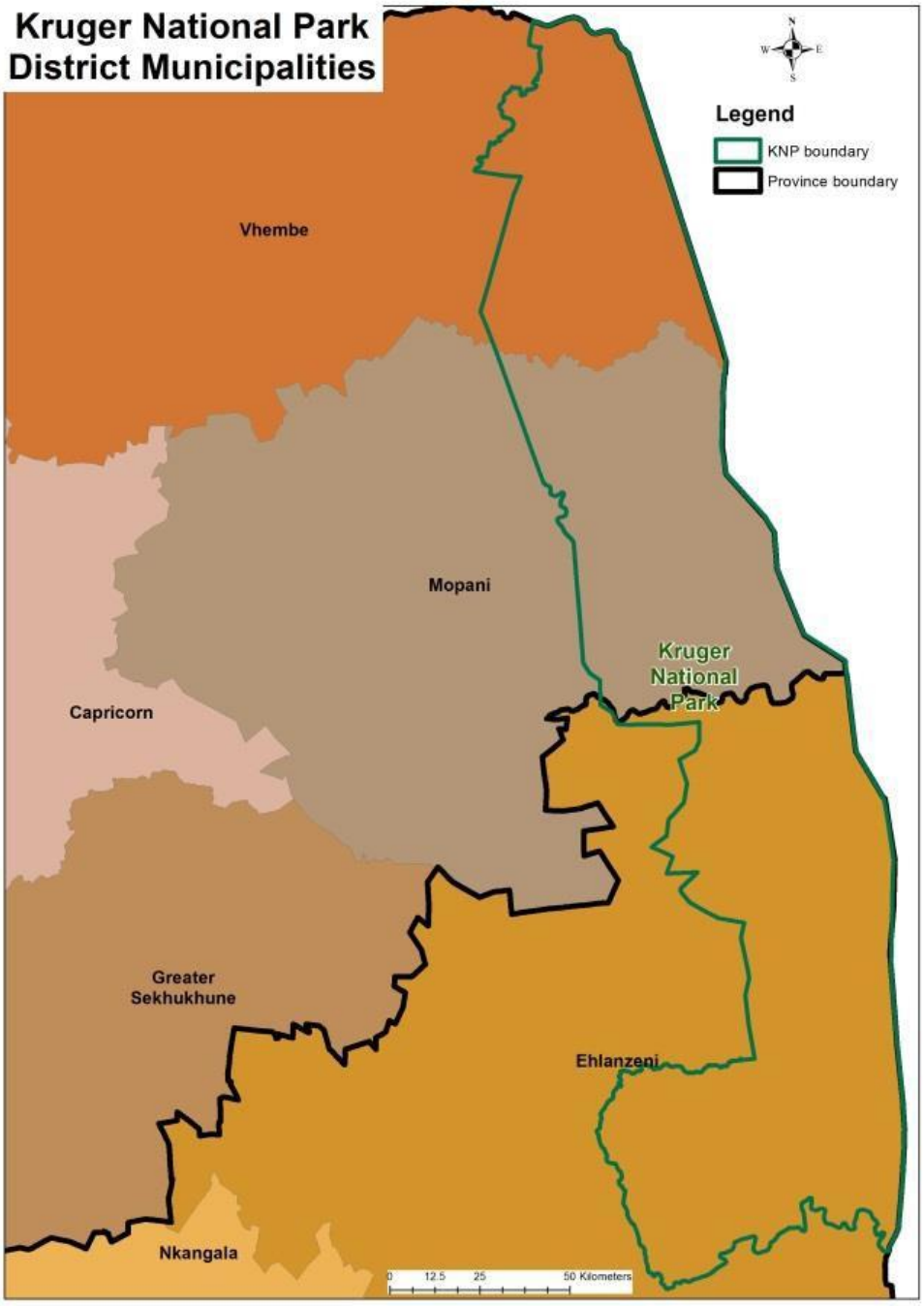


Figure 4: Diagram showing KNP within the three District Municipalities of Vhembe, Mopani and Ehlanzeni bordering the KNP

51. The KNP is also bounded by 8 local municipalities (Figure 5). As with the district municipalities, Park Objectives must also be aligned with municipal IDPs, LEDs and SDFs. The local municipalities are as follows: Mpumalanga Province – Nkomazi, Mbombela, Bushbuckridge; Limpopo Province – Maruleng, Ba-Phalaborwa, Greater Giyani, Thulamela, Mutale.

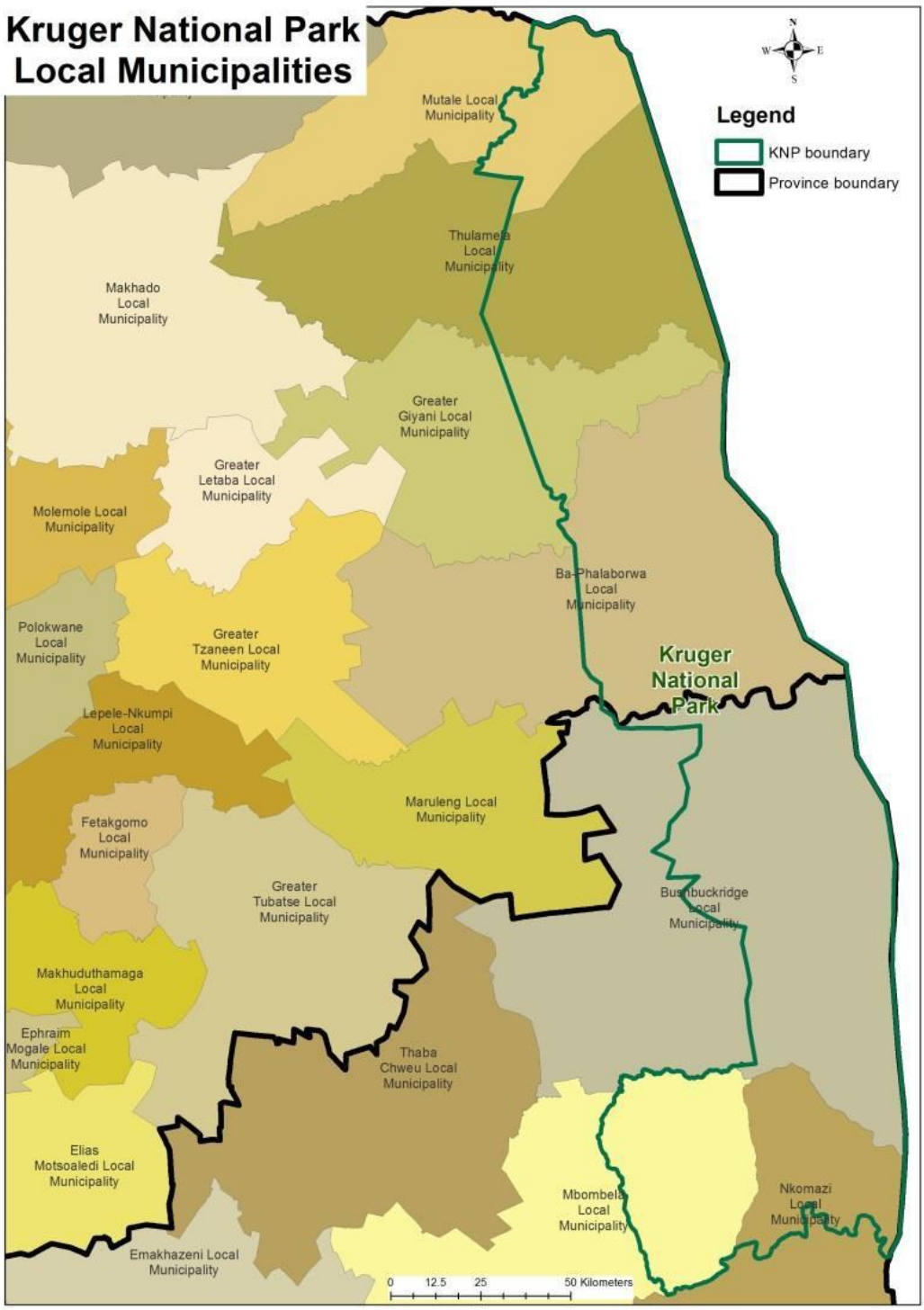


Figure 5: Diagram showing the eight local municipalities bordering the KNP (seven of which are demarcated into the KNP)

52. The eight municipalities west of the Kruger NP is home to over two million people living in densely populated communities who experience high incidence of poverty, unemployment and food

insecurity.[37] Anthony (2007)[38] investigated the attitudes towards the park by 240 households from thirty-eight communities located directly west of Kruger. His results, though dated, revealed that 72.9% of respondents had never been inside the park. Despite this, the majority of participants in the study expressed positive responses concerning their perception of the park (88.7%), their household's close proximity to it (70.8%) and park's effect on the community (59.6%). Additionally, slightly less than half (43.3%) believed the park authorities did not consider local perspectives and desires in their decision-making.

2.2. Global significance

53. This GEF project will provide global environmental benefits in terms of the Biodiversity Focal Area BD 2-Program 3

Biodiversity Program 2: Expanding the reach
Focal Area Objective 2: Reduce threats to globally-significant biodiversity.
Focal Area Program 3: Preventing the extinction of known threatened species

54. South Africa (SA) has globally significant populations of white and black rhino and important populations of elephant, African lion and cheetah (as source populations for other countries). It has many endemic species in trade that are globally significant, such as bontebok, black wildebeest, pangolin, 39 species of cycad and Pachypodium succulent plants. Approximately 1,300 species found in South Africa are listed on the CITES Appendices due to risks associated with international trade. Species often end up listed on the Appendices due to poor management and oversight, as well as overexploitation. Illegal trade becomes an issue when the management and regulatory systems fail to stop over-exploitation. The Scientific Authority of South Africa (SAoSA) has identified 49 species as very high priority not only because of their threat status, but also due to the high levels of recorded trade. Improved management of SA's wildlife trade will yield global biodiversity benefits.

55. The WWF 2016 Living planet index noted that biodiversity had declined by up to 60% since 1970 and that overexploitation was the 3rd highest threat to terrestrial species (notably reptiles, mammals and birds) and the main threat to marine species (fish, reptiles and mammals).

56. The 2015 United Nations (UN) Sustainable Development Goals (SDGs) have an explicit focus on protecting the integrity of ecosystems. They call "to end poaching and trafficking of protected species of flora and fauna and address both demand and supply of illegal wildlife products." SDG 14 calls for an end to illegal and unreported fishing, and destructive fishing practices, while SDG 15 focuses on protecting, restoring and promoting sustainable use of terrestrial ecosystems and 'take urgent action to end poaching and trafficking of protected species of flora and fauna and address both the demand and supply of illegal wildlife products.'

57. **Locally** - In South Africa, protecting rhinos helps protect other species including elephants, buffalo, and small game. Rhinos, elephants and lions are not only ecologically important, but they can provide a source of revenue for local communities given that other 'valuable' plants and animals exist in almost all wildlife conservation areas. The 'Big 5' contribute to economic growth and sustainable development as they are a major drawcard for the tourism industry, which creates job opportunities and provides tangible benefits to local communities living alongside wildlife.

[37] Stickland-Munro, 2010
[38] Anthony, B. (2007). *The dual nature of parks: Attitudes of neighbouring communities towards Kruger National Park, South Africa.* Environmental Conservation, 34(3), 236 – 245.

58. The combination of three Components to this GEF project ensures that a suite of critical approaches is made and contributes to global efforts to combat illegal wildlife trade, i.e.

i. Ensuring that the SAoSA is strengthened and new personnel are trained in effective compilation and analysis of biological and permit data for species and wildlife trade monitoring
ii. The potential to create a functional national e-permitting system for CITES-listed species for enhanced decision-making and traceability of wildlife in trade, that can also communicate with other CITES Parties
iii. Enhanced participation of local communities living alongside wildlife in conservation and anti-poaching activities for improved livelihoods.

59. The conservation benefits generated through Component 3 of this GEF project will mainly accrue to rhino populations in the Kruger National Park (1,948,500 ha), where the majority of rhino poaching is currently occurring within SA. However, spin-off benefits will also be provided to other PAs in SA where rhino populations (and poaching) occur, as well as in the surrounding SADC region given that rhinos are regularly exported or translocated for re-introductions into PAs in the SADC region (and thus depend on a healthy rhino population in SA's National Parks and Reserves). Similarly, for the African elephant and the African lion (which have been translocated from South Africa to Rwanda).

60. On the international arena, South Africa has been encouraging cooperation between CITES Parties to address wildlife crime and has initiated engagements with several countries on law enforcement, information exchange, technology use, capacity building, research and awareness (e.g. bilateral agreements and MoUs between South Africa and MZ, VN, BW, CN, Gambia, Chad etc.). In addition, in 2000, South Africa and its neighbouring partners established the Great Limpopo Trans-Frontier Park (GLTP) and the further development of the Great Limpopo Trans-Frontier Conservation Area (GLTFCA). The long-term plan of the GLTFCA is that each country would have an operation centre with communication capabilities linked to centres in other countries (land lines, mobile phone coverage, radio communication and satellite communication in accordance with the existing Protocol on Transport, Communications and Meteorology of the Southern African Development Community (SADC) Region).[39]

61. The GEF project is one of 20 countries contributing to the larger Global Wildlife Program and, accordingly, the benefits arising from this GEF project will have larger global benefits through collaboration and coordination of efforts with the GWP. In addition, the project will contribute to the effective implementation of CITES, which is the leading international entity dealing with international trade in endangered species of wild fauna and flora. The Convention has formed alliances with other UN agencies to assist with implementation, such as the MoU signed with four other inter-governmental organisations that make up ICCWC, i.e. INTERPOL, the United Nations Office on Drugs and Crime (UNODC), the World Bank (WB), and the World Customs Organisation (WCO), ensuring that a global collaboration and coordination takes place to combat illegal trafficking in wildlife.

2.3. Threats, root causes and barrier analysis

Threats:

62. Poaching and illegal trafficking internationally are reaching unprecedented levels, threatening the long-term survival of populations of numerous keystone species. Tens of thousands of elephants have been slaughtered for their ivory, and rhinos are poached for their horns. Although most illegal wildlife trade occurs at the local and national level, large volumes of international trade also take place

[39] https://www.environment.gov.za/speech/molewa_rhinopoaching_citescop16_iccwc

annually.[40] The species exploited in this trade include endangered mammals, the most lucrative trade being in animal products such as elephant ivory, rhinoceros horns, exotic birds, abalone and reptiles. The value of the global illegal wildlife trade has been estimated at between US$5-US$20 billion per year.[41] This global trade and demand in wildlife products has impacted South Africa and the country is facing increasing challenges with overexploitation and illegal wildlife trade.

63. South Africa's large mammals and other endangered species are being threatened by an illegal wildlife trade that continues to escalate. Rhinos are being poached inside National Parks and in private reserves. The KNP has been the hardest hit by poaching of rhinos, since it has the highest concentration of white rhino. Elephant poaching has resurfaced after a hiatus of more than a decade. Lion bone is being sourced as a replacement for tiger bone and body parts that have become difficult to source in Asia. In addition to the publicised illegal trade in South Africa's rhinos and elephants, an estimated 1000 snakes, tortoises and lizards are smuggled out of SA every month to satisfy the pet trade, whilst a multi-billion Rand illegal trade in cycads has led to the extinction of 5 endemic species in the wild. An estimated 1,000 snakes, tortoises and lizards are smuggled out of South Africa every month[42]. Further, it is alleged that illegally caught wild birds are used in the captive breeding industry in South Africa. A recent United Nations Office of Drugs and Crime (2016) report identified the *Psittacus erithacus* (African Grey Parrot) as the most seized single parrot species in seizures of illegal trade over the period 2007-2014. South Africa has a large legal bird trade market, largely based on export of captive-bred birds with *Psittacus erithacus* export making up a large percentage of the export. Over-exploitation and illegal wildlife trade (IWT) place additional burdens on the country as it needs to re-direct conservation and monitoring funds to enforcement activities to protect iconic species from which limited, if any, legal economic benefits accrue. Over-exploitation of species also can lead to species extinction and ultimately threaten ecosystems function and ecosystem services provided to humans.

Threats to Target Species:

64. Rhino poaching statistics for the past decade (2006-2016) have increased from less than a hundred in 2006 to a peak of 1,215 in 2014 dropping to 1,054 in 2016 (see Figure 5).[43] The reduction in numbers poached in 2015 and 2016 indicate that the increased protection efforts are starting to show dividends, particularly in the Kruger National Park. However, the losses are still extremely high and there has been a rise in poaching incidents outside KNP, where poaching gangs are extending their geographic coverage, most notably in Kwa-Zulu Natal, as well as across regional borders. The number of rhinos poached in 2017 is reported monthly by the Minister of Environmental Affairs; the total number poached from January to June 2017 was 529, of which 243 were poached in KNP.

65. A recent report by TRAFFIC[44] reported on emerging evidence of the changing dynamics of rhino horn trafficking from Africa to Asia, where rhino horn is being processed in South Africa into beads, bracelets, bangles and other commodities. This signifies a possible shift in the *modus operandi* of criminals trafficking rhino horn, where smaller items are easier to smuggle out of the country and the demand is 'morphing into a luxury product trade'.[45]

[40] Challender, D. and MacMillan, D. (2014). Poaching is more than an Enforcement Problem. *Conservation Letters*, September/October 2014, 7(5), 484–494
[41] https://www.thegef.org/topics/illegal-wildlife-trade
[42] EMS (2016)
[43] https://www.savetherhino.org/rhino_info/poaching_statistics
[44] Pendants, powder and pathways – a rapid assessment of smuggling routes and techniques used in the illicit trade in African rhino horn. TRAFFIC. 2017
[45] Julian Rademeyer, op.ed. The New Age. Friday 29 September 2017

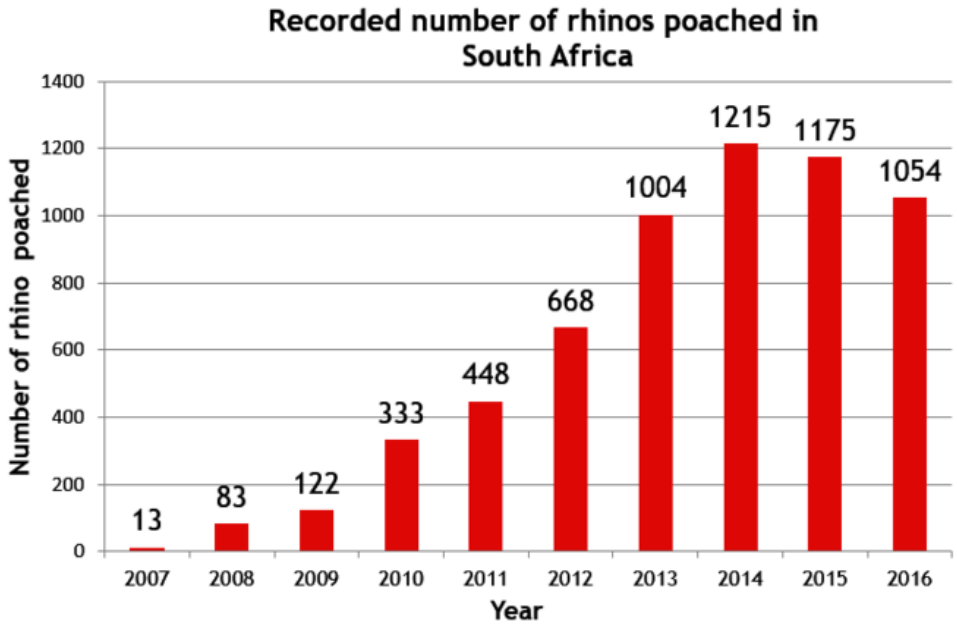


Figure 6: Rhino Poaching Statistics from 2007 to 2016[46]

66. In 2017, 30 elephants were poached in the Kruger National Park. In 2016, 46 elephants had been illegally killed in the Park, up from 22 elephants killed within the park in 2015. In 2014, only 2 elephants were killed illegally. From 2000-2013, no elephants had been poached in the KNP. Poachers are clearly targeting the African elephant in KNP as an illegal source of ivory. The SANParks Annual Report 2016 notes that the incidents of elephant poaching are occurring primarily in the northern regions of KNP; this is an area where rhino populations are low, which probably accounts for the shift in illicit activities to elephants.

67. Although the poaching of rhinoceros and elephants has taken centre stage, poaching of cycads has decimated local populations and CITES Parties have queried South Africa's exports of *Pachypodium* species (as well as exports of hippopotamus, lion, leopard, cranes). Lack of scientific data to support trade decisions has led to suspensions by the CITES Parties for trade in *Pachypodium* and cycads, thus highlighting the need for improved scientific governance and oversight of wildlife trade. Two of the three South African cycads extinctions in the wild were caused by illegal harvesting of wild populations; illegal harvesting of adult plants has also caused declines in most *Encephalartos* populations in South Africa.

68. Cheetahs are hunted in some areas for their skins, as well as for cultural uses. Live cheetah are also traded illegally, with the destination of these animals primarily to the Gulf States. There seem to be two principal markets for illegal live cheetahs: southern Africa (largely supplied within the region) and the Middle East (largely supplied from East Africa). The latter is more significant and lucrative.

69. The primary threats to leopards are anthropogenic. Evidence suggests that leopard populations have been dramatically reduced due to increased illegal wildlife trade,[47] excessive harvesting for

[46] Source: Save the Rhino webpage

[47] Datta, A., Anand, M.O. and Naniwadekar, R. (2008). Empty forests: Large carnivore and prey abundance in Namdapha National Park, north-east India. Biological Conservation141(5): 1429-1435.

ceremonial use of skins,[48] and poorly managed trophy hunting,[49] among other threat. Preliminary data suggest that the illegal trade in leopard skins for cultural regalia is extensive in southern Africa. Poorly managed trophy hunting adds pressure on local leopard populations. The concern about unsustainable trophy hunting has increased with South Africa banning trophy hunting for 2016.

70. The main threats to lions are indiscriminate killing (primarily as a result of retaliatory or pre-emptive killing to protect human life and livestock) and prey-base depletion. Illegal trade in lion body parts for medicinal purposes is considered a threat to African lion subpopulations. South Africa has reported the export of large quantities of lion bone sourced from captive animals to China, the Lao People's Democratic Republic and Viet Nam.

Poaching in Kruger National Park (KNP)

71. During 2015, 75-80% of poaching activity in KNP originated from Mozambique, with poaching groups made up predominantly of Mozambique nationals entering the park on foot. During this same period, 20-25% of the incursions were originating from South African soil to the west of the Park. By the end of 2015, this trend changed and the Mozambique-based groups moved their operations from bases in Mozambique to villages along the western boundary of KNP in South Africa. This new trend continued into the early part of 2016. While the groups moved to the western boundary of KNP, the *modus operandi* of poachers also shifted from not only infiltrating the park on foot, but also using vehicles and the staff and tourist facilities to gain access. The 'drive-in-and-drop off' approach gave the poachers greater mobility to infiltrate deep into the park and away from the more historical and traditional areas along the boundaries of the park. This trend now places extra pressure on the rangers, as well as a requirement for additional vigilance and enhanced security measures at entrance gates. By the end of the first quarter of 2016, some of the poaching activity moved back to Mozambique (Figure 7).

[48] G. Balme pers. comm. 2015. In Stein, A.B., Athreya, V., Gerngross, P., Balme, G., Henschel, P., Karanth, U., Miquelle, D., Rostro-Garcia, S., Kamler, J.F., Laguardia, A., Khorozyan, I. & Ghoddousi, A. 2016. *Panthera pardus*. (errata version published in 2016) The IUCN Red List of Threatened Species 2016: e.T15954A102421779. http://dx.doi.org/10.2305/IUCN.UK.2016-1.RLTS.T15954A50659089.en. Downloaded on 26 October 2017.

[49] Balme, G.A., Slotow, R. & Hunter, L.T.B. (2009). Impact of conservation interventions on the dynamics and persistence of a persecuted leopard population. Biol. Conserv., 142, 2681-2690.

Figure 7: Map showing the poaching incursion routes along the western boundary of KNP[50]

Root Causes:

72. The root causes of illegal wildlife trade are demand, poverty and inadequate enforcement.

Long-term Solution and Barriers:

73. The long-term solution for addressing illegal wildlife trade in South Africa is to put in place a robust monitoring and enforcement system at community, protected area, provincial and national levels to deter, identify, capture and prosecute criminals involved in illegal wildlife activities. However, three main barriers currently restrict South Africa from reaching the solution, namely (i) inadequate capacity

[50] Source: SANParks, 2017

to monitor legal and illegal wildlife trade effectively; (ii) lack of an electronic permit system for CITES-listed species allowing the fraudulent use of paper-permits; and (iii) insufficient support at community-level in addressing illegal wildlife trade.

Inadequate Capacity to monitor legal and illegal wildlife trade effectively:

74. The key functions of the SAoSA are to monitor legal and illegal wildlife trade and carry out non-detriment findings (NDFs) for CITES Appendix II listed species based on a wide range of information sources that determine whether the combined impacts of legal and illegal trade will have a detrimental impact on wild populations.

75. Although SANBI is the national repository of biological data for all South Africa's wildlife species, it does not have a comprehensive database of scientific/biological information for every species. The 2016 Red List of Mammals of South Africa, Lesotho and Swaziland was produced by the EWT and SANBI, with collaboration from the universities of Cape Town and Pretoria's MammalMAP and IUCN Species Survival Commission (SSC), provincial and national conservation agencies, museums and universities. Whilst species have been categorized according to the IUCN Red List, precise data sheets are lacking for a greater proportion of the species listed. Without such data, it is a difficult task for the SAoSA to make an NDF or determine with a high degree of certainty whether the level of trade (determined by the number of permits sought and issued) is sustainable. In addition, scientific oversight requires skilled capacity across the SAoSA, as well as access to a nationally-accessible database on key species in trade.

76. Some monitoring of wildlife (including plants) is carried out by provincial and park authorities, particularly for large mammal species. However, there is no coordinated monitoring, nor population counts for even the most high-profile species such as rhino, lion, leopard and elephant. As a result, every time an assessment is required, the SAoSA must compile data from individual and dispersed datasets, making it difficult, if not impossible, to detect the scale or impact of illegal trade, or to use the available information as part of the decision-making process for wildlife trade.

77. The current lack of capacity with the SAoSA to carry out its prescribed functions in terms of the NEM:BA and the text of the CITES Convention is a root cause of the illicit trade in less-newsworthy but equally important biodiversity in South Africa. The inability to determine whether trade is sustainable, or even legal, has caused CITES Parties to question South Africa's exports of fauna and flora, with trade sanctions being imposed in the past on certain species. There is therefore an urgent need to improve the capacity of SAoSA at local, provincial and national levels in monitoring and determining the sustainability of harvest for legal trade.

78. The current scenario in South Africa consists of an established Scientific Authority (15 members) with a cadre of wildlife scientists, some of whom are close to retirement. In terms of national law, once SAoSA members have served their 4-year terms of office, they need to be replaced (or re-appointed by the Minister). However, replacing members has proved problematic due to a number of reasons, i.e. vacant but frozen posts in the provinces, availability of young graduates, who have little or no experience of wildlife trade. This lack of experience and exposure to different wildlife management issues means that SAoSA members in the provinces are less able to provide independent advice and are potentially more easily exposed to pressure from unscrupulous operators.

79. For many years, efforts have been made to improve the functions carried out by Scientific Authorities around the globe, including workshops on NDFs and capacity of Scientific Authorities, where not only the biological characteristics of species but also the socioeconomic factors would have important influences on the likely sustainability of harvests. In numerous cases, neither detailed biological nor socio-economic information might be readily available, and so monitoring and adaptive

management of the harvest must play a central role in ensuring non-detriment. However, even this type of adaptive management demands a skill that is often lacking, as is the case with some of the members of SAoSA.

80. Many Parties to CITES operate under various constraints, the most common one being a need for improved monitoring and data collection. To make an NDF, Scientific Authorities need to have good communication links with the Management Authority and key institutions in-country, better cooperation between important and exporter nations, and a framework for cooperation between Parties to facilitate technology and capacity transfer. In a large country such as South Africa, which is separated into 9 Provinces each with their own Conservation Authority responsible for its Provincial inputs to the SAoSA, distances, data collation, disparate analytical capabilities, and inter-Provincial communications are problematic.

81. In addition to the capacity issue, there is no centralised facility to store and share species and survey data, each province keeping its own monitoring and survey records. A centralised portal that would allow for access to key datasets is needed to improve scientific oversight of wildlife trade. An efficient system has been developed by the AfESG for gathering and sharing information from both government and private reserves and this GEF project aims to establish a similar system for all wildlife traded from South Africa. At present, when trade in any species is assessed, the data must first be collated and then analysed. However, the data in the provinces is not always available and delays ensue. This was the case with a query from the European Union regarding trade in the African lion, where delays in securing the data from small and private reserves in the provinces, which account for 25% of the lion population, resulted in a trade ban being imposed on South Africa.

Lack of an electronic permit system for CITES-listed species

82. The CITES Working Group on Electronic Systems and Information Technologies was created under CITES and, together with the CITES Secretariat and skilled partners, has developed an 'eCITES', with a set of standard tools and software solutions to improve e-permitting accessibility to all Parties. It is anticipated that eCITES will 'create opportunities for sustainable development of legal trade in wildlife… and income opportunities for local communities.'[51]

83. The CITES Secretariat has also developed an e-permitting toolkit.[52] This toolkit is the culmination of discussions at CITES CoPs where Parties noted that development of an electronic licensing system would 'greatly assist in the handling and processing of CITES applications, the issuance of electronic permits and the collation and dissemination of CITES trade information.' The toolkit provides advice on the use of common information exchange formats and protocols for e-permitting system for CITES-listed species, as well as how to develop and implement inter-operable information exchange pilot projects on e-permitting system for CITES-listed species. The toolkit aims to assist Parties and organisations to ensure greater security and less fraud, and harmonise documentation of CITES species in international trade. South Africa's single-window national permitting system will benefit from oversight and technical inputs from CITES Secretariat and WCMC to ensure a streamlined transition from a paper to an electronic permitting system.

84. Wildlife trade is managed through a permit system. South Africa currently uses a complex, unaligned permitting system that is prone to human error, corruption and forgery. The system is manual,

[51] eCITES Policy brief prepared by CITES Secretariat Automation of CITES permit procedures and electronic information exchange for improved control of international trade in endangered species (eCITES)

[52] https://cites.org/eng/prog/e/e-permitting-toolkit.php

slow, and inefficient to the extent that the GoSA is not able to meet its Batho Pele – or Putting People First – principles.

85. South Africa has been the target for significant and high-profile illegal trade in wildlife. There is a need to develop a national e-permitting system for CITES-listed species that will contribute towards ensuring the sustainable use of species legally in trade and in preventing illegal trade by reducing the opportunities for fraud. South Africa's e-permitting system for CITES-listed species will have a regional (and possibly further afield) reach as other CITES Parties developing e-permitting system for CITES-listed species will be able to learn from the technologies developed in South Africa. By creating a ready-to-use e-permitting system for CITES-listed species, the international community will be equipped with the right tools to monitor South Africa's international wildlife trade into their respective countries, verify permits and detect illegal trade as it happens. By developing a system that can be used by all, it will create incentives for other governments to use the system and have a combined approach to monitoring global trade.

Insufficient support at community-level in addressing illegal wildlife trade

86. It has been acknowledged that poverty heightens the vulnerability of communities to the recruitment, bribery or coercion of local officials, police, members of the military and wildlife rangers by poachers and criminal networks. New technologies are worsening the situation by allowing poachers to conduct more elaborate operations and better collude and partner with illegal traders and criminal organisations.

87. Rural communities in South Africa depend heavily on wild species for their livelihoods. Wildlife plays an important role in South Africa's economy and communities living near conservation areas must be connected and not see wildlife as a threat to their livelihoods. In general, people are more likely to protect what they benefit from when the benefits outweigh the costs. It is important to keep communications simple and creative when building capacity and empowering people. Wildlife conservation should not only be about wildlife, it must involve people too. Furthermore, human-wildlife conflict, which not only presents a significant threat to wildlife populations but hinders the socio-economic development of rural communities, can be costly and difficult to mitigate; therefore, community awareness and engagement through strategic community action plans that identify social development initiatives will be developed.

88. In community areas adjacent to the KNP, local municipalities perceive the proximity of the Park and ecotourism as major strengths and an opportunity to promote local economic development and provide employment opportunities. However, most adjacent local Municipalities are struggling with inadequate funding and capacity, and are unable to maintain infrastructure and provide critical services, such as water. The local Municipalities also show demonstrably poor integrated land-use planning and local economic development, as well as poor service delivery, a lack of monitoring and evaluation systems, unplanned rural/urban spread, an influx of immigrants, conflicting sector development pressures, and a lack of 'mature' socio-economic sectors that could sustain local economies.

89. None of the Municipal Local Economic Development Plans (LEDs) recognize the tourism sector as a major strength in the municipal IDPs, such that no tangible statistics exist regarding the actual - or multiplier - impact of KNP and adjacent conservation estates and Protected Area network. The GEF5 Protected Area project study concluded that this 'oversight' results in a poor understanding and appreciation of the direct and indirect (value-added and downstream) contributions that the KNP and adjacent conservation estates provide to the local and regional economy. Conflicting land uses and poorly-directed resources and services have ensued, with potentially negative impacts on KNP's

operations and its future sustainable development objectives (SANParks, 2017). SANParks has noted that it is critical that all local partners work together towards agreed goals and that a well-prepared communications plan is developed to share lessons learned, not only within the communities but also among SANParks' and KNP's development partners.

90. Whilst preparing this GEF6 project, it was recognized that it is important that community considerations should be given an appropriate level of priority and be institutionalized, ie that community governance systems and interactions with government departments and conservation development partners should be strengthened. Weak governance systems and a lack of institutional and transactional capacity is a widespread problem in KNP's neighbouring communities. Lessons learned from previous efforts by SANParks indicate that it is necessary to build governance capacity upfront before establishing partnerships with a community. They noted further that all potential community beneficiation efforts ultimately depend on a solid governance foundation and the vision of seeing an inclusive wildlife economy is highly dependent on establishing this first step.

91. Additionally, the effectiveness of CBNRM is dependent on sound with-in community governance, within an enabling environment that protects women and marginalized groups against elite capture. However, most communities have low levels of associational capital and trust as a result of decades and even centuries of trauma, including slavery, colonialism, apartheid, displacement, and families broken up by modernization. Even if they tend to fall back on authoritative traditional leadership and on top-down religious organization, levels of confidence and trust in leadership is low, impeding collective action especially when it comes to economic activities and natural resource management. Consequently, the performance of mechanisms of collective community governance such as Communal Property Associations (CPAs) have been disappointing, and plagued by elite capture and under-performance.

92. In the absence of national guidelines for participatory governance by communities of the wildlife economy, articles of association for communities tend to entrench rather than avoid problems of governance and elite capture. South Africa's laudable goals of an inclusive wildlife economy are only likely to succeed if they are based on effective governance, including an enabling environment that supports effective governance including training, policy, procedural auditing and so on. The DEA's Wildlife Economy programmes provide further implementation support for diversified wildlife economy projects linked to the conservation network, but sustainability can only be achieved it this is embedded within a broader regional approach.

93. Appropriate land use development must be developed through Spatial Development Frameworks (SDFs) that are governed through SPLUMA[53] to protect the conservation estate - whilst at the same time enhancing sustainable and responsible local and economic growth that supports KNP products and business development opportunities. This also requires active participation in the municipal Local Economic Development (LED) processes. It is essential for SANParks that adjacent land use development opportunities are compatible with the Park's Management Objectives. During the GEF6 project, SANParks will aim to carry out a comprehensive sector maturity assessment within the respective local municipalities in an attempt to leverage additional funding and economic development opportunities. This will also assist in determining the viability and feasibility of community beneficiation models and programmes.

94. Poaching is sometimes opportunistic, and as such is often made possible on the ground by the involvement of local or neighbouring community members tacitly supporting, cooperating with, providing services to, and participating in the activities of criminal poaching gangs. Figure 7 above shows where this has been the case with target communities at the Project sites on the western boundary

[53] Spatial Planning and Land Use Management Act, 2013 (SPLUMA)

of KNP. In many cases, this is a result of national policies that excluded local communities from deriving benefits from wildlife and their habitats, which created resentment and a sense of alienation. In addition, the combined effects of weak enforcement, continued rural poverty and lack of economic opportunity have provided conditions where poaching and illegal wildlife trade thrives. In many countries, South Africa included, to some extent, the revenues captured from tourism and hunting do not go back to the communities, thus creating disincentives for them to protect or manage wildlife sustainably.

95. However, communities have not been properly involved in planning or decision-making. Whilst projects were established with good intentions, few have been able to show significant improvements in either conservation or human well-being, or both. Most difficulties are due to fixed ideas about how conservation and community development issues should work together. Complicating the situation was the assumption that communities are a relatively unified and undiversified group. Most communities are made up of people who are different when it comes to class, wealth, education, political and traditional authorities and religion. Such differences deeply influence the degree and type of participation possible and therefore affect the success of projects.

96. Various models of counter-poaching (such as Ntomeni Ranger Services, the International Anti-Poaching Foundation (IAPF) and supported by the Black Rhino Management Biodiversity Plan[54] and the draft White Rhino Biodiversity Management Plan[55]) emphasise the importance of working with communities in rhino areas to gather information on an ongoing basis, to identify threats and to support anti-poaching activities. All models emphasise the need for good training and remuneration.

97. The GoSA is working to improve relationships with communities living on the periphery of KNP to reduce the risk of poaching. Greater inclusion and benefit sharing (jobs and opportunities) will have benefits for both rhinos and communities. Communities who live close to critical rhino areas are the first to know when a stranger is in their area, or when there is a sudden increase in wealth of community members. Having been excluded from parks, which they consider as areas exclusively for tourists, communities derive little if no benefit from national parks, and, accordingly, have little motivation to help stop the rhino poaching. If communities participated in conservation decision-making and received financial incentives, it is surmised that they would be more willing to cooperate with wildlife officials.

2.4. Institutional, sectoral and policy context

98. Many national institutions are involved in conservation in South Africa, ranging from environmental bodies, to police and enforcement/control authorities. The cooperation between the three spheres of government – national, provincial and local – is stipulated in the Constitution.[56] The government is responsible for the development of policies and legislation regarding international agreements concerning the conservation and use of biodiversity. However, it should be noted that only the national and provincial spheres have executive powers regarding implementation of legislation for nature conservation, with the national legislation prevailing over provincial legislation in the event of any conflict arising. The Institutions most relevant to the GEF project include the Department of

[54] DEA (2013). National Environmental Management: Biodiversity Act (10/2004): Biodiversity Management Plan for the Black Rhinoceros in South Africa 2011–2020. Government Gazette, 25 January 2013. DEA, Pretoria, South Africa

[55] DEA (2015). National Environmental Management: Biodiversity Act, 2004. (Act No. 10 Of 2004). The Draft Biodiversity Management Plan For White Rhinoceros (*Ceratotherium simum*). NOTICE 269 OF 2015. DEA, Pretoria, South Africa

[56] http://www.info.gov.za/documents/constitution/index.htm

Environmental Affairs (DEA), the SANParks, and SANBI. A more detailed analysis can be found in the Stakeholder Mapping in Section 2.5 below.

National Legislation and Regulations

99. The overarching law governing conservation in South Africa is the Constitution of South Africa (Act No. 108 of 1996). Basic environmental rights are provided for under the Bill of Rights as the Constitution's jurisprudence embraces an anthropocentric approach to protection of the environment. The Constitution is supported by many conservation and environmental statutes, but the National Environmental Management Act 107 of 1988 (NEMA) provides the overarching framework for environmental law in the country. NEMA provides that environmental management must place people and their needs at the forefront. The Minister of Environmental Affairs together with the Department of Environmental Affairs, comprise the leading national environmental authority. Relevant national legislation includes the following:

- National Environment Management Act (No 107 of 1998)
- National Environment Management Act: Biodiversity Act (No 10 of 2004)
- Threatened or Protected Species (TOPS) Regulations, 2007
- National Environment Management Act: Protected Areas Act (No 57 of 2003)
- Protected Areas Amendment Act (No 15 of 2009)
- National Forests Act (No 84 of 1998)
- Traditional Healers Act (Act No. 10 of 2004)
- National Water Act (No 36 of 1998)
- Conservation of Agricultural Resources Act (No 43 of 1983)
- Forest Act (No 122 of 1984)
- National Veld and Forest Fire Act (No 101 of 1998)
- National Heritage Resources Act (Act No. 25 of 1999)
- Local Government: Municipal Systems Act (Act No. 32 of 2000)
- CITES Regulations 2010: Government Notice No. R. 173 of 5 March 2010, and all amendments thereto

100. Whilst species lists may have been developed by each Province, the categories and contents are not equivalent across the country. In addition, there is poor coordination between Provinces, which has led to so-called 'province-hopping' by offenders. Some provincial legislation that currently applies to activities and anticipated outcomes envisaged under the GEF6 Project include the following:

- Nature and Environmental Conservation Ordinance 19 of 1974 (Western Cape),
- Ciskei Nature Conservation Act 10 of 1987 (Eastern Cape),
- Nature Conservation Ordinance 8 of 1969 (Free State)
- The Environmental Conservation Decree No. 9 of 1992 (Republic of Transkei),
- Qwaqwa Nature Conservation Act 8 1976 (Free State),
- Nature Conservation Ordinance 12 of 1983 (Gauteng),
- Mpumalanga Nature Conservation Act 10 of 1998 (Mpumalanga)
- KwaZulu-Natal Nature Conservation Management Act (Act No. 9 of 1997)

101. Section 43 of the Constitution provides that: the legislative authority of the national sphere of government is vested in Parliament; the legislative authority of the provincial sphere of government is vested in the provincial legislatures; and the legislative authority of the local sphere of government is

vested in the municipal councils.[57] The Constitution thus provides for the following three spheres of government responsibility:

- functional areas of concurrent national and provincial legislative competence
- functional areas of exclusive provincial competence
- certain executive and administrative authority at municipal level

102. Several aspects of environmental management span these three spheres of responsibility. The diagram below shows how provincial biodiversity legislation has the same standing as national legislation, meaning it is not subordinate, and is not superseded or over-ruled by national legislation. This is because the Constitution outlines in Schedule 4 that environmental rights are a concurrent responsibility of provincial and national government, i.e. that there is an equal mandate to level and implement biodiversity legislation at both the provincial and the national level. However, the Constitution also provides for conflict resolution between a provision in provincial legislation and national legislation, such that when conflict arises, the national provision only supersedes the provincial provision if the national legislation has been approved by the National Council of Provinces.

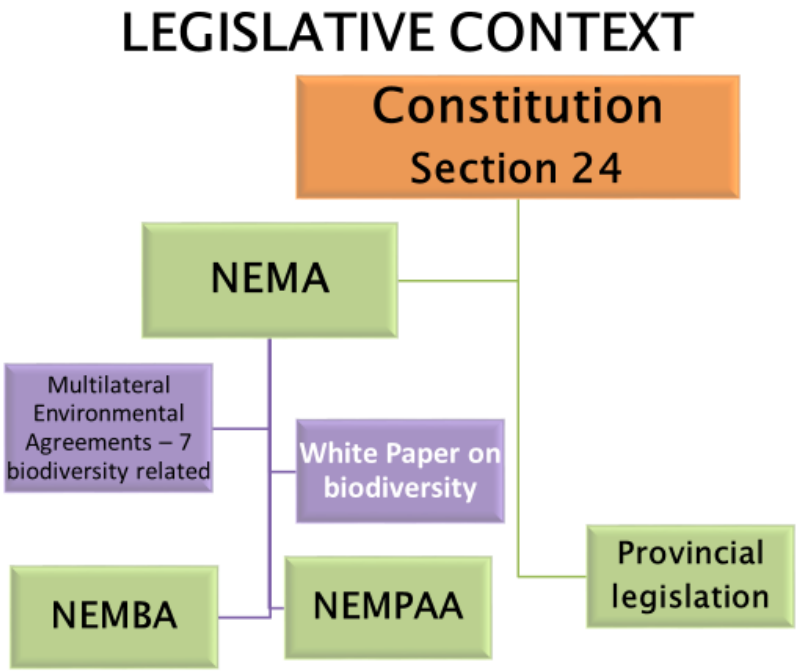


Figure 8: Diagram showing the linkages between national legislative tools to biodiversity management.[58]

103. South Africa has a well-developed legal framework for the conservation, regulation and sustainable use of its biodiversity. The legislation includes the National Environmental Management and Biodiversity Act (NEM:BA) and various provincial nature conservation ordinances used by the nine provinces for protecting wildlife and regulating the trade. However, there are complexities of implementation and inconsistencies resulting from the provincial legislation that have raised concerns that loopholes exist for illicit activities that present compliance challenges.

[57] Freedman, 2014. The legislative authority of the local sphere of government to conserve and protect the environment: A critical analysis of Le Sueur v eThekwini Municipality [2013] ZAKZPHC 6 (30 January 2013)
[58] Source: DEA, 2017

104. In addition, the legislative tools available that assist the GoSA to develop and implement NEM:BA include:

a) Regulations, which are legally enforceable, to the extent that if a person does not comply with a provision of the regulations, he/she is committing an offence;
b) Norms and Standards (N&S), which in the case of NEM:BA, are also legally enforceable. However, the difference between N&S and Regulations is that non-compliance with a provision of an applicable N&S is not a direct offence. The Threatened or Protected Species (TOPS) Regulations contains a provision that a permit must be issued with a compulsory permit condition that binds the permit holder to the provisions of N&S that are relevant to the permit. So, if a person has a permit to keep elephant, the permit holder must comply with the N&S for the management of elephants in South Africa. If the permit holder does not comply with the N&S, the person is contravening a permit condition, which is an offence in terms of NEM:BA;
c) Prohibitions, which refers to an activity for which a permit may NOT be issued (the most obvious example is the moratorium on the domestic trade in rhino horn, which was recently set aside by the High Court). The Minister of Environmental Affairs can only introduce a moratorium (prohibit an activity altogether for a particular species) if the activity is likely to have a negative impact on the survival of a species. For example, the moratorium on cycads prohibits the removal of cycads from the wild, unless it is necessary for conservation purposes. Non-compliance with a prohibition notice is an offence in terms of NEM:BA; and
d) Biodiversity Management Plans (BMPs) – these are not legislative tools, but rather scientific tools that contain scientific information on, for example, threats that affect the survival of a species. When a permit is issued, the contents of a BMP must be considered. For example, the BMP for Black Rhino proposes that specimens of the two Black Rhino sub-species should not be translocated to areas outside their natural distribution range. BMPs in themselves are not enforceable.

105. The above-mentioned tools (a) to (d) must be published by notice in the Gazette for implementation.

106. The following diagram provides a schematic explanation of the above. The Regulations for professional hunters are highlighted in red as, although they have been finalised, they have not yet been implemented (all the other documents listed in the diagram have been implemented). In addition, there are many more Biodiversity Management Plans (BMPs) that have also been implemented.

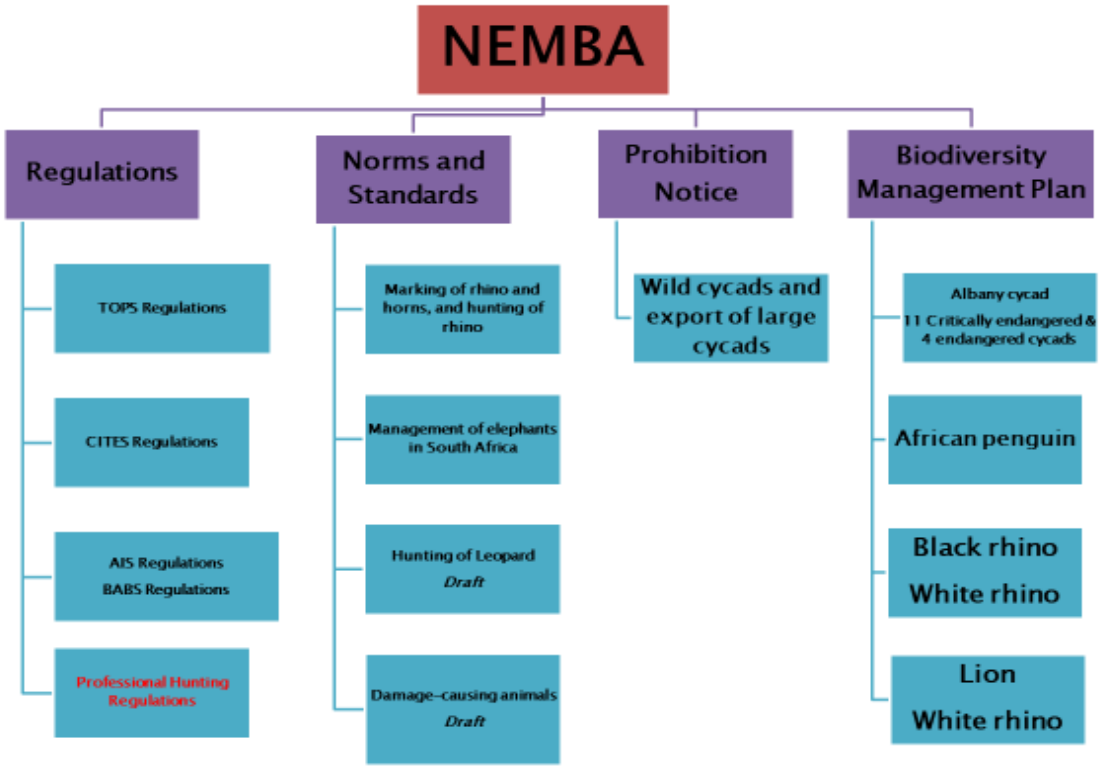


Figure 9: Schematic explanation of legislative tools to develop and implement NEM:BA

107. **The Spatial Planning and Land Use Management Act, 2013 (SPLUMA)** provides a framework for spatial planning and land use management in South Africa, and provides for social and economic inclusion in the SPLUMA system. It includes provision for development principles and norms and standards, the sustainable and efficient use of land, cooperative government and intergovernmental relations amongst the national, provincial and local spheres of government, and aims to redress the imbalances of South Africa's history by ensuring equity when SPLUMA systems are applied on the ground.

108. SPLUMA applies to the whole of South Africa (urban and rural areas) and governs informal and traditional land use development processes.

109. **White Paper on Environmental Policy of 1997:** The environmental sector of South Africa is directed by the White Paper on Environmental Policy of 1997[59].Policies of the country provide the policy positions for the sector, which are then legitimised in the legislation of the country.

110. The White Paper indicates that some environmental policy positions directly impact on and provide the guiding principles for wildlife trade markets, including that the *overall goal* of any market activity in the environmental sector of the country should be sustainable development. This implies that any use of, or benefit from, the natural resources in the country must be carried out in a manner that includes integrated and sustainable management of the environment, both now and in the future. The White Paper also includes a range of strategic objectives that should be respected when wildlife is traded in order to address the goal of sustainable and integrated management. Two of the strategic objectives in

[59] DEAT (1997). White Paper on Environmental Policy of 1997. Department of Environmental Affairs and Tourism, Pretoria, South Africa

the policy that have particular relevance to wildlife trade are: (1) that the sub-sector markets operate in a manner that would facilitate equitable access to, and sustainable use of, natural and cultural resources; and (2) that environmental consideration are contained within all economic activities of the sub-sector markets. Common principles that must be considered in wildlife trade activities include:

(1) **Sustainable use -** requires that wildlife trade utilises both non-renewable and renewable resource in a manner that does not limit any current and future generation interest in and need for these resources, and that all environmental impacts on the resource be considered in any trade activity. Similarly, the policy takes the position that renewable resources should not be used outside carrying capacity constraints;
(2) **Biodiversity conservation -** requires that the impacts of wildlife trade on biodiversity be minimised and should aim to conserve biodiversity;
(3) **Local beneficiation -** requires that the focus of wildlife trade should be in a manner that maximizes benefits to local communities;
(4) **Equity -** requires that all environmental markets need to consider the rights of others to the natural resource as the policy also includes the principle of equitable access to South Africa's natural resources.

111. The White Paper on Environmental Management Policy for South Africa[60] notes that DEA's responsibility is to provide resources for effective environmental research, monitoring and data collection, in order to:

- develop and implement information management systems
- report on the state of the environment
- measure progress in achieving sustainable development
- monitor environmental quality and environmental management
- ensure that planning for sustainable development in all sectors is based on the best science and information available

112. DEA is thus mandated to monitor and develop indicators for the conservation status of biodiversity and to monitor the protected areas of the country.

113. **NEMA:** The Constitutional right to a safe and clean environment and the policy positions included in the White Paper on Environmental Policy of 1997 is legitimized through enactment of the National Environmental Management Act (NEMA) (Act No. 107 of 1998).[61] NEMA outlines the overall environmental governance structure in the country and together with the Constitution, provides direction to other environmental statutory laws, including the National Environmental Management: Protected Areas Act (NEM:PAA) (Act No. of 2003) and the National Environmental Management: Biodiversity Act (NEM:BA) (Act No. 10 of 2004).

114. **NEM:BA** provides for the management and conservation framework of South Africa's biodiversity and outlines the legislative requirements for: the protection of species and ecosystems; the sustainable use of indigenous biological resources; and for the fair and equitable sharing of benefits arising from bioprospecting of biological resources. Important and relevant sections of NEM:BA include the following:

[60] DEAT (1998). *White Paper on Environmental Management Policy for South Africa*. Department of Environment and Tourism, Pretoria.
[61] South Africa (1998). National Environmental Management Act (NEMA) (Act No. 107 of 1998). Government Printers, Pretoria, South Africa

- Section 56 of NEM:BA - provides for the listing of species that are threatened (critically endangered, endangered or vulnerable) or protected. Black rhinoceros is currently listed as endangered (meaning it is facing a high risk of extinction in the wild in the near future), whereas white rhinoceros is listed as protected (meaning it is not facing extinction, but is of high conservation value or of national importance, and therefore is in need of national protection).
- Section 57 provides that "a person may not carry out a restricted activity involving a specimen of a listed threatened or protected species without a permit issued in terms of Chapter 7" of NEM:BA. It further provides that the Minister may prohibit the carrying out of a restricted activity that is "of a nature that may negatively impact on the survival" of rhinoceros.
- Section 97 provides the Minister with a mandate to make regulations relating to, among others, listed Threatened or Protected Species (TOPS).

115. Chapter 4 of the NEM:BA gives effect to the country's commitments to CITES. The Act prohibits certain activities involving listed species without authorisation (permit)[62] and assigns the Minister responsibility to gazette a list of: (a) critically endangered species facing an extremely high risk of extinction in the wild in the immediate future; (b) endangered species, facing a high risk of extinction in the wild in the near future, although they are not a critically endangered species; (c) vulnerable species facing an extremely high risk of extinction in the wild in the medium-term future, although they are not a critically endangered species or an endangered species; and (d) protected species, being any species which are of such high conservation value or national importance that they require national protection, although they are not listed in terms of paragraphs (a), (b) or (c).

116. The regulatory and enforcement provisions of NEM:BA were reviewed in 2013 to prevent abuse of the permit system, resulting in the National Environmental Management Laws Act (No. 14 of 2013), which makes provision for prosecution of individuals involved in illegal activity despite not physically committing the restricted activity. Previously, professional hunters, hunting outfitters and trainers only registered in individual provinces and if they were non-compliant in one province, they could apply to operate or continue to operate in another province. To address this loophole, the Act compels the national registration of professional hunters, hunting outfitters and trainers involved in the hunting industry. In this way, action can be taken against those professional hunters who facilitate the illegal hunting of rhinoceros by their clients.

117. The Act further prescribes that all specimens in transit through the country must be accompanied by the necessary documentation. This important provision assists in addressing the movement of illegal specimens through South Africa and as well as addressing activities associated with poaching, such as closing the loopholes surrounding permit abuse. Activities under the GEF project will always be aligned with provisions of the Act.

118. The NEM:BA also tasks the Minister with establishing a Scientific Authority to assist in regulating and restricting the trade in specimens of listed TOPS, with responsibility for the monitoring of the legal and illegal trade in specimens of listed species falling under the ambit of the Scientific Authority. The Scientific Authority is also assigned responsibility to advise the Minister to make recommendations to an issuing authority on applications for permits for listed threatened and protected species and to make non-detriment findings on the impact of actions relating to the international trade in specimens of listed threatened or protected species. NEM:BA addresses this through national legislation, the crucial requirements of CITES.

119. The Act (No 14 of 2013) also made changes to Sections in the NEM:BA Act 10 of 2004 affecting activities of the SAoSA, particularly to Sections 61 and 62 on making Non-Detriment Findings (NDFs).

[62] KIDD M. (2011). *Environmental Law*. JUTA, Cape Town, South Africa.

The Minister must publish any NDFs made by the Scientific Authority in the Gazette, inviting members of the public to submit to the SAoSA, within 30 days of publication in the Gazette, written scientific information relating to the NDFs.

120. In February 2009, a temporary moratorium prohibiting domestic sales of rhino horns and derivatives in South Africa took effect. Subsequently, in July 2009, to overcome irregularities which had been detected within the hunting industry, the South African government moved to strengthen rhino conservation with *Notice 170 of 2009 on Marking of Rhinoceros Horn and Hunting of White Rhinoceros for Trophy Hunting Purposes, of 20 July 2009*. Updated legislation on *Norms and Standards for the Marking of Rhinoceros and Rhinoceros Horn, and for the Hunting of Rhinoceros for Trophy Hunting Purposes* was also issued on 10 April 2012. The most recent development in the legal trade of rhino in South Africa is that the 2009 moratorium on buying and selling rhino horn within South Africa was successfully challenged by rhino horn breeders. The Constitutional Court of South Africa dismissed the application to appeal of the GoSA and a final court ruling was made in favour of rhino breeders in April 2017 to legalise the domestic trade in rhino horn. International trade remains illegal.

121. **Threatened or Protected Species (TOPS) Regulations (2007).**[63] The TOPS Regulations provide for: compulsory registration of facilities and persons, and the voluntary registration of game farms; the prohibition of restricted activities in certain circumstances; and the regulation of a specific restricted activity. In the case of rhinos, the TOPS Regulations prohibit the following restricted activities:

- Hunting in a controlled environment;
- Hunting of rhinoceros while the latter is under the influence of a tranquiliser or similar agent;
- Hunting of rhinoceros by making use of a gin trap;
- Hunting by means of bow and arrow.

122. Under TOPS Regulations, the Black Rhinoceros is listed as an Endangered Species[64] and the White Rhinoceros as a Protected Species,[65] and any person who possesses rhinoceros horn must apply for a possession permit and, if the rhinoceros horn, or part thereof, is longer than 10 cm in length, the rhinoceros horn must also be marked by means of a microchip.

123. TOPS Regulations are inherently linked to South Africa's commitment to CITES and must therefore be read in conjunction with the CITES Regulations – specifically related to import, export, re-export or introduction from the sea of listed threatened or protected species.

124. Part 2 of TOPS Regulations deals with permitting and outlines the issuing authorities, the application procedures and criteria which will be considered in deciding the merits of an application; it also outlines the various types of applications. For example, the Regulations outline ordinary permits which are a once-off permit, while a standing permit is authorisation for continuous activities on listed species. Permits can be issued for a maximum of 12 months in most cases (ordinary permit) to 10 years (permanent permit).

125. The Regulations provide a special requirement for authorising permits to possess elephant ivory, requiring amongst others that an official of the relevant issuing authority must conduct an inspection of the elephant ivory to verify the correctness of the information supplied by the applicant and that the DEA must develop and maintain a database reflecting the information required to be submitted with request for a permit to possess ivory. Similarly, the Regulations stipulate the requirements for

[63] DEA (2015). National Environmental Management: Biodiversity Act (10/2004): Threatened or protected species regulations. Notice 255 of 2015. Pretoria: Government Printers

[64] Endangered Species – species facing a high risk of extinction in the wild in the near future, although it is not a critically endangered species.

[65] Protected Species – species of high conservation value or national importance that requires national protection.

authorising possession of rhinoceros horn, again requiring that an official of the relevant issuing authority must conduct an inspection of the rhinoceros horn to verify the correctness of the information supplied by the applicant. These stipulations require that the issuing authority, DEA, has the capacity and skills to conduct these verification visits. The TOPS Regulations specifically reference prohibiting possession and trading in listed protected species that are included in Appendix I of CITES.

126. The TOPS Regulations clearly outline in Section 88(1) the composition of the Scientific Authority, i.e. it will consist of: a) two members to represent the Department of Environmental Affairs; b) one member to represent the Department of Agriculture, Forestry and Fisheries; c) one member to represent each provincial conservation authority; d) one member to represent South African National Parks; e) one member to represent SANBI; f) one member to represent tertiary institutions; and g) one member to represent the National Zoological Gardens.

127. The Scientific Authority must determine annual off-take limits of specimens of listed threatened or protected species for the following year for the country as a whole and/or per province. With regard to TOPS specimens in captivity, the NDFs must make reference to the compulsory a) marking and identification of specimens, b) collection, analysis and storage of DNA samples and c) maintenance of studbooks.

128. ***CITES Regulations 2010.*** The NEM:BA, 2004 (Act No. 10 of 2004) CITES Regulations of 5 March 2010 apply to all plants and animal species that are listed on CITES Appendices and, in effect, provide for the implementation of CITES in South Africa. The Regulations define the role and responsibilities of the CITES Management Authority, noting particularly that the Management Authority should *'consult with the Scientific Authority on the issuance and acceptance of CITES documents, the nature and level of trade in CITES-listed species, the setting and management of quotas, the registration of traders…'*. Clause 3 notes that the National Minister responsible for environmental affairs is the authority responsible for the issuing of permits or certificates relating to import, export and re-export of any species listed in Appendices I, II and III.

129. The CITES Regulations further define the role and responsibility of the Provincial Management Authority for CITES (i.e. the MEC of the provincial department responsible for nature conservation in a province), particularly paragraph 5 that notes the duty to:

> a) consider and grant permits and certificates for CITES related species in accordance with the provisions of CITES and to attach to any permit or certificate any condition that it may deem necessary;
> b) consult with the provincial member of the National Scientific Authority on the issuance and acceptance of CITES documents, the nature and level of trade in CITES-listed species, the setting and management of quotas, the registration of traders and production operations;
> c) manage the utilisation of allocated CITES quotas; and
> j) maintain records of international trade in specimens and prepare and submit the provincial CITES annual report to the National Management Authority.

130. ***Protected Area Legislation.*** The Protected Areas Act provides for several categories of protected areas, including Special Nature Reserves, National Parks, Nature Reserves and Protected Environments. The existence, governance and functions of the South African National Parks (SANParks) are provided for under the National Environmental Management: Protected Areas Act 57 (NEM:PAA) of 2003.[66]

131. **Provincial Ordinances:** Provincial environmental authorities have been tasked with the Constitutional responsibility of ensuring that the environment is protected and sustainably utilized in

[66] The Protected Areas Act 57 of 2003 is available online at: http://www.sanparks.co.za/docs/general/ProtectAreasAct.pdf

their province. Provincial nature conservation authorities have therefore also been designated as CITES management authorities in South Africa.

132. There are a large group of wildlife uses in the country which fall outside the direct ambit of these environmental Acts, with management and regulation largely through provincial ordinance including the following:

- Nature Conservation Ordinance 8 of 1969 which still applies in the Free State Province. The province has published regulations in 2013 related to:
    - Norms and Standards for The Keeping And Management Of Bontebok (*Damaliscus pygargus pygargus*)
    - Activities Regarding Listed Large Predators by Land Owners, Foreign Clients and The Exportation of Hunting Trophies
    - Activities Regarding White and Black Rhinoceros
- Nature Conservation Ordinance 15 of 1974 (Natal), with amendments, still applies in KwaZulu-Natal;
- KwaZulu-Natal Nature Conservation Amendment Act, No. 9 of 1999 is applicable in KwaZulu-Natal. In 2014, KwaZulu-Natal published for public comment the KwaZulu-Natal Environmental, Biodiversity and Protected Areas Management Bill, 2014. The Bill outlines the responsibility of Ezemvelo KZN Wildlife as being responsible for environmental protection in the Province, with functions outlined in Part 1 (b) of the Bill as:
    - the preparation and maintenance of a central register (available for use and inspection) of biodiversity targets, bioregional plans and biodiversity management plans, and monitoring the status of biodiversity;
    - to survey, monitor and measure against the targets determining the status of the biodiversity in the Province and the status of threatened or protected species, ecosystems and habitats in the Province.
- Cape Nature and Environmental Conservation Ordinance 19 of 1974 (Cape), with amendments, is linked to the Nature and Environmental Conservation Regulations for the Western Cape (Provincial Notice No. 955 Of 1975). The Ordinance is still applicable in other provinces such as the Eastern Cape (excluding former Ciskei and Transkei) and Northern Cape. In 2016, the Eastern Cape promulgated regulations for the hunting seasons, daily bag limits and hunting by prohibited hunting methods, including for the former Ciskei, under this 1974 Ordinance;
- Nature Conservation Act 10 of 1987 (Ciskei) which applies in the Eastern Cape;
- Decree 9 (Transkei) of 1992, which was applicable in the Eastern Cape.
- Nature Conservation Ordinance 12 of 1983 (Transvaal) which still applies in Gauteng;
- North West Biodiversity Management Act, No. 3 of 2017 which provides for the management and conservation of the North-West Province's biophysical environment and protected areas; provides for the protection of species and ecological-systems in the province and provides for the sustainable use of indigenous biological resources in the province.
- Mpumalanga Nature Conservation Act No. 10 of 1998 which makes provisions for conservation of biodiversity in the province.

133. Some provinces, namely Mpumalanga, KwaZulu-Natal and Northern Cape, have post-1994 nature conservation legislation. The approach of many of these provincial ordinances is to regulate hunting (of game) through licensing systems, with the listing of various species of game in different categories to afford different levels of protection. Regulations related to provincial ordnances outline open and closed seasons for hunting of protected or threatened species and prohibited hunting measures.

134. Ordinances also outline open and closed seasons for hunting of these species and prohibiting hunting measures[67]. Other wildlife activities, such as wildlife ranching, remained largely un-regulated, although some of the activities or part thereof, do fall under the jurisdiction of the Department of Agriculture, Forestry and Fisheries and their related legislation and regulations.

135. Adding to the fragmentation in the management and regulation of the wildlife sector of the country is the suite of agriculture legislation which is applicable to the sector. Historically, breeding and sustainable use of suitable wild herbivore species in farming systems was seldom seen as an agricultural activity.[68] However, since 1987 this perception started to change, with the Department of Agriculture recognizing wildlife ranching as a true agricultural activity with the potential to produce both meat and a range of value added products and activities. Wildlife ranching is now considered to be a viable alternative to more conventional forms of animal agriculture, but still remains a relatively unknown sector of the South Africa economy.

International Environmental Agreements

136. South Africa ratified the United Nations Convention on Biological Diversity (CBD) on 2 November 1995 and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) on 15 July 1975. In South Africa, CITES is implemented in terms of both National Law and Provincial Ordinances, with National CITES Regulations promulgated in terms of Section 97 of NEM:BA and published in March 2010.[69]

137. **CITES:** CITES is an international agreement that operates as a licensing system through which imports and exports of listed species must be authorized by Parties. CITES is the primary mechanism for regulating international wildlife trade. The Convention is legally binding on the Parties and provides a framework for each Party to implement CITES at the national level through adoption of domestic legislation. Various levels of support are provided to approximately 35,000 species that are listed on the CITES Appendices, ranging from full trade restrictions for Appendix-I listed species, controlled trade for Appendix-II listed species and monitoring of trade in species listed in Appendix III. Issuing CITES permits requires science-based and informed decisions regarding the impact that trade will have on the survival of an animal or plant species, ie whether the trade will be detrimental to the survival of the species in the wild. Such a determination is provided by the CITES Scientific Authority of each Party in the form of a Non-Detriment Finding (NDF). CITES requires each Party to designate a Management Authority, a Scientific Authority and an Enforcement Authority responsible for implementing the Convention.

138. Under CITES, the Scientific Authority has an important role that is <u>essential</u> for the effective implementation of CITES, namely to <u>advise</u> the Management Authority whether export of specimens would be detrimental to the survival of the species in the wild. Article IV of the Convention - '**Regulation of Trade in Specimens of Species Included in Appendix II'** – provides guidance on regulations for trade in species listed on Appendix II, specifically the following:

> 1. All trade in specimens of species included in Appendix II shall be in accordance with the provisions of this Article.
>
> 2. The export of any specimen of a species included in Appendix II shall require the prior grant and presentation of an export permit. An export permit shall only be granted when the following conditions have been met:

[67] KIDD M. (2011). *Environmental Law*. JUTA, Cape Town, South Africa

[68] Ramsay and Musetha (undated)

[69] http://www.environment.co.za/legislation-law/nema-national-environmental-management-biodiversity-act-10-2004-convention-international-trade-endangered-species-cites-regulations-gazette-33002-9240-volume-537-south-africa.html

(a) a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;

(b) a Management Authority of the State of export is satisfied that the specimen was not obtained in contravention of the laws of that State for the protection of fauna and flora;

3. A Scientific Authority in each Party shall monitor both the export permits granted by that State for specimens of species included in Appendix II and the actual exports of such specimens. Whenever a Scientific Authority determines that the export of specimens of any such species should be limited in order to maintain that species throughout its range at a level consistent with its role in the ecosystems in which it occurs and well above the level at which that species might become eligible for inclusion in Appendix I, the Scientific Authority shall advise the appropriate Management Authority of suitable measures to be taken to limit the grant of export permits for specimens of that species.

139. In the case of South Africa, the DEA is the nominated CITES Management Authority, with directors of provincial wildlife departments also designated as both the Management and Scientific Authority. The DEA also acts as the national CITES Enforcement Authority.

140. Under Article VIII, paragraph 6, of the Convention, Parties are required to maintain records of trade in CITES-listed species. The trade records assist in identifying wildlife trade routes, both legal and illegal, and highlight the key source, transit and destination points. Parties to the Convention are also obliged to submit annual reports to the CITES Secretariat as an additional mechanism to collect trade records and other information regarding CITES implementation and compliance.

141. The last Conference of the Parties to CITES (CoP17) was held in Johannesburg, South Africa in September-October 2016. Resolution Conf. 16.6 (Rev. CoP17) was revised to include more detailed guidance on local community participation in conservation and sustainable use of CITES-listed species, and includes Sections regarding '**empowerment of rural communities'** and '**engagement of rural communities in combating illegal trade in wildlife'**, both of which are directly relevant to this GEF Project.

142. Also, during CoP17, several Decisions were made that have a direct relevance to this GEF project, including Decision 17.36 on Livelihoods directed to Parties:

Directed to Parties and others

Parties are invited to:

a) promote the use of the CITES and livelihoods toolkit, guidelines and handbook to carry out rapid assessments of the impact of the implementation of CITES-listing decisions on the livelihoods of rural communities, the implementation of activities which mitigate any negative impacts;

b) encourage the conduct of new case studies on how legal and sustainable trade can generate economic incentives for the conservation of wildlife and improvement of livelihoods of indigenous and local communities; and

c) incorporate issues related to CITES and livelihoods into their national socio-economic and development plans, as well as in relevant projects being developed for external funding, including funding by the Global Environment Facility (GEF).

143. Various international meetings and subsequent policy statements, as well as African sub-regional ones, have increasingly recognised the important role of Indigenous Peoples and Local Communities who live close to wildlife in addressing IWT (see Table 4), including through the EU Parliament Resolution on Wildlife Crime (January 2014), the high-level Conferences on Illegal Wildlife Trade in London (February 2014) and in Kasane, Botswana (March 2015), the International Conference on Illegal Exploitation and Illicit Trade in Wild Flora and Fauna in Africa (Brazzaville, Congo, April 2015) and the African Union-led Common Strategy to Combat Illegal Exploitation and Illegal Trade of Wild Fauna and Flora, the Asia-Pacific Economic Cooperation (APEC) Leaders statement from their 2015 leaders meeting, and the 2015 Resolution of the UN General Assembly on IWT.

Table 4: Policy Statements on Community Involvement in Addressing IWT

London Declaration	Recognises the negative impact of illegal wildlife trade on sustainable livelihoods and economic development. This impact needs to be better understood and quantified. Increase capacity of local communities to pursue sustainable livelihood opportunities and eradicate poverty by (inter alia) promoting innovative partnerships for conserving wildlife through shared management responsibilities such as community conservancies, public- private partnerships, sustainable tourism, revenue- sharing agreements and other income sources such as sustainable agriculture.
African Elephant Summit	Engage communities living with elephants as active partners in their conservation by supporting community efforts to advance their rights and capacity to manage and benefit from wildlife and wilderness.
Kasane Declaration	Promote the retention of benefits from wildlife resources by local people where they have traditional and/or legal rights over these resources. We will strengthen policy and legislative frameworks needed to achieve this, reinforce the voice of local people as key stakeholders and implement measures which balance the need to tackle the illegal wildlife trade with the needs of communities, including the sustainable use of wildlife. Support work done in countries to address the challenges that people, in particular rural populations, can face in living and coexisting with wildlife, with the goal of building conservation constituencies and promoting sustainable development. Establish, facilitate and support information-sharing mechanisms, within country, regionally, and internationally, designed with, for and targeted at local people and practitioners, to develop knowledge, expertise and best practice in practical experience of involving local people in managing wildlife resources, and in action to tackle the illegal wildlife trade. Support work by countries and intergovernmental organisations, as well as nongovernmental organisations, that seeks to identify the situations where, and the mechanisms by which, actions at the local level, including with community groups, can reduce the illegal wildlife trade.

144. **African Strategy on Combating Illegal Exploitation and Illegal Trade in Wild Fauna and Flora in Africa:** The African Union, in 2015, developed an African Strategy on Combating Illegal Exploitation and Illegal Trade in Wild Fauna and Flora in Africa with the objective of a common,

coordinated response by countries in Africa to combat the illegal exploitation and illegal trade in wild fauna and flora. The Strategy promotes a strong national, regional and international response towards safeguarding all wild fauna and flora in Africa and complements all other ongoing programmes, initiatives and activities. The Strategy is built around seven core objectives:

1. Increase the level of political commitment to prevent, combat and eradicate illegal exploitation and illegal trade in wild fauna and flora, and to recognise illegal trade in wild fauna and flora as a serious crime;
2. Improve governance, integrity and enhance regional, inter-regional cooperation;
3. Enhance engagement with consumer states to reduce demand, supply and transit of illegal products of wild fauna and flora;
4. Increase the capacity of source and transit states in detecting illegal wild fauna and flora products including in the exit and transit points;
5. Promote the participatory approach with economic development and community livelihoods through sustainable use of wild fauna and flora;
6. Reduce, prevent and eliminate the economic, security and stability impact of wildlife crime;
7. Increase capacity, information, advocacy and public awareness.

145. Relevant to this GEF 6 project are 5 actions under the Strategy that focus on: a) improving and linking e-research and decision making; b) strengthening research on and monitoring of illegal wildlife trade and improve technology on surveillance; c) developing databases, monitoring systems and observatories on illegal wildlife trade and promote transparency and data sharing, including use of existing ones (eg, INTERPOL, WCO, MIKE, ETIS, SYVBAC, and FISH-i Africa); d) enhancing access to information:science-policy linkages and e) enhancing the use of forensic technology to combat illegal wildlife trade.

146. **The Lusaka Agreement Task Force (LATF)** is an inter-governmental association created to facilitate cooperation in and among Party states with regard to investigations into 'violations of national laws pertaining to illegal trade in wild fauna and flora.'[70] At an LATF meeting in Nairobi in 2011, participants agreed that whilst greater communication, collaboration and coordination were needed at the national and international levels to increase exchange of information, it was also important that enforcement agencies should 'consider whenever possible to delay releasing news of significant seizures until the information has been forwarded to relevant counterparts in countries of origin and destination and to international enforcement bodies. This will enable action to be taken against those along the chain of criminal activity.'[71]

147. Regional African Rhino conservation initiatives for <u>both Black and White Rhino</u> include:

- the South African Development Community (SADC) Regional Programme for Rhino Conservation;
- the SADC Rhino Management Group; and
- the Southern Africa Rhino and Elephant Security Group.

148. Regional initiatives for the conservation of the <u>White Rhino</u> include a recently established

- East African Rhino Management Group and

[70] More information can be found online at http://www.lusakaagreement.org/about.html
[71] http://www.lusakaagreement.org/cites_ivory.html.

- the Southern Africa Rhino and Elephant Security Group/Interpol Environmental Crime Working Group.

149. Regional Agreements for the African Elephant include:

- SADC Protocol on Wildlife Conservation and Law Enforcement (1999). This protocol seeks to establish a framework for the conservation and sustainable use of wildlife resources in the SADC region.
- Southern Africa Regional Elephant Conservation and Management Strategy and the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity. The purpose of the strategy is to facilitate coordination, collaboration and communication in the management of elephant populations across the region so as to conserve elephants and expand their range within historical range, forming as contiguous a population as possible across southern Africa, and, in so doing, realising their full potential as a component of wildlife-based land use for the benefit of the region and its people.

150. Vision 2024 (Wildlife Economy Based Land Reform and Enterprise Developed Support Program) is the *implementation* program of the National Biodiversity Economic Development Strategy (NBEDS)[72]. Driven by the plight of the poor rural communities, emerging game farmers to create new livelihood opportunities off the land and the opportunity to expand the South African conservation infrastructure and to ensure active participation of previously disadvantaged groups in the wildlife industry, Vision 2024 provides for a sustainable rural development approach for land reform through:

- Empowerment of community land owners and emerging wildlife ranchers through fair access and equitable sharing of benefits arising from wildlife economy and turning access rights into shareholding.
- Expansion of conservation areas through incorporation of communal unproductive land and game reserves with a view to stimulating sustainable local economic growth and conservation.
- Unlocking the value of less productive emerging farms and degraded communal land through development and restoration of infrastructure, commercial partnership with private sector and improvement land use for community benefit and advancement.
- Broadening and meaningful participation of youth and women in the mainstream wildlife economy through shareholding, skill training and entrepreneurship.

151. The key tenets of the program are poverty reduction, job creation, skills development, entrepreneurship, youth and women empowerment, research, food and environmental security and equity. It promotes diversification and sustainable rural enterprises and industries by enabling emerging wildlife ranchers and community landholders to participate in the mainstream wildlife economy as shareholders and entrepreneurs. It is not targeted at agricultural productive land and communal grazing areas but degraded and unproductive land. It encourages partnerships between government, emerging wildlife farmers and the private sector. Vision 2024 is South Africa's rapid socio-economic transformation and growth of the wildlife economy, while ensuring the entry and ascendance of the landholders and poor communities into the mainstream wildlife economy of the country.

Relevant international relations

152. The United Nations (UN) General Assembly (GA) in 2015 adopted a Resolution on IWT that: Urges Member States to take decisive steps at the national level to prevent, combat and eradicate the

[72] DEA (2015). National Environmental Management: Biodiversity Act, 2004 (Act No. 10 of 2004): Biodiversity Economy Strategy. Government Gazette No. 39268, 9 October 2015. DEA, Pretoria, South Africa.

illegal trade in wildlife, on both the supply and demand sides, including by strengthening the legislation necessary for the prevention, investigation and prosecution of such illegal trade as well as strengthening enforcement and criminal justice responses, in accordance with national legislation and international law, acknowledging that the International Consortium on Combating Wildlife Crime can provide valuable technical assistance in this regard. This GEF6 project will address the following clauses of the UN GA Resolution:

- Encourages Member States to harmonize their judicial, legal and administrative regulations to support the exchange of evidence regarding and criminal prosecution of illicit trafficking in wildlife, as well as to establish national-level inter-agency wildlife crime task forces, consistent with national legislation (**Component 1)**;
- Urges Member States to engage actively in efforts to raise awareness about and address the problems and risks associated with the supply and transit of and demand for illegal wildlife products and to reduce the demand using targeted strategies in order to influence consumer behaviour (**Component 3)**;
- Strongly encourages Member States to support, including through bilateral cooperation, the development of sustainable and alternative livelihoods for communities affected by illicit trafficking in wildlife and its adverse impacts, with the full engagement of the communities in and adjacent to wildlife habitats as active partners in conservation and sustainable use, enhancing the rights and capacity of the members of such communities to manage and benefit from wildlife and wilderness (**Component 3);**
- Calls upon United Nations organizations, within their respective mandates and in line with Economic and Social Council resolution 2013/40, to continue to support efforts by Member States to fight illicit trafficking in wildlife, such as through capacity-building and by supporting alternative livelihoods, and to improve cooperation with all relevant stakeholders in order to facilitate a holistic and comprehensive approach by the international community (**Components 1 and 3)**.

2.5. Stakeholder mapping and analysis

153. The GEF project affects a wide range of stakeholders in South Africa, ranging from Government to local communities living alongside endangered wildlife. In addition, the project has a far-reaching impact on stakeholders along the value chain, from source to demand nations overseas. During the Project Preparation Grant (PPG) phase, a stakeholder analysis was carried out to identify the key stakeholders, assess their interest in the Project, and define their roles and responsibilities in its implementation.

154. Numerous stakeholders were involved in the Project Preparation phase and have provided key inputs to the development of the baseline and anticipated activities. The DEA hosted several meetings during the Project Preparation Phase to develop a National Strategy for the Conservation & Management of Rhinos in South Africa, the outcome of which is the Rhino Lab report. These meetings brought together many more stakeholders; more details are provided in Section 5.

155. Provincial Government agencies are key stakeholders as they are responsible for biodiversity management, although the National Government has overall responsibility for wildlife trade issues from South Africa. SANBI[73] (a parastatal under the DEA) will be the national lead on research and biodiversity monitoring (Component 1), and SANParks as the Government parastatal with overall responsibility for National Park management and the project will take the lead on community empowerment (Component 3).

156. **The Department of Environmental Affairs (DEA)** is legislated under Schedule 4 of the South Africa Constitutions with concurrent responsibility (with the provincial departments) for the environment in the country. DEA's mandate is to give effect to the Constitutional right of all citizens in the country to an environment that is not harmful to their health or wellbeing, and to protect the environment for the benefit of present and future generations. Accordingly, DEA manages, conserves and protects the environment for the benefit of current and future generations through management, implementation, regulation and monitoring of the environmental policy and legislation of the country. A key strategic objective of the department is to *promote the development and implementation of an enabling legal regime and licensing/authorisation system to ensure enforcement and compliance with environmental law,* and focuses on improving compliance with environment legislation in the country.

157. **Provincial agencies.** In terms of the South African Constitution the responsibility for the protection of fauna and flora, and consequently the control of the import and export of fauna and flora species, is vested in the provincial conservation departments. Provincial nature conservation authorities have also been designated as CITES Management Authorities. The young professionals who will be trained under this GEF project (Component 1) will be absorbed by these provincial authorities, which will be part of the process to identify and train the interns. The development of wildlife monitoring systems requires serious participation by the provinces and they will be involved in the design of the monitoring framework and the online system for capturing monitoring data. Provincial environmental authorities do not set their own organizational policies and goals, as these are linked to national policies and goals, making it difficult for the provincial departments to react rapidly and adapt to rapid changes in wildlife trade in the country.

158. Provincial authorities are responsible for consideration of permit applications in terms of NEM:BA and TOPS. The provincial environmental departments are:

- Eastern Cape Province: Department of Economic Development and Environmental Affairs

[73] SANBI provides knowledge and information, provides planning and policy advice and pilots best-practice management models in partnership with stakeholders (https://www.sanbi.org/about)

- Free State Province: Department of Economic Development, Tourism and Environmental Affairs
- Gauteng Province: Department of Agriculture and Rural Development
- KwaZulu-Natal Province: Department of Agriculture, Environmental Affairs and Rural Development
- Limpopo Province: Department of Economic Development, Environment & Tourism
- Mpumalanga Province: Department of Economic Development, Environment & Tourism
- North West Province: Department of Economic Development, Environment, Conservation and Tourism
- Northern Cape Province: Department of Environmental Affairs and Nature Conservation
- Western Cape Province: Department of Environmental Affairs and Development Planning

159. **Conservation/Environmental Agencies:** While the provincial environmental authorities have the Constitutional responsibility to ensure that the environment is protected and sustainably utilized in their province, four provinces, namely Mpumalanga, Western Cape, KwaZulu-Natal and Eastern Cape, have established public entities (agencies or boards) with the specific mandate to plan for and manage biodiversity conservation in their province. These environmental agencies and their mandates are as follows:

- **Mpumalanga Tourism and Parks Agency (MTPA)** is mandated by the Mpumalanga Tourism and Parks Agency Act of 2005 to provide conservation management of the natural resources of Mpumalanga. Section 3 of the Act mandates MTPA to *provide for sustainable management and promotion of tourism and conservation in the province and to ensure the sustainable utilization of natural resources* (MTPA, 2012). In pursuing this objective, the MTPA is charged with promoting and creating socio-economic growth and transformation within the conservation industry, thereby creating employment and economic opportunities for previously disadvantage individuals and local communities (MTPA, 2012). In 2011 the power to issue permits related to CITES Regulations and TOPS Regulations was allocated to the Board of MTPA (MTPA, 2012);
- **CapeNature**: is the executive arm of the Western Cape Nature Conservation Board (WCNCB) which was established in terms of the Western Cape Nature Conservation Board Act, 1998. Cape Nature's mandate is to promote and ensure nature conservation in the province and is the regulatory authority in the Western Cape for issuing permits for fauna, flora, hunting and CITES. In terms of section 27 of the Ordinance a license is required to hunt any protected wild animal during any hunting season. The hunting licence is only valid for species that are reflected in the annual hunting notice;
- **Ezemvelo KZN Wildlife (EKZNW):** is mandated by the KwaZulu–Natal Conservation Management Act (No. 9 of 1997), read in conjunction with the Public Finance Management Act (No. 1 of 1999), to conserve biodiversity and manage protected areas in KZN. The mission of Ezemvelo KZN Wildlife is to *ensure effective conservation and sustainable use of KwaZulu Natal's biodiversity in collaboration with stakeholders for the benefit of present and future generations.* The KwaZulu-Natal Nature Conservation Amendment Act (Act No. 5 of 1999) assigns responsibility for permitting for the capturing, harming, hunting, purchasing, releasing, selling or translocatiing of protected indigenous animals to Ezemvelo KZN Wildlife as the provincial Conservation Service. Permitting for hunting protected animal species and permitting of CITES species is also the responsibility of Ezemvelo KZN Wildlife;
- **Eastern Cape Parks and Tourism Agency** is mandated by the Eastern Cape Parks and Tourism Agency Act (Act No. 2 of 2010) to develop and manage protected areas in the Province. However, permitting of wildlife in the province remains the responsibility of the Department of Economic Development, Environmental Affairs and Tourism.

160. **SANParks** is a semi-autonomous parastatal responsible for management of South Africa's National Parks. Initially established in terms of the now repealed National Parks Act (Act No. 57 of 1976), SANParks continues to exist in terms of the National Environmental Management: Protected Areas Act, 57 of 2003, with the mandate to conserve South Africa's biodiversity, landscapes and associated heritage assets, through its system of national parks. SANParks is a key implementing agency of the GEF6 project.

161. SANParks is South Africa's leading conservation authority in all national parks, responsible for 3,751,113 hectares of protected land across 20 national parks. Since the democratic elections in 1994, its focus has been to make national parks more accessible to South Africa's general public to ensure that conservation remains a 'viable contributor to social and economic development in rural areas'. SANParks generates at least 75% of its operating costs and focuses its rhino conservation efforts in the Kruger National Park due to the high level of poaching activity in the park.

162. CITES principles, provisions and procedures are integrated into the SANParks policies and management plans for national parks.[74] In addition, SANParks is implementing and compliant with TOPS Regulations.

163. SANParks forms part of the National Wildlife Reaction Unit (NWRU) whose role is to fight poaching crimes nationwide.

164. SANParks is endeavouring to contribute to employment creation in surrounding rural through the Government's Expanded Public Works Programme (EPWP). In 2015/16, 23,298 people from 359 communities were employed, equal to 6364 Full-Time Equivalents (FTEs) of employment; the number of SANParks full-time employees during the same period was 4027.[75] In addition, 980 SMMEs were contracted to implement several programmes, with a total of R213 million paid to these SMMEs in a financial year. Through its Socio-Economic Development Programme, established in 2015, SANParks is contributing towards development of communities adjacent to the Parks, particularly its Social Legacy Programme, which has invested resources into much-needed community facilities, creating a total of 79 temporary jobs and science laboratories completed and handed over to the Provincial Departments of Education.[76]

165. **SANBI** is host to the National Implementing Entity (NIE) of the Global Adaptation Fund, as well as the Scientific Authority of South Africa (SAoSA), which assists in regulating the sustainable use of threatened or protected species or species listed in the CITES Appendices. It has played a crucial role in ensuring continued benefits from the wildlife economy. By participating in CITES, the Convention on Biological Diversity (CBD), the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) and the International Union for Conservation of Nature (IUCN), SANBI has influenced international agendas for policy, research and monitoring. Significant progress has been made in ensuring that biodiversity information is not only available to the scientific community, but also to all spheres of government, the private sector, non-governmental organisations (NGOs) and the broader public through the Biodiversity Advisor website. SANBI has been instrumental in co-ordinating all African membership countries of the Global Biodiversity Information Facility (GBIF) to ensure that a strategic approach is taken on how to utilise scarce resources and to have a co-ordinated voice. SANBI also holds the Africa Chair for the Biodiversity Heritage Library (BHL), which aims to ensure that all

[74] SANParks (undated). South African National Parks Strategic Plan for 2016/17 - 2019/20
[75] SANParks Annual Report 2016
[76] Ibidem

literature is accessible via the internet. Information generated by scientific research within SANBI is published online and in hardcopy.

166. **The Scientific Authority of South Africa (SAoSA)** engages stakeholders involved in wildlife trade as part of its legal mandate. As noted previously, the composition and functions of the SAoSA have been established under the NEM:BA:2004 (updated March 2015), specifically Chapter 10 which provides the regulations for:

Part 1 – Establishment, composition and operating procedure;
Part 2 – Setting of annual off-take limits; and
Part 3 – Non-detriment findings

167. SAoSA comprises a total of 15 members, 2 members representing the DEA, 1 member representing the Department of Agriculture, Forestry and Fisheries, 1 member to represent each provincial conservation authority, 1 member to represent SANParks, 1 member to represent SANBI, 1 member to represent tertiary institutions and 1 member to represent the national Zoological gardens.

168. The NEM:BA makes special reference to the lack of scientific expertise at Provincial level by stating that a provincial conservation authority may be represented by an official from another organ of state responsible for the protection of biodiversity within that particular province, in the case where such provincial conservation authority does not have the necessary scientific expertise.

169. Several court cases in South Africa (in terms of legislation relating to illegal trade activities) have highlighted the importance of consultation by, among others, the Scientific Authority. The activities planned for SAoSA under this GEF project require extensive consultation with private owners of wildlife, provincial conservation authorities, NGOs and communities who manage wildlife.

170. **South African National Defence Force (SANDF) and South African Police Service (SAPS):** provide strategic input and take part in inter-departmental initiatives as members of the National Joint Operational and Intelligence Structure (NATJOINTS).

171. **Non-Governmental Organisations (NGOs):** many national and international NGOs [eg WWF, Endangered Wildlife Trust (EWT), Conservation South Africa (CSA), the Table Mountain Fund (TMF), the Botanical Society (BotSoc)] are concerned with the conservation and management of wildlife in South Africa. Considerable efforts are being focused on rhino conservation, including through site-based protection, awareness-raising and through tackling demand for rhinoceros horn. Some key organisations include:

- **Peace Parks Foundation (PPF)** entered into an MoU with the Department of Environmental Affairs (DEA) to assist with the development of Trans-Frontier Conservation Areas (TFCAs) and more recently has jointly launched the Rhinoceros Protection Programme. National rhinoceros strategies and action plans are implemented by both private and public PA management bodies, and a number of governmental and inter-governmental organisations are involved in the development and implementation of policies relating to rhinoceros conservation, wildlife management and trade (both legal and illegal).
- **WWF's** goal is to increase rhinoceros numbers in at least five key populations by 5% each year, and establish two new rhinoceros populations by 2020. In Africa, it works to expand PAs and create new ones, and provides technical and financial support to 12 rhinoceros conservation projects to increase security in these areas. It also supports the development of wildlife-based tourism activities. WWF is also working closely with TRAFFIC to investigate and expose the illegal trade in rhinoceros horn and reduce consumer demand. WWF is working in the buffer zones of PAs to support communities to use their natural resources more sustainably.

- **Endangered Wildlife Trust (EWT)** has partnered with SANBI to carry out biodiversity assessments for the national Red List analysis, securing funding support from private sector companies in South Africa. EWT has a Wildlife in Trade Programme and works to combat illegal wildlife trade through capacity building, cooperation with other conservation NGOs and support for various rhino conservation initiatives. They provided support to the all women Anti-Poaching Unit the 'Black Mambas' in Balule Private Nature Reserve. They also provide skills training services.
- **UNEP-WCMC**-manages the CITES Trade Database on behalf of the CITES Secretariat as a key means to implement the Convention. The CITES Trade Database is a unique resource that holds over 14 million records of international trade in wildlife, as reported by Parties in their annual reports to CITES. Within these reports, Parties provide full details of all export and import permits and certificates issued during the previous year, which are then collated and uploaded into the CITES Trade Database by UNEP-WCMC. There are roughly 900,000 records of trade in CITES-listed species of wildlife reported annually. As the CITES Trade data custodians, UNEP-WCMC has a detailed knowledge and understanding of the specific CITES permitting requirements, as well as the difficulties faced by Parties in compiling and reporting permit information which will be addressed through this project. UNEP-WCMC also provides technical support to other CITES Parties, most notably the European Union, in undertaking species assessments and trade analyses, providing advice on implementation of the Convention, and developing electronic tools to support daily CITES decision making processes and enhance effective national permitting. UNEP-WCMC's expertise in the scientific aspects of CITES will also be beneficial to Component 1 of this GEF6 project, relating to the monitoring of species to inform the making of non-detriment findings.

172. **Committees/Associations/Councils:** the public and private wildlife sector in South Africa is represented by many committees, associations and councils, including:

- *National Joints Security Committee (N-JOINTS):* In 2011 the government declared the illegal killing and trade in rhino horns a national security threat, elevating this crime to the National Joints Security Committee (N-JOINTS). The agencies participating in the joint committee includes the SAPS, SANDF, National Intelligence Agency, SA Civil Aviation Authority, DEA, SANParks, South Africa Veterinary Council, the Department of Agriculture Forestry and Fisheries, the Department of Health (Medicines Control) and all other relevant co-opted stakeholders.
- *National Wildlife Crime Reaction Unit (NWCRU):* The establishment of an interim National Wildlife Crime Reaction Unit (NWCRU) within DEA was announced at the Minister's Rhino Summit in October 2010. The Unit's primary aim is to ensure that all conservation agencies in South Africa respond to the current spate of wildlife crimes and more specifically the upsurge of rhinoceros poaching and smuggling of rhinoceros horn. The Unit is being coordinated by the head of SANParks's Environmental Crime Investigation Unit on behalf of the DEA. This is a joint operation between SANParks, DEA, SAPS, SANDF, National Prosecuting Authority (NPA), Provincial Conservation Authorities and other Provincial Government structures.
- *Game Rangers' Association of Africa (GRAA):* founded in 1970 and registered as a non-profit organization. The association focusses on protecting, conserving and restoring biodiversity in the country. The objectives of the Association are, *inter alia*, to assess, support and promote wildlife conservation management throughout Africa and the rest of the world and to promote the implementation of appropriate protected area management systems as required by international conventions and agreements, and that their effectiveness be assessed and reported on throughout Africa.

- *Wildlife Ranching South Africa (WRSA):* established in 2005, is an association of private property owners in South Africa engaged in game ranching, representing the industry and providing an interface with government.[77] Most of the WRSA policies emanated from the previous Northern Wildlife Organisation (NWO) and South African Game Ranchers Organization (SAGRO).[78] WRSA functions as a non-profit organization (NPO), representing 1500 of the registered 9000 game ranches in South Africa (WRSA, 2009). WRSA's purpose is to promote, serve and protect the interests of wildlife farmers and to enhance the economic viability and growth of the industry by, amongst others, influencing and guiding national and provincial regulations and policies relating to the wildlife industry in partnership with government and facilitating and promoting broader participation and transformation within the industry;
- *Confederation of Hunters Associations of South Africa (CHASA):* CHASA has 25 hunting, hunting-related and shooting affiliates across South Africa, with 18 000 members. CHASA's vision is to give guidance to secure and maintain the freedom to hunt. CHASA has a decentralised structure with each member association having autonomy to decide on their management, fee structure, staff appointments etc. CHASA represents its member associations at national level and co-ordinates activities of member associations on a national basis. CHASA, in 2016, had the following position on the wildlife sector:
    - *CHASA is opposed to the deliberate breeding of hybrids and discourages its members, and hunters in general, to seek to hunt, and thus create a demand for such animals.*
    - *CHASA condemns the irresponsible practice of "Put & Take Hunting" where animals are hunted so soon after translocation that they are not habituated to their new territory.*
    - *CHASA will condemn any breeding practice where proper scientific evidence indicates that it could be harmful to existing wildlife meta-populations and/or biodiversity.*
    - *CHASA accepts the reality that nature is dynamic and that there is constant evolution in the demographics of wild species, that species possess a natural distribution potential, and furthermore, that most domesticated and some wild species on agricultural land, including wildlife ranches, in South Africa are at present exotic in origin.*
- *Professional Hunters Association of South Africa (PHASA):* PHASA represents the trophy hunting industry in South Africa and is recognized by the South African Qualifications Authority (SAQA) as the Professional Body for professional hunting for the National Qualifications Framework (NQF) Act 67 of 2008. It is also recognized by other government departments and role players, as the mouthpiece for the South African professional hunting industry. The voluntary association actively interacts with most leading role players in the professional hunting industry, including international hunting and conservation associations, local and international government agencies and NGOs, other professional hunting associations from around the globe, Professional Hunter (PH) training providers and local recreational hunting associations. PHASA is made up of two separate entities, each with its own identity, rules, aims and objectives. The original association, PHASA, is a non-profit body corporate governed by a formal Constitution, a strict Code of Conduct and disciplinary procedures. The majority of the 1250 members of PHASA are professional hunters and hunting outfitters.

[77] Milliken, T. and Shaw, J. (2012). *The South Africa – Viet Nam Rhino Horn Trade Nexus: A deadly combination of institutional lapses, corrupt wildlife industry professionals and Asian crime syndicates.* TRAFFIC, Johannesburg, South Africa.
[78] WRSA, 2009

- *Private Rhino Owners Association (PROA):* PROA was established in October 2009 to try and enhance co-ordination and co-operation between private owners of rhinos in South Africa in response to the increased rhino poaching threat. PROA is a branch of WRSA and is a voluntary association of members and a non-profit organization that promotes the conservation, protection and proliferation of all species of rhino on private land in South Africa. PROA was directly involved in the development of a National Rhino Security and Coordination Plan.
- *Wildlife Translocation Association (WTA):* WTA is a voluntary association of professional game capturers and associated role-players within the industry, formed in 1990. WTA currently has 76 members and is estimated to represents the majority of active capture units in South Africa.
- *Taxidermy associations:* The South African taxidermy industry is serviced by two bodies, namely the Taxidermy Association of Southern Africa (TASA) and Commercial Taxidermists and Game Skin Tanners of South Africa (CTGSTSA). TASA was established in 1980 and currently has about 70 members. CTGSTSA was established in 1994 (when it broke away from TASA) and has about 20 members. TASA represents the so-called smaller taxidermists while CTGSTSA represents the so-called bigger taxidermists. Each of them has a market share of approximately 50%. In compliance with recent hunting regulations for White Rhinos, this industry now plays a crucial mandated role in the export of all rhino hunting trophies, with individual hunters no longer eligible to take rhino horn trophies in their personal effects when returning to their home country.
- *South African Veterinary Council (SAVC):* SAVC is the regulatory body for the veterinary and para-veterinary professions in South Africa and has a statutory responsibility to determine scientific and ethical standards of professional conduct and education in this profession. SAVC also acts as an advisory body to the government in relation to any matter affecting veterinary and para-veterinary matters.
- *South African Veterinary Association (SAVA):* SAVA is a voluntary professional association of veterinarians in South Africa. The aim of the association is to promote the interests and activities of the veterinary profession and to assist veterinarians to fulfil their role in the community.

173. The **Lion Management Forum** (LiMF): was formed to focus on the best management practices for the various lion populations (including the Hluhluwe-iMfolozi and Mapungubwe National Park populations) with the longer-term goal of increasing their conservation value through scientifically based management approaches.

174. Monitoring: **The IUCN/SSC Cat Specialist Group** is responsible for the global assessment of the conservation status of all 38 wild, living cat species. The Specialist Group reports on the conservation status of the African sand cat, golden cat, cheetah, lion, serval, leopard, caracal and African wildcat. The main tasks of the group include to:

- maintain the network of cat experts and partners
- continuously assess the status and conservation needs of the 38 cat species
- support governments with strategic conservation planning
- develop capacity in felid conservation
- provide services to members and partners
- assure the financial resources for the Cat Specialist Group

2.6. Baseline analysis and gaps

175. Without the GEF6 activities, the current wildlife trade action carried out by various institutions in the country are expected to persist. Focus would remain on anti-poaching interventions, particularly related to rhino and elephant, applying a manual CITES permitting systems, limited monitoring and reporting on priority and CITES-listed species, and minimal engagement with various communities surrounding the western boundary of KNP with regard to social development and co-management of natural resources.

176. The DEA is currently implementing 30 support projects around the country in the various protected areas with a total budget of R1,334,098,200. An additional 14 projects across all provinces are in the pipeline with an anticipated budget of R352,685,216. Through the People and Parks Window of the Environment Programme, 1,585,408 job opportunities have been created. SANParks has called for public expressions of interest that will create opportunities for emerging game farmers around national parks to provide mechanisms for the transparent and equitable supply of founder herds of game to applicants and raise awareness for conservation, protected area management and sustainable utilisation principles in the wildlife industry.

177. The Kruger National Park (KNP) has been the hardest hit by poaching of rhinos, since it has the highest concentration of white rhino. In 2011, South Africa declared the illegal killing and trade of rhinos and rhino horn a priority crime and launched 'Operation Rhino'. Efforts to stop poaching include: increased numbers of anti-poaching personnel in KNP, upskilling of rangers, the formation of a National Wildlife Crime Reaction Unit, the elevation of rhino-related crime to a priority crime, increased intelligence gathering, the appointment of special wildlife prosecutors, and a huge increase in security investment by private rhino owners. KNP's anti-poaching unit consists not only of SANParks game rangers, but also the South African Police Service (SAPS), South African National Defence Force (SANDF) and the South African Air Force (SAAF).

178. Although these collective efforts have led to increased numbers of arrests and convictions, stronger sentences and significant asset forfeitures, they have primarily dealt with one side of the strategy, i.e. increasing the risks to poachers and traffickers. Efforts have not yet reduced rewards to traffickers and have so far proved insufficient to slow the rate of rhino poaching in most areas.

179. Additionally, while these enforcement efforts are critical, they are expensive, and the costs are unsustainable for many private rhino owners and are becoming too high even for the State. Importantly, as investments for rhino protection increase, resources are diverted from other important conservation efforts

180. The GEF5 'Rhino Project' (see Section 2.7 below for more information), which is currently being implemented in South Africa, focuses on rhino DNA traceability as one issue to address illegal trafficking in rhino horn.

181. The interventions being implemented to counter rhino poaching in KNP are also being used to respond to the emerging threat on African elephants.

182. Other wildlife initiatives undertaken by South Africa have included: inclusion of environmental inspectors within national operational monitoring teams (to observe transgressions of wildlife legislation), capacity building of security forces regarding environmental legislation, creation of a specialised National Wildlife Information Management Unit (NWIMU) responsible for endangered wildlife security, nationally and internationally, awareness-raising and partnership development with communities living around national parks, and enhancing consultation with the private sector in an attempt to standardise practices and procedures, including enhanced security measures.

Baseline Component 1 - Strengthening institutional capacity and information systems for effective management of wildlife trade monitoring

183. The current lack of capacity within the SAoSA to carry out its prescribed functions in terms of the NEM:BA and the text of the CITES Convention is expected to remain largely unchanged without the GEF6 initiative. The current scenario in South Africa consists of an established Scientific Authority (15 members) with a cadre of wildlife scientists, some of whom are close to retirement. In terms of national law, once SAoSA members have served their 4-year terms of office, they need to be replaced (or re-appointed by the Minister). However, replacing members has proved problematic due to a number of reasons, i.e. vacant - and frozen - posts in the provinces, availability of young graduates who have little or no experience of wildlife trade.

184. Fiscal constraints and public spending rationalization has resulted in capacity gaps within public institutions remaining unchanged or even increasing. A recent review of capacities of Scientific Services in five (5) provinces (Table 5) showed that vacancy levels can range from 20% vacancy to as high as 70% vacancy. Most importantly, vacancies exist in critical skill-sets such as ecologists, specialist scientists (botanists, zoologists, mammologists) and supporting skills such as technicians. The table shows terrestrial positions relevant to the GEF6 project and the totals include all positions in the scientific services.

Table 5: Estimated vacancy within five provincial scientific services.

CATEGORY	SCOPE OF OPERATIONS	CapeNature		Free State		GDARD		MTPA		DENC	
Management & Support	Manager Scientific Services (Directors; Manager; Deputy Directors; Assistant Directors)	1	2		5	1		1		1	
	Administration (librarians;			1		1		1			
Terrestrial systems (biodiversity planning; ecological services; land use)	Advisor	3	1					2	1		
	Botanist	1	1				1	2			
	Control Scientist							1	3		
	Ecologist	4	1	3	4	3	1	2	3	5	
	Entomologist								1		
	Herpetologist						1	1			
	Invertebrate Scientist						1				
	Mammalogist/Zoologist	1				1		3		1	
	Ornithologist	1		1	2	1		1			
	Scientific Technician	5				5	5	1	6		
	Scientist/Technician GIS	4			1				1		
	Scientist Planning	1			1				1		
	Veterinarian			1	2						
Total posisitons		30		28		42		37		27	
Total filled positions		24		8		26		20		9	
Total vacant positions		6		20		16		17		18	
Percentage vacancy		20%		71%		38%		46%		67%	

185. A baseline study of the nature and scope of green skills for conserving South Africa's ecological assets, currently being carried out by WWF, demonstrates similar patterns of gaps in skills and capacities in the environment sector of South Africa (Table 6). There is an urgent need to improve the capacity of SAoSA at local, provincial and national levels in monitoring and determining the sustainability of harvest for legal trade.

Table 6: Estimates of scarce skills gaps within occupational areas of the environmental sector of South Africa.[79]

Scarce occupation	Vacancies over 50	Organisations comment on degree of scarcity	% number of vacancies relative to total number of skills
Botanist	6	SANBI reported a scarcity in Botany	16%
Environmental Officer	173		38%
Species Protection Officer	65		38%
Conservation Scientist	141		42%
Environmental Manager	20	This is a fairly new career, often branches from different learning pathways	19%
Zoologist	8	Specialists are difficult to find e.g. Entomologist, small mammal and Large mammal specialist	38%
Ecologist	15	One Reserve Ecologist usually works between several reserves; therefore, they are often overwhelmed. The Ichthyologist is a particularly scarce skill, specialising in freshwater ecosystems. A mentoring succession plan is required to ensure development of the skill.	20%
Environmental Practices Inspector	4	Very scarce especially in rural provinces where it is difficult to attract and retain this skill.	67%
Research Manager / Research Director	5	It takes a long time to fill this position. As a result, the position is dissolved leaving research unstructured. Often the research portfolio is shared amongst other responsibilities.	17%

186. A baseline capacity scorecard was completed for the SAoSA (based at SANBI) and is attached in Appendix 16 of this project document.

187. Although SANBI is the national repository of biological data for all South Africa's wildlife species, it does not currently have a comprehensive database of scientific/biological information for every species. Due to capacity limitations, this *status quo* is expected to continue if the GEF6 activities are not implemented.

188. However, there are many national indicators, such as reports and species-specific monitoring systems, including the Department of Performance Monitoring and Evaluation - Programme of Action (POA) system of monitoring and reporting indicators related to the Medium Term Strategic Framework (MTSF). Since the MTSF is the implementation strategy for the National Development Plan, the POA captures information on progress in achieving the NDP imperatives and obligations. Within the POA, the terrestrial biodiversity target is that 90% of state-managed protected areas are assessed with a METT score above 67%.

189. The DEA State of Environment (SoE) systems reports at various intervals on the trends and changes in key indicators of the status of the environment in the country. The SoE web-based database provides trends data on 4 terrestrial biodiversity indicators: 1) critically endangered vegetation types in South Africa, 2) species richness per taxonomic group of the biomes of South Africa, 3) threatened species per taxonomic group and per biome, and 4) percentage land protected.

[79] WWF (2017). Green Skills Research for Conservation: A baseline study of the nature and scope of green skills for conserving South Africa's ecological assets. Presentation for the Biodiversity Indaba.

190. SANBI, through its threatened species programme, curates and maintains a large web-based database of information of IUCN Red List species. This web-based system has significant focus on a Red List of South African plants.

191. Similarly, the limited monitoring efforts of wildlife (including plants) which is currently carried out by provincial and park authorities, particularly for large mammal species, can be expected to continue in an un-coordinated manner, with limited monitoring data collected on high-profile species such as rhino, lion, leopard and elephant.

Baseline for Component 2 – Development of a ready-to-use e-permitting system for CITES-listed species

192. South Africa currently uses a complex, unaligned permitting system for CITES-listed species that is prone to human error, corruption and forgery. The system is manual, slow, and inefficient to the extent that the GoSA is not able to meet its 'Batho Pele' – or Putting People First – principles.

193. The current process for manual CITES permitting in South Africa, shown in Figure 10, is that the permit applicant manually submits a request to their relevant Provincial Management Authority. In line with the CITES Regulations, the Provincial Management Authority must consider the nature and level of trade in the CITES-listed species, the current quotas and their allocation to permit applicants, the current registration of traders and production operations related to the species, etc., in order to make a decision on the permit application. If a decision cannot be concluded by the Provincial Management Authority, this authority consults the National Management Authority, who either make a decision or consult with the SAoSA Secretariat. If the SAoSA Secretariat is unable to make a decision, it will consult with all of the Provincial Management Authorities (including the Provincial authority that initiated the request for assistance), requesting their input on population data, for example, in order that an NDF or other supporting statement can be made, and advice given to the DEA. A centralized biodiversity monitoring and e-permitting system for CITES-listed species in South Africa would hold data on species, export quotas, annual allocation of quotas to permits, traders and production operations, etc. Currently, decisions made at the Provincial Management Authority level are generally made in isolation. Similarly, CITES permit decisions made by South Africa for trans-boundary species are also made in isolation from surrounding regional States.

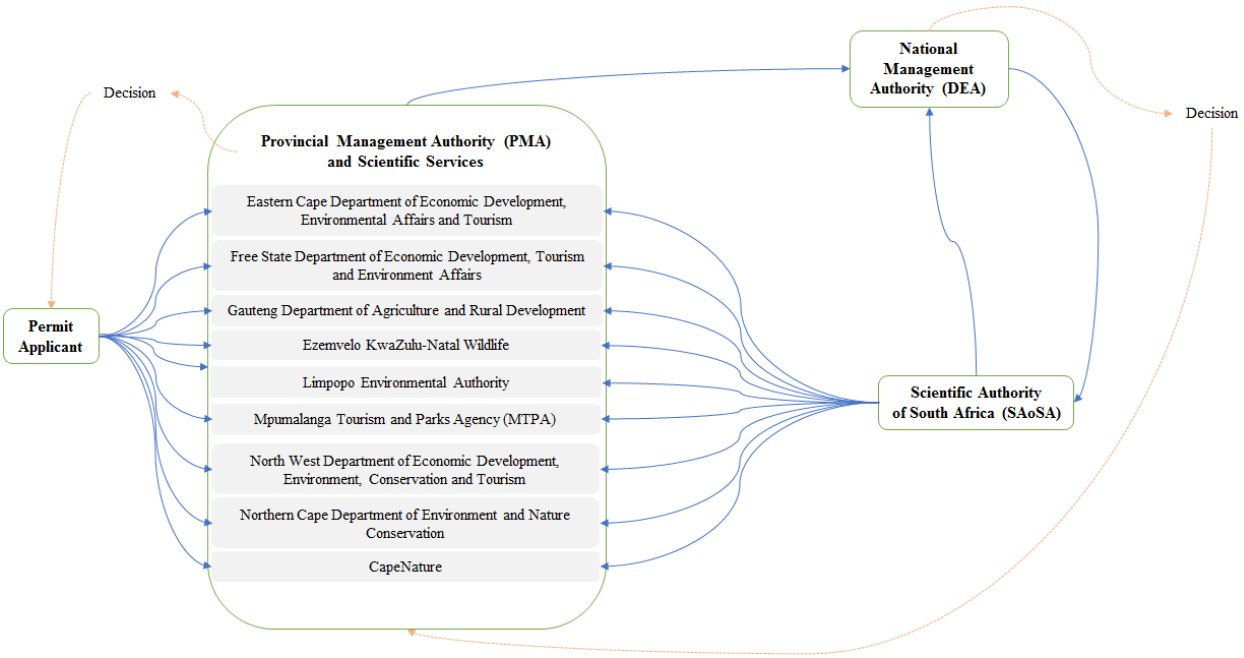


Figure 10: Flow diagram showing the decision-making process for a CITES permit application in South Africa

194. As noted previously, UNEP-WCMC manages the CITES Trade Database on behalf of the CITES Secretariat and Parties are required to provide annual reports to the CITES Secretariat, including full details of all export and import permits and certificates issued during the previous year. This information is then collated and uploaded into the CITES Trade Database by UNEP-WCMC. With the current paper CITES permitting system in South Africa, reporting to the CITES Trade Database is a challenge and has resulted in gaps in reporting.

195. The harmonisation of South Africa's e-permitting system for CITES-listed species with CITES's e-permitting standards (and UNCTAD's ASYCUDA[80]) will help other CITES Parties to trace species throughout their value trade chain. This will contribute to ensuring the sustainable use of species that are legally traded.

196. The GEF project will contribute to the purpose of the Memorandum of Understanding (MoU) between CITES and the United Nations Conference on Trade and Development (UNCTAD), i.e. to ensure that international trade does not harm the conservation of CITES-listed species, but enhances the livelihoods of the poor and promotes opportunities for entrepreneurs that comply with CITES requirements and national legislation.

Component 3 – Strengthening community capacity to reduce the rate of illegal wildlife trade.

197. The Implementation of Rhino Conservation Projects with a development orientation was discussed at the World Parks Congress held in Durban, 2003, where it was noted that these should be carried out in accordance with one of the 10 principles expressed in the Agenda for Action at the WPC:

> The *African people's extreme dependence on biodiversity and natural resources will not be sustainable unless protected areas are linked with mainstream local, national and regional development priorities. Lessons from integrated conservation and development programmes have shown that both conservation and development can only be integrated if projects are conceived within a similar framework. Perhaps more than anywhere else in the world, biodiversity conservation must be integrated into the livelihoods of local people and their economies.*

198. Historically, conservation in South Africa preserved isolated pockets of biodiversity while *protecting* the interests of the privileged few. South Africa's protected areas were established primarily without consultation with people living in or adjacent to these areas. Human rights violations, particularly through criminalising access to protected areas, have resulted in tensions between conservation and communities. South Africa recognizes that traditional conservation initiatives (ie creation of protected or fenced areas for conservation) cannot be sustainable without developing alternative economic opportunities for adjacent stakeholders. To respond to this imperative, DEA has recently developed a national Biodiversity Economy Strategy which aims to ensure that the country's rich biodiversity contributes to improved livelihoods of communities and reduces the attraction of illegal wildlife trade as a means of sustaining resource-poor households.

199. South Africa's Minister of Environment has noted that community involvement in conservation is critical to the success of South Africa's Integrated Strategic Management approach. The DEA is working closely with the Department of Rural Development and Land Reform (DRDLR) and other strategic partners from government, conservation agencies, NGOs and the private sector to bring local

[80] ASYCUDA – Automated System for Customs Data – objective is to streamline operations of Customs clearance

communities into the mainstream of conservation as a central strategy to its anti-poaching strategies. The belief is that if communities, and rural communities in particular, have a real, tangible stake in the natural resources sector, the incentive to become involved in the activities of the transnational organised criminal syndicates involved in rhino poaching are removed.

200. The People and Parks Programme (P&PP) of SANParks continues to be a key component of South Africa's community support strategy. Since its creation at the World Parks Congress (Durban, 2003), the P&PP has evolved and works with strong community involvement, policies, strategies and frameworks in place. The P&PP's goals are to ensure that local communities are involved in the management of protected and surrounding areas and to invest in biodiversity conservation for economic benefits.[81] Communities surrounding national parks are consulted and joint planning sessions are organised to discuss issues of mutual interest. Lessons learned from the various community policing initiatives that have been implemented in South Africa include the SANParks Environmental Monitors initiative,[82] the Black Mambas,[83] the Bush Babies,[84] and Community Rangers.[85]

201. South Africa has developed an innovative means to address illegal wildlife trade through its strategy to enhance community ranger initiatives and private sector stewardship of natural resources. Programmes implemented through the GLTFCA, by WWF-SA and other programmes recognise that addressing illegal wildlife trade requires a holistic approach with actors from across government, communities, civil society, and the private sector, including coordination within countries and across geopolitical boundaries.

202. The GLTFCA's integrated livelihoods diversification strategy (2016-2030) targets Makuya (a target site for this GEF6 project, see Appendix 15 for more information on the site) for projects that will protect and restore natural resources through sharing benefits with surrounding communities. Additionally, a strategic objective of the GLTFCA strategy notes that all initiatives must involve extensive investment in community governance and accountability structures. The activities planned for Component 3 will address such community governance needs.

203. Trade bans are effectively increasing profits and resulting in the involvement of highly-organised criminals with the capacity to operate even under increased enforcement effort. With prices rising for high-value wildlife, Challender *et al* (2016) have argued that interventions need to go beyond regulation and that new and bold strategies are needed urgently. In the immediate future, they suggest that local communities should receive incentives and capacity building to conserve wildlife. This approach – to involve rural communities in wildlife conservation efforts - is not new for South Africa. KNP has an integrated land use approach that aims to develop an integrated, systemic approach to the Greater Kruger Buffer. This approach aims to bring livelihood, ecosystem services and ecological infrastructure, climate change adaptation and biodiversity issues together.

204. The Working for Rhino (WFR) programme is a new initiative, where efforts are being made to address the rhino poaching in Kruger National in hotspots that are adjacent to communal areas. The concept is to train Community Field Rangers to patrol the section boundaries of KNP that are adjacent to their communal area. In addition to rhino poaching, the WFR could be used as a vehicle to deliver sustainable wildlife-related livelihood projects.

[81] https://www.environment.gov.za/projectsprogrammes/peopleparks/about
[82] All SANParks Environmental Monitors are trained at SAWC - http://www.wildlifecollege.org.za/
[83] http://www.blackmambas.org/
[84] http://www.blackmambas.org/bush-babies.html
[85] https://www.sanparks.org/parks/kruger/conservation/services/rangers.php

2.7. Linkages with other GEF and non-GEF interventions

205. The GEF6 project is closely linked with a number of projects taking place in South Africa and neighbouring countries that have similar priorities, action plans and goals, particularly with regard to: developing initiatives to increase economic participation of rural communities living adjacent to protected areas leading to a reduction in the rate of illegal wildlife trade (eg WWF-SA Khetha project); and enhancing international cooperation with monitoring and control of wildlife trade (eg UNEP-GEF5 'Rhino' project, TRAFFIC USAID ROUTES project).

206. Communication systems, linkages and coordination with individual projects will be established by the project management team during the inception period, facilitated by UNEP and others, in order to optimize synergies, examine the potential for cost sharing and ensure efforts are complementary. However, at a strategic level, the Project Steering Committee (PSC) ensuring coordination and synergies between projects.

GEF initiatives

207. **South Africa's GEF5 'Rhino' project** (Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa [target: rhinoceros]) is in its final year of project activities (2018). It has focused its activities on reducing illegal wildlife trade and specifically aimed to 'improve the effectiveness of efforts to combat wildlife crime in South Africa's Protected Area system, focused on rhinoceros, through improved forensic technologies enhanced cooperation structures and mechanisms at international level to support law enforcement efforts along the whole trafficking chain'.

208. **The UNDP-GEF5 Protected Area programme** 'Improving Management Effectiveness of the Protected Area Network) is being implemented nationally by SANParks and has identified six long-term outcomes:

- resilient socio-economic benefits and financial sustainability unlocked
- biodiversity and cultural heritage targets maintained and improved
- ecological processes and ecosystem services maintained and improved
- declaration of conservation areas which ensures an improved security of land use
- integrated land used planning and management, including the protected area network and areas outside these (local to catchment level)
- water use planning and management operations improved.

209. **The UNDP-GEF6 Bio-prospecting project** 'Development of Value Chains for Products derived from Genetic Resources in Compliance with the Nagoya Protocol on Access and Benefit Sharing and the National Biodiversity Economy Strategy', which aims to strengthen value chains for products derived from genetic resources that contribute to the equitable sharing of benefits and the Conservation of Biodiversity. This project concept has been approved and is at Full-sized project development stage, with an anticipated start date of 2018. The project will be executed by DEA, the University of Pretoria and the Council for Scientific and Industrial Research (CSIR).

210. **The UNDP-GEF Mainstreaming project** 'Mainstreaming Biodiversity into Land Use Regulation and Management at the Municipal Scale', which is being executed by DEA and SANBI aims to mitigate multiple threats to biodiversity by increasing the capabilities of authorities and land owners to regulate land use and manage priority biodiversity at the municipal scale.

211. This GEF6 project is part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and falls under the GEF Programme Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (GWP) (ID 9349). Under this programmatic

framework, and coordination through the programme steering committee, knowledge management and cross-referencing of the individual projects will be guaranteed. The activities planned under the South Africa GEF6 project link to a number of GEF6 Child projects in countries bordering South Africa, as shown in Table 7.

Table 7: Activities, objectives and targets for regional GEF6 Child Projects

Name of on-going and planned programme/project, years of implementation	Programme/project objectives and targets	How proposed UNEP/GEF project will collaborate with the programme/project?
Gabon, Kenya, Malawi, Mozambique, Zambia: Enhancing legislative, policy, and criminal justice frameworks for combating poaching and illegal wildlife trade in Africa	Strengthening policies, laws, and criminal justice capacities to address poaching and illegal wildlife trade (IWT) in five target countries in Africa	The monitoring and capacity-building benefits of Component 1 can indirectly link to efforts in neighbouring countries to combat poaching and IWT through sharing of scientific knowledge and expertise of monitoring of - and reporting on - prioritised species. A capacitated SAoSA can provide scientific advice, knowledge and expertise to neighbouring countries on trade in cross-border priority species.
Botswana: Managing the Human-wildlife Interface to Sustain the Flow of Agro-ecosystem Services and Prevent Illegal Wildlife Trafficking in the Kgalagadi and Ghanzi Drylands	To promote an integrated landscape approach to managing Kgalagadi and Ghanzi drylands for ecosystem resilience, improved livelihoods and reduced conflicts between wildlife conservation and livestock production.	

Non-GEF initiatives

212. The proposed project is closely linked with a number of non- GEF initiatives in South Africa and the region, including:

213. **WWF-South Africa African Rhino Programme (ARP).** The programmatic vision is that 'viable and well-distributed populations of African rhino will occur throughout their natural historic range, acting as flagship species for biodiversity conservation and wildlife-based sustainable economic development.'[86] Six areas have been identified for priority action:

1. further relevant policy and legislation in all sectors and at all levels (Components 1 and 2)
2. ensure the necessary extent, integrity and functioning of critical habitat (Component 3)
3. ensure adequate protection and biological management of populations (Component 3)
4. generate mutually beneficial incentives for the co-existence of people and species (Component 3)
5. create awareness and influence adverse attitudes and behavior (Component 3)

214. **WWF-SA** has been testing replicable technologies under a Google 'Global Impact' grant to create systems to control rhino poaching and ranger patrolling using analytical software such as Spatial Monitoring and Reporting Tool (SMART) for poaching detection and deterrence. SMART technology will be reviewed at the start of the GEF6 project for possible use under Component 3.

215. **WWF-SA's Khetha project**. This newly approved project will commence in late 2017 and will run concurrently with the GEF6 project. The Khetha project's goal is to halt wildlife trafficking impacts on flagship species in key populations of the landscape in South Africa and Mozambique. More specifically by 2021, the program will contribute to achieving positive growth rates in black and white

[86] http://www.wwf.org.za/what_we_do/rhino_programme/arp/

rhino populations and maintain positive growth rates for elephants in the focal area (western boundary of KNP in South Africa and eastern boundary of KNP in Mozambique). This will be achieved through a two-pronged approach:

(1) by demonstrating that communities can play a role in addressing illegal wildlife trade while strengthening the social, financial and governance structures; and

(2) addressing gaps in implementing policy frameworks for wildlife trafficking.

216. Both approaches will embody crime preventions principles. The Program will support the SADC Law Enforcement and Anti-Poaching Strategy objectives to reduce the level of poaching and illegal trade in wildlife, enhance law enforcement capacity and promote appropriate sustainable utilization.

217. Khetha will be implemented under the guiding framework of the Protocol for Wildlife Conservation and Law Enforcement. Information concerning wildlife management and utilization and the enforcement of wildlife laws throughout the GLTFCA will be shared with partners to build capacity for wildlife management, conservation and enforcement of wildlife laws, together with community-based natural resources management practices and incentives models.

218. WWF-SA, through its Khetha project, will be a partner under Component 3 of this GEF6 project, as it aims to provide communities surrounding KNP the opportunity to choose to conserve wildlife whilst making informed choices to improve their livelihoods.

219. WWF personnel have been active members of the PPG Project Steering Committee established by the DEA and have provided considerable input to the development of the project. A representative from WWF-SA will be included on the Project Steering Committee during project implementation. In addition, WWF-SA will provide co-financing to the project (Table 18).

220. **Peace Parks Foundation (PPF)** is running several programmes of work in South Africa that are relevant to activities under Component 3 of this GEF6 project, including supporting rangers and community development. PPF has partnered with the Southern African Wildlife College to provide training to community rangers and equipment such as night-time binoculars. Community development activities have focused on awareness-raising (through theatre groups, brochures) and assisting with the creation of community development facilities, community conservancies, conservation and tourism-related ventures, and conservation agriculture projects.

221. PPF is assisting South Africa to devise strategies to combat wildlife crime. The programme merges political support with practical programmes aimed at improved law enforcement, joint training for joint operations, as well as awareness campaigns targeting the judicial system and local communities. A further PPF programme is focusing on conservation of the leopard. PPF will provide co-financing to the project (Table 18).

222. **TRAFFIC**, IUCN-WWF's joint network project on wildlife trade monitoring, has an office in South Africa and has been implementing a USAID-funded project 'Wildlife Trafficking, Response, Assessment, Priority Setting' (Wildlife- TRAPS). The aim of the project is to protect wildlife by strengthening the knowledge base and cooperation of governments, inter- governmental organisations, private sector and NGOs to tackle illegal wildlife trade between Africa and Asia.

223. A follow-on project, the USAID ROUTES (Reducing Opportunities for Unlawful Transport of Endangered Species) Partnership (2015-2019) is led by TRAFFIC and collaborates with government agencies, transportation and logistics industry representatives, international conservation organisations, law enforcement organisations, and donors to 'disrupt wildlife trafficking by reducing the use of legal transportation supply chains.'

224. Although not directly involved in the GEF6 project, the various linkages between TRAFFIC's programme of work and the biodiversity and wildlife trade monitoring component of this project are obvious and will be pursued by the PMC during Inception Phase.

225. **IUCN African Rhino Specialist Group (AfRSG).** AfRSG's mission is to promote the development and long- term maintenance of viable populations of African rhinos in the wild. The AfRSG develops and promotes recommended best practices for rhino conservation activities and produced an Action Plan for the conservation of rhino species. AfRSG members are actively involved in various regional rhino conservation bodies, such as: the SADC Regional Programme for Rhino Conservation, the SADC Rhino Management Group, and the SADC Rhino and Elephant Security Group.

226. The AfRSG aims to convene all members at biennial meetings to share knowledge and information, collate and update rhino numbers at a continental level, and workshop specific issues. The following subjects are dealt with by AfRSG members and will provide linkages to the GEF6 project:

- drafting review documents for CITES CoPs;
- specialist contributions to various regional forums/committees/meetings that enhance cooperation, security and meta population management;
- compiling the official continental rhino statistics (every two years);
- acting as the IUCN Red List Authority for African rhinos;
- assisting range states and management agencies develop rhino conservation plans and strategies (including South Africa);
- providing guidance, advice, training and tools to help field conservationists monitor their rhinos and enable them to use the data collected to make more informed biological management decisions;
- assisting range states and agencies with capacity building (i.e. providing materials and software, holding training courses);
- enhancing rhino protection through facilitating and promoting effective investigation and prosecution of rhino crimes (including in South Africa); and
- development of specific management tools/software for population estimation and managing intelligence information.

SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)

3.1. Project rationale, policy conformity and expected global environmental benefits

227. The GEF project will support the Biodiversity goal of GEF6 and will contribute to achieving the following specific GEF Focal Area Objective and Program, as follows:

Focal Area Objective 2: Reduce Threats to Globally Significant Biodiversity.
Focal Area Program 3: Preventing the Extinction of Known Threatened Species

228. The challenges identified and which this project will address have been described in Section 2 above.

229. The GEF6 project will ensure continued conservation and protection of key species in KNP, as well as other 'valuable' wildlife species that are at risk of over-exploitation. An assessment of the global significance of the GEF project was provided in Section 2.2 above where the global benefits would include:

- protection for wildlife species that are being traded legally, as permitting systems would become electronic and stop fraudulent use of paper permits
- reduced rate of poaching of globally important mammal species, eg rhino and elephant, through involvement of rural communities as Environmental Monitors and through awareness raising to stop the rapid rate of poaching recruitment from the rural areas bordering KNP
- improved implementation of CITES in South Africa which will ultimately lead to conservation benefits for wildlife, as well as improved coordination with regional (and beyond) CITES Parties to ensure legal and sustainable trade.

230. The contribution that the Project will make to the Aichi 2020 Targets is highlighted in Table 8 and Figure 11.

Table 8: Component Contributions to Aichi Declaration Targets

Aichi 2020 Targets	How the project will support achievement of each target
Target 1: By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably	Efforts made under Component 3 of the Project will see a raised awareness at the target clusters regarding the value of wildlife and investigate ways to improve conservation and, potentially the sustainable use of surrounding biodiversity
Target 2: By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.	Inputs through Component 3 of the Project will result in an integration of biodiversity values into local development priority strategies
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.	With illegal trade in wildlife and wildlife parts an emerging driver of biodiversity loss, the project will link to this Aichi target. Component 1 aims to address supply aspects of trade in wildlife by building monitoring capability and capacity, building the capacity of the Scientific Authority to strengthening decision-making processes related to conservation, management, sustainable use and monitoring of priority species (big cats, rhino and elephant).
Target 19: By 2020, knowledge, the science base and technologies relating to biodiversity, its values, functioning, status and trends, and the consequences of its loss, are improved, widely shared and transferred, and applied.	The project will build the capacity of the scientific authority, which supports conservation and sustainable use of wildlife in South Africa. With this improvement in capacity and capability, biodiversity science will be improved and decision-making and advice will be based on credible scientific evidence.

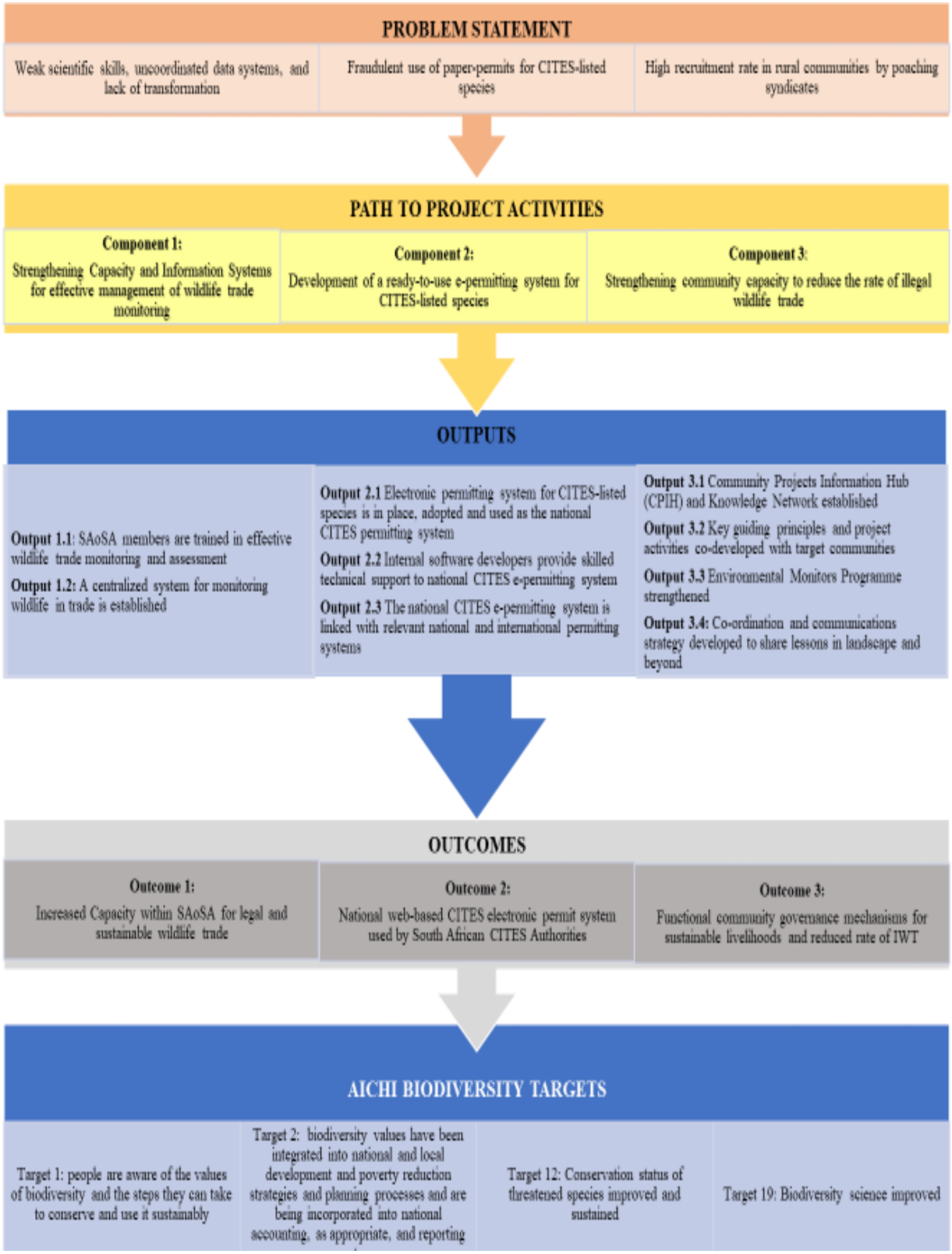


Figure 11: Diagram showing the GEF6 project Components, Outcomes and Outputs that respond to the 4 relevant Aichi Targets.

3.2. Project goal and objective

231. Project Goal: The project Goal or Strategic Objective is to strengthen institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa

232. The Project Objective is to fight against illegal wildlife trade through institutional strengthening, improved information management and monitoring (and collaboration at an international level), thereby influencing the supply system at local (protected areas), national (South Africa) and regional levels.

233. Baseline conditions, targets, monitoring milestones and risks related to the Project Objective are described in the Results Framework (Appendix 4), the Workplan and Timetable (Appendix 5), Key Deliverables and Benchmarks (Appendix 6) and the Costed M&E Plan (Appendix 7).

234. The project objective will be achieved through the key inputs under three targeted Components (see Section 3.3 below for details):

- Component 1 - Strengthening institutional capacity and information systems for effective management of wildlife trade monitoring
- Component 2 – Development of a ready-to-use e-permitting system for CITES-listed species
- Component 3 – Strengthening community capacity to reduce the rate of illegal wildlife trade.

235. Component 1 aims to develop a centralised system for improved wildlife trade monitoring through development of training modules and providing skills training to the Scientific Authority of South Africa on effective wildlife trade monitoring and assessment, as well as through the creation of a national wildlife monitoring system. The coherent national system developed under Component 1 will integrate with the national e-permitting system for CITES-listed species to be developed under Component 2, which will provide an electronic system for CITES permitting that will ultimately 'speak' to an international e-permitting system for CITES-listed species already created by the CITES Secretariat and UNEP-WCMC.

236. Component 3 aims to bring communities into the fight against illegal wildlife trade through a sequential process of drafting, validating and implementing governance guidelines specifically targeting community based natural resource management. Piloting the community policing model that was developed during the PPG phase will feed into the project's efforts to document and show-case community-level social development. The communications aspects of this Component will facilitate the communication of project results and successes, as well as help with replication in other areas, if necessary. Lessons learned will be made available through written reports, reports to relevant CITES meetings, and through training manuals developed and distributed by the South African Wildlife College and its partners.

237. The three project components are inter-related and will lead to improved capacity of decision makers, users and beneficiaries of wildlife, as well as the development of appropriate governance systems and management tools that will ultimately lead to improved wildlife monitoring and a reduction in the rate of illegal wildlife trade from South Africa.

3.3. Project components and expected results

Table 9: Summary Table of Project Components, outcomes and Outputs

Component 1: Strengthening institutional capacity and information systems for effective management of wildlife trade monitoring
Outcome 1: Increased capacity within SAoSA for legal and sustainable wildlife trade Indicator – *National CITES Regulations and implementation are strengthened*
Output 1.1 – SAoSA members are trained in effective wildlife trade monitoring and assessment Output 1.2 – A centralised system for monitoring wildlife in trade is established
Component 2: Development of a ready-to-use e-permitting system for CITES-listed species
Outcome 2: National web-based electronic permit system for CITES-listed species used by South African CITES Authorities Indicator – *Seizures of illegally-traded wildlife increase, leading to arrests and prosecutions*
Output 2.1 – Electronic permitting system for CITES-listed species is in place, adopted and used as the national CITES permitting system
Output 2.2 – Internal software developers provide skilled technical support to national e-permitting system for CITES-listed species
Output 2.3 – The national e-permitting system for CITES-listed species is linked with relevant national and international permitting systems
Component 3: Strengthening community capacity to reduce the rate of illegal wildlife trade
Outcome 3 – Functional community governance mechanisms for sustainable livelihoods and reduced rate of illegal wildlife trade Indicator – *Poaching rates attenuate and rhino population decline in KNP is reversed; and benefits from wildlife management accrue to target communities*
Output 3.1 – Key guiding principles and project activities co-developed with target communities
Output 3.2 – Environmental Monitors Programme strengthened
Output 3.3 – Co-ordination and communications strategy developed to share lessons in landscape and beyond

238. **Component 1**'s specific objective is to reduce the rate of illegal wildlife trade through institutional strengthening of the SAoSA and improved information management and monitoring of priority species with NDFs, thereby influencing the supply system at local (protected areas), national (South Africa) and regional levels, and improving monitoring and collaboration at an international level.

239. As noted previously, the key functions of the SAoSA are to monitor legal (and illegal) wildlife trade, make non-detriment findings and provide advice to the GoSA regarding measures to reduce illegal or non-sustainable trade. Component 1 aims to develop a centralised system for improved wildlife trade monitoring through development of a capacity development plan and implementation of this plan through providing training modules and skills training to personnel in SAoSA at the national level, and to personnel of the scientific services at a provincial level, on effective wildlife trade monitoring and assessment. The capacity development efforts, including hiring and training young wildlife professionals across the provinces, will support the growth in capacity through the creation of a national wildlife monitoring system for priority species (big cats; elephant; rhino).

240. The various issues that have been described above and the numerous CITES processes, Decisions, Resolutions that have been drafted on wildlife trade and NDFs, underscore the importance of a strong SAoSA and an improved and coordinated monitoring system for wildlife trade in South Africa. This Component will provide GEF incremental support to the government of South Africa in taking the preliminary steps towards implementation of a centralised database for monitoring priority species, which will link to the national CITES-related e-permitting system for CITES-listed species (Component 2). South Africa is a globally important site for the development of such a centralised system, particularly given its high-profile level of poaching and degree of illegal wildlife trade.

241. This Component supports the CITES CoP17 (Johannesburg, 2016) call for Parties to "engage in public awareness campaigns, including: supply and demand reduction; drawing attention to existing or new regulations concerning the sale and purchase of ivory" (Resolution Conf. 10.10 [Rev. CoP17]); and the need for well-targeted, evidence-based, species-specific, country-specific demand-reduction campaigns to more effectively bring about behaviour changes. The project will also indirectly address the call from CITES CoP17 to:

- conduct in-depth and regular research on the demand for specimens of illegally traded CITES-listed species
- create greater awareness of the broader consequences and impacts of illegal harvest and illegal trade of wildlife and plants, particularly on wild populations and the ecosystems in which they exist, as well as raise awareness of broader impacts of wildlife trafficking on livelihoods and sustainable development; and
- strengthen legal and enforcement deterrents by creating greater awareness of laws prohibiting trade in illegal wildlife products and any associated penalties.

242. The coherent national monitoring system developed under Component 1 will integrate with the national e-permitting system for CITES-listed species to be developed under Component 2, which will provide an electronic system for CITES permitting that will ultimately 'speak' to an international e-permitting system for CITES-listed species already created.

243. The centralized system for monitoring trade in wildlife will be comprehensive and will include a web- based component. For the Scientific Authority to be effective, it needs to integrate three sources of data, the population status of the species in trade, legal offtake/trade, illegal trade. The e-permitting system for CITES-listed species (Component 2) provides one element of this information (i.e. legal offtake/ trade). The e-permitting system will need to have an API that enables it to supply information to the SAoSA database on at least (i) permits issued for species in trade, (ii) records of endorsement of those permits when specimens are actually traded, (iii) any record of an NDF upon which the permit was issued. The link to data on illegal trade will be tackled as part of the project as these data sources are varied and dispersed and are not part of the e-permitting system. Data on illegal trade will come from confiscations at ports, arrest of poachers, monitoring of illegal killings and it may not be possible to easily integrate these unless there are other existing databases. The project will therefore investigate this as part of the scoping process.

244. Data from the centralized system for monitoring trade will inform the eCITES system in Component 2 and vice versa. The monitoring system is expected to provide value data and information to inform the e-permitting system for CITES-listed species in Component 2, providing information of levels of trade in the species and current status of the distribution/abundance of the species.

245. The CITES Secretariat has reiterated their offer to support South Africa in the implementation of this important project. The Secretariat provides advisory services and capacity building to support Parties in the implementation of electronic CITES systems. Secretariat services are pro bono and depend on the availability of staff. The Secretariat requires funding of direct support costs such as travel. If requested the Secretariat could support this project in the following areas:

- Assessment of stakeholder needs and communication with stakeholders on project deliverables and outcomes;
- Development of a high-level project and implementation plan for component 2 (project phases, KPIs, outcomes, benefits);

- Functional and technical evolution of ASYCUDA as a technical solution to meet South Africa requirements (together with UNCTAD and a competent national partner);
- Dialogue with Customs to improve CITES trade control through electronic information exchange and automated risk management;
- Establish regional dialogue on collaboration and electronic permit information exchange to improve control of CITES trade and transit.

246. **Component 2** will result in a national e-permitting system for CITES-listed species for trade in CITES-listed species that will be designed, built and functional such that it can 'dialogue' electronically with other e-permitting system for CITES-listed species in the region and beyond. The CITES Secretariat have noted that automation of such a process in Government agencies will benefit greatly from spending considerable time in project preparation and planning, understanding and documenting existing workflows, planning for future automated workflows, and achieving the support of all relevant stakeholders and government agencies who will participate in the electronic exchange. Spending the time to address these issues will prevent the need for fundamental changes at later phases of the project – or, in a worst-case scenario, developing a system that is not compatible with the requirements of the administration or users at the national level.

247. For these reasons, the contractor hired for the planning, development and implementation of Component 2 will need to have extensive expertise in eBusiness development, as well as electronic systems for licenses, permits and certificate management for government administrations in South Africa.

248. **Component 3** aims to bring communities living on the western boundaries of the KNP into efforts to oppose illegal wildlife trade through a sequential process of drafting, validating and implementing governance guidelines specifically targeting community based wildlife management. The work on this component will be focused on three pilot complexes (see Appendix 15 for description of pilot sites) with upscaling to the entire region. Piloting the community ranger model, developed by Peace Parks Foundation during the PPG phase,[87] will feed into the project's efforts to document and show-case community-level social development. The Component recognizes that for effective community involvement in the fight against illegal wildlife trade, governance guidelines are required that provide the regulatory baseline for actions and interventions at community level.

249. The component is based on the premise that by enhancing the livelihoods of vulnerable communities they are better placed to play an informed and meaningful role in the overall approach to combat illegal wildlife trade. In the context of South Africa, communities have a difficult and complex past history with conservation authorities. As a result, communities are sometimes seen as a driver of species loss through illegal wildlife trade. However, this project will attempt to implement a paradigm shift that entails the development of a new community driven approach to address illegal wildlife trade.

250. As noted above in the document, while there is growing recognition among practitioners and policy makers of the need to engage rural communities bordering wildlife areas as key partners in tackling IWT, a clear framework to guide, monitor, and assess such action has been lacking. With some exceptions, the role of rural communities in combatting escalating IWT in high value species and the conditions under which community engagement does, or does not, work have received little attention. This is hampering efforts to engage communities effectively as partners against wildlife crime.

[87] PPF developed Village Scout Model guidelines that provide an overview of the system that should be employed by village 'scouts' or 'environmental monitors' for the prevention of illegal activities in the areas bordering national parks, i.e. through patrolling, sharing intelligence, relationship-building in the community, communications and awareness-raising, etc.

251. The GEF 6 project will complement, align and provide incremental funding in support of exiting initiatives of SANParks and other partners, with a key focus on sustainability. Existing programmes, in line with SANParks and partner networks already implement programmes pertaining to community socio-economic development, wildlife protection, environmental education and awareness, etc. These initiatives are in line with the mandate of SANParks and partners, being conservation, socio-economic development and training. The programmes also focus on long-term sustainable outcomes, with a key focus on youth and gender groups. The sum of the GEF 6 activities will therefore co-contribute to existing institutional processes and actual implementation programmes, long-term programmes based on the mandate of SANParks and other partner programmges, but most importantly, critical needs of communities as identified through appropriate stakeholder/community engagement processes (and hence understanding the "theory of change" within communities, and the multiple enabling institutional levels).

252. However, the study site is a very complex institutional environment, with several government organizations, NGOs, CBO etc operating in the area.

253. The GEF 6 Component 3 funding will provide the necessary support to contribute to long-term transformational outcomes, basically through mainly addressing:

1. Contributing to an enabling institutional environment for the GEF 6 and (associated project) implementation and alignment with existing partner and other regional programmes e.g GEF PA, WWF Khetha, WWF Water Stewardship, Biodiversity Social Project and SANParks Socio-Economic Development Community programmes (Hence, a multi-stakeholder Task force appointed to ensure coordination, operational and strategic support. Community structure representatives part of these structures):
2. Support for an enabling community-based institutional environment to support and unlock sustainable livelihoods based on access to and improving environmental services, whilst promoting responsible socio-economic development opportunities linked to SANParks and the broader partner network;
3. Strengthen capacity and understanding in communities and partner organisations (e.g. SANParks) how best to support wildlife protections interventions;
4. Build the capacity, and create the opportunity, for community champions, youth and appropriate community governance structures to participate in policy relevant and institutional processes.

254. The GEF 6 Component 3 aspect will therefore follow an implementation approach as follows:

1. Appoint Task team/Task force consisting of SANParks, PPF, Community representatives, relevant partners such as K2C, Vhembe Biosphere, WWF etc to ensure alignment with existing mandates and other regional/partner programmes. The Task team will be responsible for Project oversight.
2. Status quo report, specifically mapping/updating community and other stakeholder profiles/information, and capture in databases of knowledge hubs.
3. Identify relevant community structures, community champions such as Youth, Environmental monitors, Traditional leaders, Park fora representatives, Traditional fora representatives to participate in pilot sites.
4. Develop a stakeholder engagement strategy, and conduct a network analysis to understand the relationships between partners, and co-develop with communities a Theory of change, that will guide the GEF 6 and existing partner programmes in terms of detailed workplan development, training, capacity building and implementation processes.
5. Train community members, such as the Environmental monitors/Community champions, to participate in data capturing, knowledge transfer pertaining to environmental protection,

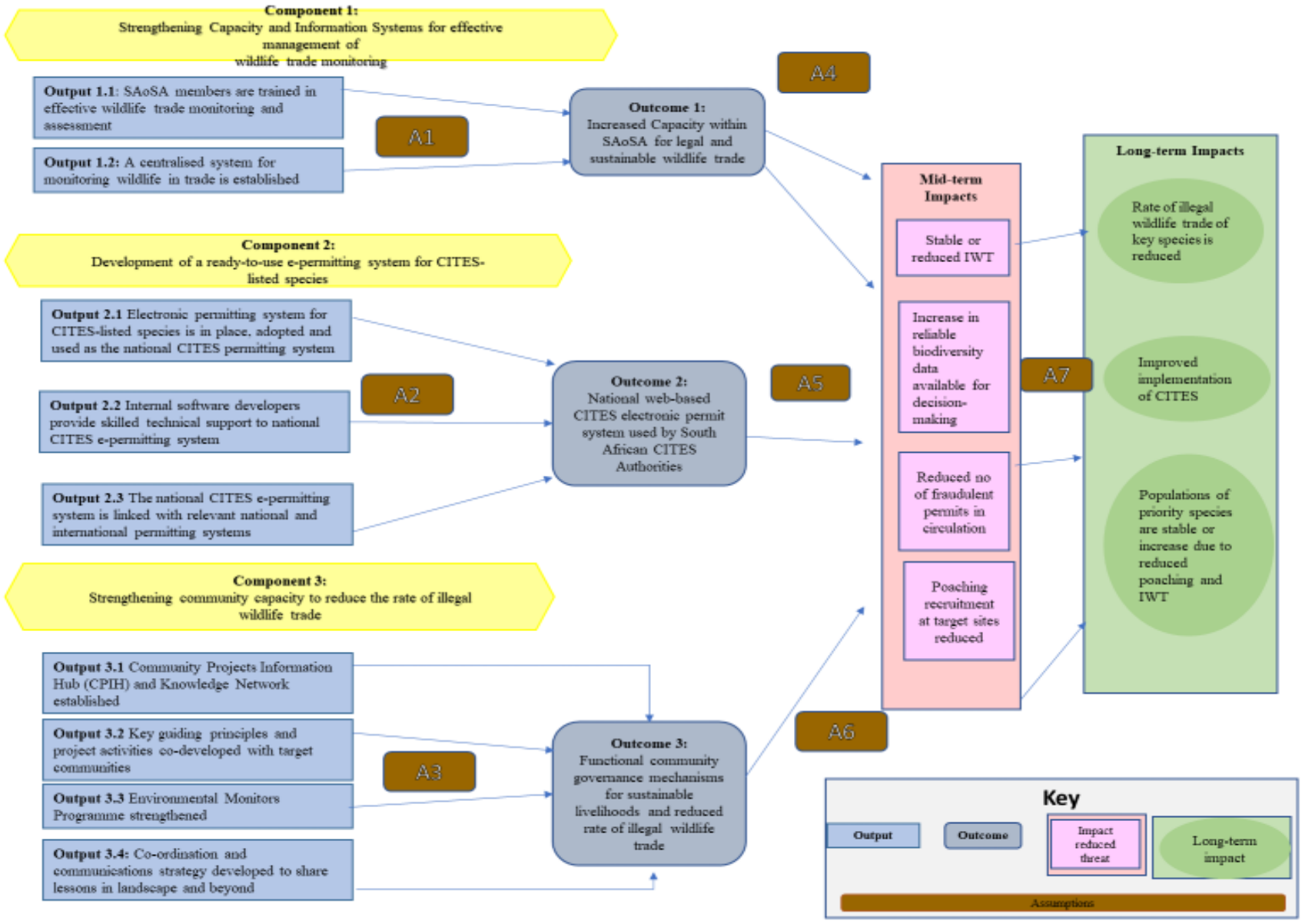
community governance, etc. Link to existing initiatives in this regard, and provide support/inputs into existing knowledge hubs.

6. Strengthen governance arrangements through developing appropriate governance guidelines, protocols, and agreement in support of sustainable project implementation, good governance such as transparency, accountability, etc; through appropriate training and capacity development; through strengthening knowledge transfer and data management etc.
7. Support, expand, strengthen and leverage further programmes through the existing Environmental Monitor programmes. Obtain an understanding of the existing Environmental monitor capacity in the region, requirements within communities, current functions and further needs of the EMS: this to inform the refocusing and/or further appointment of more environmental monitors in the study site region (e.g. linkage to SMMEs and focus on fence patrols, wildlife protection, environmental restoration, community engagement etc). Environmental monitor champions and youth representatives to participate in relevant environmental. policy-making etc for a and processes.
8. Develop and strengthen a Communication strategy, knowledge transfer network in which EMS and community champions will participate, including through providing inputs into databases, participating in policy processes, participating in knowledge transfer opportunities.

3.3. Intervention logic and key assumptions

255. The Theory of Change for this South Africa GEF6 project is shown in Table 10 below

Table 10: Theory of Change Diagram.



256. The Assumptions for the Theory of Change diagram above are listed in Table 11 below.

Table 11: Assumptions for the project's Theory of Change

Code	Assumptions
A1	*Component 1:* Provincial authorities are willing and have the necessary resources to collaborate in internship program, participate in capacity-building activities, and make inputs to – and use – the monitoring system.
A2	*Component 2:* Relevant government authorities and other stakeholders are willing and able to collaborate, share data and use the e-permitting system for CITES-listed species, which will have to be compatible with other national and international permitting systems.
A3	*Component 3:* All stakeholders and partners are willing to collaborate and participate in the Theory of Change process and find common ground with regard to community beneficiation to reduce the rate of illegal wildlife offtake.
A4	*Outcome 1 to Mid-term Impacts* Biodiversity monitoring system provides up-to-date population data for accurate non-detriment findings resulting in improved sustainable use of CITES-listed species.
A5	*Outcome 2 to Mid-term Impacts* The e-permitting system for CITES-listed species will result in reduced circulation of fraudulent paper permits and improve oversight of legal trade in CITES-listed species.
A6	*Outcome 3 to Mid-term Impacts* Communities at the target sites engage in and benefit from KNP's conservation efforts, and become active guardians of wildlife.
A7	*Mid-term Impacts to Long-term Impact* Mid-term impacts are achieved.

Component 1: Strengthening Capacity and Information Systems for effective management of wildlife trade monitoring

Outcome 1: Increased Capacity within SAoSA for legal and sustainable wildlife trade

257. The SAoSA monitors both legal and illegal trade in specimens of TOPS and CITES species, making recommendations on applications for permits to undertake restricted activities with TOPS species; making and publishing non-detriment findings and providing advice on the TOPS regulations, amongst others. The existing structure of the SAoSA provides the base for a potentially strong and effective scientific oversight of wildlife trade if a few well formulated interventions can be put in place.

258. The intention of this outcome is to strengthen the capacity of the members to provide scientific oversight and to put in place a coordinated monitoring system that can then be jointly implemented by all the member organizations together with other partners (e.g. the NGO Panthera for leopard monitoring). The incremental funding from GEF is therefore required to provide this capacity building and development of a monitoring system, which can then be sustained through the normal functioning of the provincial scientific services structures and the SAoSA.

259. This outcome will be achieved through two outputs:

Output 1.1 SAoSA members are trained in effective wildlife trade monitoring and assessment
Output 1.2 A centralised system for monitoring wildlife in trade is established

Output 1.1 SAoSA members are trained in effective wildlife trade monitoring and assessment

260. Under this output it is envisaged that the Scientific Authority will transition over five years to a membership of young, well-trained scientists with accelerated experience of different wildlife trade issues. This will be achieved by building the capacity of the SAoSA members and provincial scientific services and by identifying young candidates in each of the relevant institutions, together with interns housed at SANBI and at provincial scientific agencies. Capacity will be built within these structure by exposing members and interns to a programme of training and field expeditions to fast-track their knowledge of wildlife management and trade issues. The training will be linked to intensive residential and field courses at the Organization of Tropical Studies (OTS) in the KNP. The expeditions are intended to expose young scientists to different management and trade systems in southern Africa. Both systems are designed to increase access to expert knowledge and to build an effective network for consultation on wildlife management and wildlife trade.

Activity 1.1.1: Develop and implement a capacity and skills development strategy for the SAoSA secretariat and provincial scientific services to monitor and report wildlife trade

261. This activity will be executed by SANBI. In this activity a capacity and skills development strategy will be designed, outlining the strategic interventions to expand and retain the skills and capacities of the SAoSA secretariat and the provincial scientific services that provide support to the SAoSA. The strategy will focus on capacity building efforts at the secretariat and provincial scientific services and on expanding current expertise through a young professional or intern recruitment and retention programme. The strategy will include:

- capacity gap analysis or review of previous gap analysis already completed
- a capacity needs assessment of scientific services required by the SAoSA secretariat and provinces;
- a training programme with training institutions for each level of identified capacity needs
- a training curriculum for new SAoSA interns
- funding models and options for a strengthened SAoSA secretariat and provincial scientific services
- structure and delivery model for a strengthened SAoSA secretariat and provincial scientific services
- a recruitment and retention strategy.

Activity 1.1.2: Build the capacity of the SAoSA secretariat to monitor and report wildlife trade

262. This activity will be executed by SANBI. This activity will focus on building the capacity of the SAoSA secretariat to address its monitoring and reporting legislative mandate and international obligations. The strategy for developing this capacity will be outlined in the capacity and skills development strategy under Activity 1.1.1. Capacity will be developed through training programmes (including training provided by the CITES Virtual College; NDF Capacity Building) and through recruitment and development of the capacity of interns to support the activities of the SAoSA secretariat.

Activity 1.1.3: Provincial scientific services are able to monitor and report wildlife trade

263. This activity will be executed by SANBI. The provincial environmental agencies have been mandated as the Scientific Authority within their jurisdiction. The member institutions are mandated to employ someone who can participate in the SAoSA. Many of the member institutions are already involved with some level of wildlife monitoring.

264. The scientific services of these agencies play a crucial role in the monitoring and reporting of priority species in their province. This activity focuses on developing the capacity of these provincial scientific services to monitor and report wildlife trade within their jurisdiction. Capacity in the provinces will be developed based on the capacity and skills development strategy under Activity 1.1.1 and through training programmes and recruitment of interns to support the SAoSA secretariat activities. The provincial scientific services may apply different funding models to ensure recruitment and retention, and may structure and deliver their monitoring and reporting mandate in a different manner. In this activity the province-specific capacity recruitment and retention funding models and options and delivery models will be explored and implemented.

Activity 1.1.4: Establish a functional cohort of 6-9 young wildlife professionals or interns

265. This activity will be executed by SANBI. In this activity, based on the capacity and skills development strategy of Activity 1.1.1, a cohort of young wildlife professionals or interns will be established to support and provide capacity to the SAoSA in the country. The actual manner in which these professionalss and interns will be recruited, trained and retained will be outlined in the capacity and skills development strategy of Activity 1.1.1. It is envisaged that the young professionals or interns be exposed to various training opportunities including:

- orientation – intensive course (two courses in five-year project period)
- targeted training programmes related to trade in wildlife, monitoring wildlife trade, CITES Scientific Authority obligations etc
- on-the-job training where young professionals and interns will be allowed to 'rove' to areas within the scientific services of provinces, DEA and SANBI where additional capacity may be needed and where the recruits will gather new knowledge and expertise. This aspect of the activity will require strong and consistent mentorship of the young recruits
- field training trips for the young interns. This activity will include an element of field learning as young wildlife professionals will be immersed in wildlife management issues at source. Their increased knowledge and access to field biologists and managers will be critical to their future decision-making processes for effective, legal and sustainable management of wildlife trade
- training-of-trainers course within the SAoSA membership institutions.

266. It is anticipated that the young professionals and interns who participate in this activity will be graduates in biology/biodiversity and, although they will have the academic knowledge to perform the tasks, their practical experience within the sector will be limited. The SAoSA secretariat/SANBI will assume overall responsibility for the young professionals/interns, although these individuals may be seconded to provincial scientific authorities during their tenure. The strategy developed in Activity 1.1.1 will outline the sustainability plan for retention of these individuals after the GEF6 project period.

267. Long term appointment of the wildlife professionals is a key concern which the project will continue to manage on an ongoing basis. The project's primary focus will be to increase the chance of success by: (i) focusing on those entities that undertake to appoint one of the young professionals if they perform well on the programme. The project has allocated resources for 6 professionals and there are 11 institutions (excluding DEA) so the focus will be on those which are most likely to appoint someone; (ii) provinces will be requested through the intergovernmental coordination platforms to appoint them against vacant posts so that the post is not filled in the interim and provides the best chance of getting them appointed.

Activity 1.1.5: Regional collaboration and outreach developed and implemented to address illegal wildlife trade in the region

268. This activity will be executed by SANParks. In this activity, the lessons learned and experiences gained from the implementation of the capacity and skills development strategy will be shared with regional partners. Sharing of training material, training tools and capacity development activities with these partners can assist in building capacity in the SADC region and will contribute to greater effectiveness of monitoring of trade in priority species.

Output 1.2 A centralised system for monitoring wildlife in trade is established

269. Under Output 1.2, a coordinated system of wildlife monitoring with centralised/shared information will be developed for priority species (big cats, rhino and elephant). This system will address the current gaps in monitoring in the country, where permit applications are submitted in paper format and captured onto a database in the province. A centralised system will curate this data on a shared database, allowing for decision-making based on national information of permits, and national data for the species (while also capturing provincial-specific and relevant data).

270. The centralised system will have agreed protocols and recording systems together with semi-automated analyses, as has been achieved by the IUCN/SSC African Rhino Specialist Group. Much of the monitoring capacity will be built and placed within the provinces' scientific services; GEF funding is required to develop consistent and agreed monitoring protocols, to coordinate inputs, and to develop a system for uploading, sharing and analyzing monitoring data. This output will directly relate to activities and outcomes under Component 2. SANBI will curate the centralised system for monitoring of wildlife given that they are mandated as the biodiversity monitoring and reporting entity of the Department of Environmental Affairs.

Activity 1.2.1 Review and analysis of current wildlife monitoring systems in place (for biodiversity and for wildlife trade) and the databases that are available in country for the key species in trade

271. This activity will be executed by SANBI. Under this activity, a review will be carried out of existing wildlife monitoring systems in the country (for example, SMART; C-More; provincial permitting systems) and an analysis of these systems will be conducted to assess their applicability to a centralized monitoring and reporting system for priority wildlife species. The review will also include a needs assessment and specification development for the national monitoring database/system. System specifications will include considerations for security, data sources, and a stakeholder database. Expected tasks within this activity include:

- Review of current systems available and assess the needs (security and data required). The review will look at the software and systems used for monitoring in each of the SAoSA member institutions in the provinces as well as the various species databases – the result will be an analysis that will lead to the design of the national monitoring system
- Review of current monitoring tools/protocols and standardised data capture tools and recording systems
- Review of monitoring system for species of concern (and other species) where information is needed

- Link to the review of CITES e-permitting system for CITES-listed species which will be carried out under Component 2 of the GEF6 project (to provide insight into sustainable trade monitoring systems in other countries)
- Conduct a systematic analysis of the various systems, protocols, tools and recording systems.

Activity 1.2.2 Design and implement a national monitoring system for use across the SAoSA membership

272. This activity will be executed by SANBI. The review and analysis carried out under Activity 1.2.1 will be utilized to inform the design of a national monitoring system for priority species in South Africa. The monitoring system is expected to provide valuable data and information to inform the CITES permitting process, providing information on levels of trade in the species and current status of the distribution/abundance of the species.

273. The monitoring system is expected to be curated and managed by SANBI, with servers and hardware provided at this institution.

274. Data capture and recording are expected to be completed by the scientific services/permitting sectors of the provincial environmental authorities. Standard recording and reporting protocols will be followed to capture provincial data for priority species. Design of these protocols will be concurrent with the design of the national monitoring system. Recording and reporting protocols will be electronic, requiring access to Wi-Fi, internet and computers.

275. A monitoring system management protocol will be developed and include details on the capacities and skills required to maintain the system at a national level, and to collect, record and report data at a provincial level. The monitoring system management protocol will also provide details on the frequency of data collection and updating, i.e. when and for what purpose data and information should be reviewed, the information needs to ensure the sustainability of the monitoring system etc.

Activity 1.2.3 Hold training workshop on how to input data to the system and their subsequent analyses

276. This activity will be executed by SANBI. SAoSA members, secretariat and provincial scientific authorities will be trained in the use and management of the monitoring systems for priority species. This will include: training on the standardized protocol of data collection, recording, analysis and reporting; the use and management of the electronic monitoring systems; and the use of the monitoring system for decision-making and reporting on priority species.

Activity 1.2.4 Produce and disseminate communication materials on new working model

277. This activity will be executed by SANBI. The SAoSA and partners will utilize the species monitoring system to report and present at future CITES meetings (Animals Committee, Plants Committee, Standing Committee, Conference of the Parties), for example in the form of information documents or presentations at side-events (to be determined once CITES meeting agendas are available). Reports and presentations will be produced using the new monitoring system together with the CITES e-permitting system for CITES-listed species (developed under Component 2) to provide an overview of the trade and sustainable use of priority CITES-listed species in the country.

278. SAoSA and DEA will be responsible for this Activity, with inputs from the provincial scientific authorities.

Activity 1.2.5 Develop and roll-out a national monitoring and reporting system

279. This activity will be executed by SANBI. Using the national monitoring system created under Activity 1.2.2, this activity will then be further developed and implemented at the national level. Development will require the expertise of an IT specialist to ensure the design specifications of the monitoring systems are addressed.

280. Roll-out and implementation of the system will require the collective and collaborative efforts of the SAoSA, SANBI, DEA as well as the provincial environmental authorities. The sustainability of the roll-out will also require the collective and collaborative efforts of these institutions.

Activity 1.2.6: Case studies are carried out for key species subject to illegal wildlife trade

281. This activity will be executed by SANBI. To test that the centralized monitoring system functions as anticipated, case studies will be carried out to measure the population status and distribution trends, habitat, threats and trade (legal and reported illegal) of key species in trade. The case studies will provide useful guidance to any updates and refinements needed for the centralized monitoring system. Case studies will be carried out on an ongoing basis, providing key baseline data for additional species included in the monitoring systems.

282. Management and oversight of this activity will be the responsibility of the SAoSA and DEA, with the case studies being carried out by research organisations and institutions. The activities will commence through engagement between the management and oversight institutions and field researchers and managers working on the key species selected. These field researchers and managers will assist with the development of the Terms of Reference for the case studies.

283. The indicator of the activity will be species case-study reports, potentially a baseline study, for the priority species, which will inform the sustainable monitoring of these priority species in the monitoring systems. Species case-study reports could also inform the development and update of documents such as NDFs (if not already available for the species).

Assumptions made under Component 1
Output 1.1.
The SAoSA *will continue to have an engaging and enthusiastic chair and a robust secretariat:* the SAoSA secretariat is currently chaired by and housed at SANBI. This output assumes that this support from SANBI will continue and that the enthusiastic participation of the chair and secretariat will continue during GEF6.
Continued MTEF Funding of the SAoSA: this output is based on the assumption that the SAoSA will continue to receive Medium Term Expenditure Framework (MTEF) funding from National Treasury for their activities. MTEF funding provides for the operation and functioning of the SAoSA, without which the every-day activities of the Scientific Authority and secretariat would be challenging.
That SAoSA members are willing to mentor interns: the capacity of the SAoSA and provincial scientific services will be developed and expanded through the establishment of a cohort of young professionals and interns. These new recruits will be exposed to a range of professional development initiatives, but will require structured and guided support and mentorship. The assumption is that the SAoSA members will be willing to make the time and resources available to provide this mentorship to the new recruits.
Provinces and entities will participate in the SAoSA: The assumption is that personnel in the Secretariat and at the provincial scientific services will participate in the capacity building efforts under the GEF6 project and will participate in SAoSA

activities in the future (i.e. attend training sessions and attend SAoSA meetings). To demonstrate their commitment to, and recognition of, the value of the SAoSA, provincial authorities should include the SAoSA responsibilities in the workplan of the selected SAoSA members. This would ensure that SAoSA commitments are part of its members' annual performance review.
Provinces are committed to absorb newly trained people into Scientific Services: The assumption is that the sustainability plan for the new young recruits will include the absorption of these individuals into the Scientific Services of the provincial authorities and that the provincial authorities are committed to this process.
Provinces have resources to participate: The assumption is that the provincial authority will have the resources, financial and human, to participate in providing training and capacity building, as well as participate in the SAoSA.
This is a sustainable solution: the assumption is made that strengthening the capacity of the SAoSA secretariat and provincial scientific services will be a sustainable solution to the current gaps and challenges experienced by these structures.
Output 1.2
Provinces are willing to use this system: the assumption is that the monitoring system is utilised and updated by the provincial scientific authorities. The biodiversity monitoring system will require the input of data by the provincial scientific services and will require a commitment by the provincial Scientific Authority to accept and carry out this responsibility.
Private sector trusts government to share data: the assumption is that the private sector will be willing to provide their data to the monitoring system and, further that the private sector will trust government with this data and will continue to provide this data to update the system.
Historic data from other sources can be included in the system: there are a number of monitoring systems, largely in the private and NGO sectors, that already capture and report on some priority species in the country. The assumption is that these private sector institutions and NGOs will be willing to participate in the national monitoring system project and will be willing to share their data with the monitoring system. The assumption is also made that the monitoring system will facilitate the inclusion of the data provided by these private sector organisations and NGOs.

Component 2: Development of a Ready-to-Use e-permitting system for CITES-listed species

284. The main aim of Component 2 is to develop a national electronic permitting system to support South Africa's implementation of CITES. CITES Parties manage international wildlife trade through permits and certificates, and subsequent tracking and reporting on levels of trade. This is carried out by the CITES Management Authority (the DEA in the case of South Africa). Document control and checking of shipments is handled by Customs (border agencies). Currently, the permitting and Customs clearance is based on paper permits which often cause unnecessary delays in processing reporting and monitoring of trade. Such an electronic permitting system will reduce circulation of fraudulent paper permits and improve monitoring of and reporting on international trade in not only key priority but all CITES-listed species in South Africa.

Outcome 2: National web-based electronic permit system for CITES-listed species used by South African CITES Authorities

285. The outcome for Component 2 will be the creation of a ready-to-use e-permitting system for CITES-listed species that will be based on international norms and standards (as recommended in the approved CITES e-permitting Toolkit). It will be designed such that it can accommodate national needs and be integrated into relevant national environments that allow for all related application information when applying for permits. The e-permitting system for CITES-listed species will be available 24/7, offer enhanced security over current paper-based processes and will consist of the following:

- Core system to manage the day-to-day permitting process;
- Application Program Interface (API) functionalities for integration with external systems, including fetching taxonomic and listing data from the CITES Checklist and linkages with other relevant systems for automatic permit information sharing and reporting;

- Mobile application for use by Customs officials.

286. A ready-to-use e-permitting system for CITES-listed species will increase the efficiency of permit management processes, empowering South Africa to deliver increasingly accurate and timely data, and strengthening sustainable legal trade. It will ultimately improve management of CITES by ensuring that trade is legal, sustainable and verifiable.

287. South Africa's national e-permitting system for CITES-listed species will benefit from the scientific and technical expertise that UNEP-WCMC has gained in recent years with implementing similar projects. To facilitate e-permitting for CITES-listed species, a foundation with the core CITES datasets, ie species names, CITES listings, distribution information, etc is needed. These are already held and managed with the 'Checklist of CITES Species'[88] and 'Species+'.[89]

288. In addition, South Africa will collaborate with the CITES Secretariat, who will provide guidance and oversight as the electronic permitting system is being designed, as well as provide facilitation and expert inputs to the regional and international communications and side-events planned under this Component.

289. Benefits arising from creating a national e-permitting system for CITES-listed species include the following:

- Streamlined reporting from Provinces to DEA
- Reduced fraudulent use of permits
- Efficient service delivery to applicants
- Auditable permits workflow
- Efficient local permit verification process, as well as for international trade
- Service delivery will improve
- Support provided to CITES Enforcement and Scientific Authorities with information for decision making
- Electronic payments for permits is both efficient and verifiable
- Human error on any permits issued is reduced
- Reporting on Parliamentary queries as well as National and International reporting are improved
- Information is centralized at DEA, allowing for improved execution of DEA's mandate
- Ability to share data with other relevant Government agencies (ie, SARS, Police etc), to ensure consolidated management and regulation of national and international trade, is strengthened
- More effective regulation of species under quota (eg, lion, elephant, big cats).

290. This outcome will be achieved through three outputs:

Output 2.1: e-permitting system for CITES-listed species is in place, adopted and used as the national CITES permitting system

Output 2.2: Internal software developers provide skilled technical support to national e-permitting system for CITES-listed species

Output 2.3: The national e-permitting system for CITES-listed species is linked with relevant national and international permitting systems

Output 2.1: e-permitting system for CITES-listed species is in place, adopted and used as the national CITES permitting system

[88] http://checklist.cites.org/#/en
[89] https://www.speciesplus.net/

Activity 2.1.1 Carry out review and analysis of current national permitting system for CITES-listed species through consultations with Provincial permitting authorities

291. This activity will be executed by SANParks. This activity will focus on carrying out a detailed needs assessment followed by a scoping workshop. It will include mapping of national CITES permitting processes, extracting of lessons learnt from previous national efforts as well as international experiences, and relevant specifications from existing advanced national (including provincial) and international e-permitting system for CITES-listed species. It will also take into account relevant developments related to permitting and information management in the CITES arena. Informed by the needs assessment and scoping exercise, the activity will identify and evaluate options for the most effective development of a national electronic permitting system. The consultant will deliver a technical specification and technical design for the next phase of design for the new e-permitting system for CITES-listed species, including detailed use cases.

Activity 2.1.2 Develop the e-permitting system for CITES-listed species

292. This activity will be led by the DEA who will identify a consultant with relevant expertise to develop the system, on the basis of the results from Activity 2.1.1 above. Activity 2.1.2 will focus on developing the core functionality of the electronic permitting system for CITES-listed species. It will be carried out in close consultation with relevant CITES Authorities and the CITES Secretariat. It will also involve designing and implementing a user-friendly traders' application interface, a CITES Authority interface, a permit information database and functionality to manage internal application processes, including user management, payment management, data recording, permit applications and issuance, and annual reporting. It will also be designed to allow for preparations for integration with CITES Checklist and Species+, enforcement authorities (Customs), scientific authorities and other relevant systems (see Output 2.3). In addition, it will develop a mobile application to facilitate access and permit verification by Customs. Development of the systems will include implementing security and encryption, and user testing and validation.

Activity 2.1.3 Migrate compatible and relevant historic data into the new e-permitting system for CITES-listed species

293. Once the e-permitting system for CITES-listed species has been developed under Activity 2.1.2, DEA will lead the process to bring in existing CITES permitting data from the current national permitting system, where it is captured electronically for centralized reporting purposes. Where national permitting data is not held electronically, information will be migrated from the CITES trade database. This activity also aims to allow migration of national legal data, such as export quotas, pertinent legislation, etc.

Activity 2.1.4 Develop internal capacity to implement the new e-permitting system for CITES-listed species

294. In order to develop internal capacity at DEA to use the new system, a training workshop will be organized to demonstrate the system's functionalities and how it is to be used by different user groups (CITES Authorities, traders, Customs). In addition, information manuals on the e-permitting system for

CITES-listed species will be produced. An internal team will be identified and trained to carry out the tasks required for a fully effective e-permitting system for CITES-listed species for CITES-listed species.

Activity 2.1.5 Roll-out new national e-permitting system for CITES-listed species

295. When the e-permitting system for CITES-listed species for CITES-listed species has been designed and populated with relevant information, a public information campaign will be launched that will include guidance to the private sector/traders/zoological institutions/scientists on how to log-on, create a profile, and use the system. A presentation at CITES CoP19 (scheduled to take place in 2022) will be delivered to raise awareness amongst the broader CITES community. This Activity will also link to Activity 2.3.1 below as part of the broader awareness-raising on electronic permitting systems for CITES Parties and will commence at earlier CITES meetings, with co-financing inputs from the CITES Secretariat.

Output 2.2: Internal software developers provide skilled technical support to national e-permitting system for CITES-listed species

Activity 2.2.1 Develop training module and carry out capacity building on e-permitting system for CITES-listed species

296. Although DEA will lead on this activity, a specialized consultant will have to be hired to assist with training on the software. This activity aims at building the capacity of the software developers and IT support personnel within DEA who will be responsible for technical management and troubleshooting of the electronic permitting system. Specific information in the training module will include: detailed documentation for developers, user guide, system handover and detailed capacity building for entity in South Africa to host and maintain the system after the third year (training workshops for users in the country will be carried out under Output 2.1 above).

Output 2.3: The national e-permitting system for CITES-listed species is linked with relevant national and international permitting systems

297. Based on the needs identified through the scoping and consultations, this output will ensure integration of the national e-permitting system for CITES-listed species with other relevant systems within and beyond South Africa's borders. Relevant systems to link to will be identified through holding meetings and workshops, as well as through discussions at international events such as CITES. They may include, *inter alia*, linkages with Species+/CITES Checklist to standardize taxonomy and fetch listing data, with Customs for permit verification purposes, with SANBI's system to integrate NDF-making with permitting decisions, with provincial and national enforcement systems where relevant, and with the CITES Trade Database to streamline reporting. This output will be achieved through one main over-arching activity.

Activity 2.3.1 Formalize and execute collaboration with national, regional and international partners and secure agreement to share data

298. This activity will target meetings with key partners at national, regional and international levels. It will involve side-events and targeted meetings at international forums, such as CITES, SADC, Interpol, ICCWC etc, as well as 'look-and-learn' visits and study tours. These events will be scheduled into the activity timeline as the GEF6 project progresses and advances are made in developing the electronic permitting system. It will also be time-dependent on actual regional and international meeting dates (for example, SADC meetings prior to CITES CoPs). The activity will also involve the establishment of linkages, through APIs or other relevant means, with the systems identified to facilitate the customized exchange of relevant data.

Assumptions made under Component 2
Output 2.1.
Adequate web access and infrastructure exists at Permitting Authorities: This output assumes that CITES permitting authorities, including in each of the Provinces, will have reliable web and computer access in order to be able to use the system and to process permit applications.
Adequate web access by traders: As the system will include web interface for traders, it is assumed that traders wishing to apply for or manage their applications online, have adequate web access to be able to do so.
Clients are willing to use the system: The introduction of e-permitting will translate into some changes to the permit application process. Most notably, the management of such applications will be online through a web interface. It is assumed that clients will embrace this new system and use it, although it is acknowledged that there will be a transitional phase where both paper and electronic permits are in circulation.
Buy-in by all other relevant Government agencies: The CITES e-permitting system for CITES-listed species will be managed by the CITES Management Authority of South Africa and permitting offices in each of the Provinces will have to use it, as well as the SAoSA and Enforcement Authorities (ie Customs and SAPS). The assumption is that all of these agencies will participate in the scoping of the system and accept and use it after development. It is also assumed that there will be buy-in by other Government agencies tasked with wider national permitting and information technology matters.
Efficient communication and information sharing within and between relevant agencies in South Africa: An assumption of this component is that all relevant agencies in the country will provide timely and adequate feedback to consultations and that information that is pertinent to the development of the system will be shared at the onset of the project. The flow of communication and information exchange is expected to continue throughout the development process.
No incompatibility with other ongoing national permitting processes: A number of electronic permitting and related efforts have been ongoing in South Africa, both at the national and provincial levels, for some time. The assumption is that other national, non-CITES related, electronic permitting systems being developed in South Africa will collaborate and seek alignment with this e-permitting system for CITES-listed species.
Timely decision-making: the assumption is made that decisions on the functionality, architecture, hosting and management of the system, as well as on where the system sits in the national and provincial permitting and information management landscape, will be made promptly, so as not to affect the development and delivery of the system.
Suitable IT firm is identified and available: it is assumed that DEA will identify an available IT firm, agency or consultant with the necessary skills and experience to undertake the activities under this output successfully.
Output 2.2
Suitably qualified consultant is available: It is assumed that DEA will identify an available consultant with the necessary skills and experience to undertake the activity under this output successfully.
e-permitting system for CITES-listed species is finalized before end of GEF6 project period: Training on the system as part of this output assumes that the system will be finalized before the end of the project.
Output 2.3
System will be able to secure data from other systems: establishing linkages between South Africa's e-permitting system for CITES-listed species and other relevant national (including provincial) and international systems will require that external systems are able to expose their data and that data standards are compatible.
System will be in line with wider CITES e-permitting discussions: the CITES Standing Committee is expected to re-establish the Working Group on Electronic Systems and Information Technologies at its 69th meeting (November 2017). The Working Group will discuss, *inter alia*, data standards for permit information exchange, with discussions likely to continue up until CITES CoP18 (2019). It is assumed that, through active participation of South Africa's CITES Management Authority in the

discussions of the working group, the national system developed will be aligned with relevant wider CITES decisions.
Agreements are reached with owners of other relevant systems: The establishment of linkages with external systems is likely to require discussion and agreement with the institutions responsible for the management of those systems. The assumption is that the necessary discussions will take place and that system managers and owners will provide the access required to establish connections.

Component 3: Strengthening community capacity to reduce the rate of illegal wildlife trade

Outcome 3.1: Functional community governance mechanisms for sustainable livelihoods and reduced rate of illegal wildlife trade

299. In the absence of viable economic opportunities to sustain their livelihoods, the communities living on the boundaries of protected areas are easily influenced to support and harbour the criminal syndicates involved in wildlife crime. Community livelihoods projects with a clear focus on long-term community beneficiation and diversification strategies will need to be prepared in consultation with the relevant community representatives, government agencies and strategic partners. Thereafter, appropriate projects will be identified and placed in a project pipeline for funding development and future implementation. This project is incremental to the existing SANParks and partner programmes and has been designed with the focus on sustainability. The GEF 6 will provide critical support to these existing implementing programmes, by creating/contributing to the enabling institutional environment, and through assisting with developing governance protocols, agreement, guidelines, training, etc., which is critical to ensure the long-term sustainability of the implementation projects, funded in kind by the partner network, including SANParks. The GEF 6 will provide support to the following in-kind and co-funded projects for instance in these community clusters (which focusses on implementation etc.):

- SANParks Biodiversity Social projects – estimated R40 000 000 (focus on environmental protection, rehabilitation, restoration, safety and security aspects);
- WWF Khetha (wildlife protection, community programmes);
- WWF Water stewardship;
- SANParks Socio-economic development programmes;
- DEA Wildlife Economy programmes;
- K2C and Vhembe biosphere environmental education and environmental programmes;
- Existing Environmental monitor programmes;
- Private Reserve NGO programmes, etc.
- Conservation agencies: MTPA, LEDET co-funded community and conservation programmes.

300. The GEF 6 stakeholder engagement will be supported through the Task team and be guided by the stakeholder engagement strategy. The Task team partners have existing relationships with communities, and will provide the mechanism for engagement, alignment, integration and will be informed by the "theory of change" and stakeholder profiling in the study site clusters.

301. Introduction of extensive community awareness about the benefits of conservation to livelihoods, and education programmes is also essential. Communication and development programmes will need to be tailored for each community, as will distinctive environmental and economic factors.

302. It will be extremely important to ensure that the community voice is heard on this outcome and that the development of livelihood projects is not driven from a top-down approach, but responds to actual needs and priorities of the communities at the target clusters.

303. The Outcome will be achieved through THREE outputs:

Output 3.1 Governance Guidelines and project activities co-developed with target communities
Output 3.2 Environmental Monitors Programme strengthened
Output 3.3 A Co-ordination and communications strategy to share lessons in landscape and beyond.

Output 3.1: Governance guidelines and project activities co-developed with target communities

304. The purpose of this Output is to use a process of "participatory technology development (PTD)" to develop and test effective systems of community governance, and to engage both the communities and stakeholders in co-writing a set of supporting manuals that can then be taken up nationally as governance best practice. This method was developed over ten years by WWF in CAMPFIRE (Goredema et al. 2006). PTD requires developing a long-term implementation partnership with a community, by making real things happen, in this case the development of participatory governance systems for the management of income that the community earns from wildlife.

305. The effectiveness of community governance in the region and globally is highly uneven, and tends to be poor with high levels of elite capture unless properly scaled and designed (i.e. face-to-face participatory governance). Best practices will be developed in the two selected communities (see (Child and Wojcik 2014, NACSO 2015), with a high level of local and technical supervision and training – hence the employment of a senior field manager and six paraprofessionals who will live in the communities and deal with them on a daily basis.

306. The project will identify and engage with two pilot communities, signing a memorandum of agreement that links support (from this project and elsewhere) to adherence to governance principles. An effective governance system will be put in place in the pilot communities, supported by draft village-level constitutions, mini-manuals (e.g. participatory budgeting, financial management and reporting, chairman, secretary, treasurer and community rights, roles and responsibilities, etc. This will include a quarterly/annual governance compliance audit, and a bi-annual governance dashboard survey to assess community perceptions of participation, accountability, performance, and so on.

307. These tools will be tested experientially and improved with the participation of the community and other stakeholders, especially DEA, SANParks, DRDLR and key provincial agencies. This will include site visits, with the communities acting as learning laboratories. It will also include inputs to national stakeholder forums. Once the procedures are field tested to a high level, and accepted by national and provincial stakeholders, manuals will be printed as training tools, probably for several levels of engagement.

308. This output will be an integrated process that will also be addressed by co-financed activities under WWF-SA's Khetha project, as well as by other partners. The brainstorming exercises with communities will draw out valuable information on historical and existing community empowerment projects and programmes around KNP, such as those linked to: wildlife; skills development; co-management; land claims; training; etc. This will ensure that key projects to be developed under GEF6 are not driven by top-down priorities, but from and for the target communities.

Activity 3.1.1: Task team to coordinate efforts is appointed, equipped and made functional

309. It is important at the outset of activities under Component 3 to create a Task Team that will guide the GEF6 project, providing oversight of all activities anticipated under Component 3, as well as assist with streamlining co-financed activities of stakeholder partners (see Table 12).

310. Project implementation will be facilitated by SANParks for the Matsulu/Stolznek and Makuya clusters, with activities implemented by PPF (governance guidelines and communication materials), SAWC (governance, training), and WWF-SA's Khetha project. The Vhembe Biosphere and University of Venda (with regard to Environmental Monitors and data and knowledge management) will provide critical enabling support.

311. Project implementation will be facilitated by SANParks at the other villages adjacent to SSW (Sabie river and north of SSW). At the SSW villages, project implementation will be facilitated by the SSW community structures and facilitators, with key inputs and activities carried out by PPF, SAWC, and WWF-SA.

Table 12: Functions of Task Team/Oversight Committee

Functions of Task Team/Oversight Committee	Proposed partners
Oversight of the GEF 6 programme	SANParks, PPF, WWF-SA, DEA, GLTFCA, Vhembe Biosphere Coordinator, SAWC, University of Venda, Mpumalanga and Limpopo People and Parks representative, Makuya NR representative, Community representative (from each cluster)
Identify and facilitate engagement with appropriate community and other enabling structures	
Guide the GEF 6 project to align with co-funded activities, and interface with the Greater KNP thematic committees	
Institutionalise practices and support under the GEF6 project and seek sustainability of the GEF6 interventions (enterprise business development, absorbing community youth/champions into organisation structures)	
Ensure an integrated communication and stakeholder engagement approach	

Activity 3.1.2 Use IUCN SULi's First Line of Defence (FLoD) methodology to identify priority community projects at the target sites

312. This activity will be done by PPF in consultation with WWF-SA. A Consultant will be hired to develop a FLoD Theory of Change at one of sites. This will then provide useful guidance for identification of priority community projects at the GEF6 target sites. This activity will be carried out at the 3 target sites by PPF in collaboration with SANParks.

Activity 3.1.3 Stakeholder engagement, for identification of community projects and livelihood options, undertaken at 3 target sites

313. This activity will be done by PPF. The stakeholders directly and indirectly related to the target area clusters will be mobilised to participate in the project and community facilitators will be hired from the target communities. An engagement model will establish the personnel and workplan for the project Component over the 5-year project period and will guide project activities linked to formulation of the governance guidelines launching the community 'ranger' Environmental Monitors programme (Output 3.2) and identifying the community projects and livelihood options. Specific tasks will include the following:

3.2.2.1 Stakeholder engagement framework and process developed
3.2.2.2 Stakeholder profiling and social network analysis in nodal areas (contextualise areas) to include: socio-economic profile; determine "desired state" of communities; determine 'theory of change' of communities within nodal areas through workshops and other required engagements
3.2.2.3 Assess most appropriate points of entry and interrelationships between these relevant structures (such as CPAs, People and Parks Fora, Parks/Reserve Community Fora, Traditional Authorities, Municipal structures, Environmental Monitor governance structures, Community river forums, or other relevant structures). Will need to: Determine 'theory of change' of enabling governance structures through workshops and other required engagements
3.2.2.4 Stakeholder engagement with cooperative partners programmes to seek alignment and leverage impact with respect to complementary/overlapping community programme (e.g. SANParks programmes, other GEF programmes, NGO programmes)
3.2.2.5 Engaging communities around the whole ecological system where the project will be implemented, including Mozambique, especially on knowledge sharing.
3.2.2.6 The identified projects and livelihood options will be implemented

314. Indicators and targets for this activity will include the number of meetings held with community leaders and people to discuss the project, the stakeholder engagement framework developed, reports on the engagement structures, stakeholder profiles and network analysis, reports on engagement structures, workshops.

Activity 3.1.4 Co-develop, with communities, key governance guidelines for stakeholder engagement

315. This activity will be led by Peace Parks Foundation. Community projects dealing with IWT/conservation tend to fail because of lack of formal guidelines indicating responsibilities and accountability. For successful involvement of communities in addressing IWT, a set of governance guidelines is required that sets the boundaries for action and delivery/output.

316. South Africa's laudable goals of an inclusive the wildlife economy are only likely to be successful if they are based on effective governance, including an enabling environment that supports effective governance including training, policy, procedural auditing and so on.

317. Steering Committee Members of the People & Parks Programme (P&PP) will be trained to become spokespersons and governance champions will be identified at each target cluster site to ensure that a specific needs assessment is carried out for their target area.

318. Community facilitators will develop a series of guidelines and training manuals that will include, *inter alia*, a members' bill of rights, village constitutions, definitions of roles, financial systems and procedures, governance systems and procedures, and mechanisms for financial and procedural compliance.

Activity 3.1.5 Identify and provide capacity building to community champions to support governance guidelines

319. This activity will develop a clear road map for supporting governance processes/models specific to each pilot site as well as identify community champions to engage with the range of relevant governance structures.

320. Communities at these sites will follow a memorandum of understanding in which they agree to apply effective participatory governance of the wildlife economy[90] and to high levels of monitoring of community adherence to the guidelines and delivery of their agreed outputs[91]. The target areas/clusters have been selected because the wildlife economy can be unlocked to provide both short and long-term benefits to the community. It will be necessary to carry out a community profiling exercise to narrow the focus of inputs under the Project. The target sites are in a semi-rural situation and were selected to test different models of village environmental monitoring aimed at strengthening the security of communities to resist crime and assist in the protection of wildlife, including rhinos and elephants.

321. At the higher level, stakeholders such as DEA, DRDLR, SANParks, provincial agencies and the private sector will participate in the learning process with the objective of developing draft national guiding principles for community governance in the wildlife economy, as for example the Biodiversity and Mining Guidelines in the UNDP/GEF Grasslands Project. At the grassroots level, the nodes will be utilized to train trainers who can then rapidly scale-up lessons to additional communities around Kruger and elsewhere in South Africa.

322. The partners on this activity will include: SANParks, WWF, PPF, Vhembe partner network, Traditional Leaders Authorities, CPAs and the DEA.

Output 3.2: Environmental Monitors Programme strengthened

323. The Environmental Monitors and Community Champions are the critical links to the youth fora, Traditional Authority structures, and community property association structures, People and Park fora and other community governance structures. The Environmental Monitors and Community Champions assist with: Advocacy; Environmental education; Wildlife protection; Law enforcement; Environmental education; Youth fora; Participation in policy processes; Data gathering on a range of indicators dealing with environmental and human health; Community governance; Rhino ambassadors, etc.

324. The Biodiversity Social project and DEA EPIP programme which funds the Environmental Monitor programme also provide the basis for SMME development, such as fence maintenance, infrastructure development etc.

325. The study site already has more than 200 Environmental Monitors appointed from communities, assisting with the above. An impact study showed the major positive impact that the programme has, and it is critical to strengthen and expand this programme. Therefore, it is critical to conduct a status quo report on the status of the Environmental Monitor programme, refocus where necessary through

[90] Effective participatory governance of the wildlife economy refers to broad-based governance and decision making by all community members. Historically in South Africa, the legislated Communal Property Act (CPA) which dictates formation of community governance structures (similar to Boards or representative Committees) has seen most (up to 90%) of community projects collapse due to elite capture, maladministration and mismanagement. The intention is to enable governance guidelines to be used as best-practise tools for CPAs, and the aim is to make community projects governance more effective (including equitable sharing of benefits) even if presided upon by CPAs.

[91] The project will identify and engage with two pilot communities, signing a memorandum of agreement that links support (from this project and elsewhere) to adherence to governance principles. An effective governance system will be put in place in the pilot communities, supported by draft village-level constitutions, mini-manuals (e.g. participatory budgeting, financial management and reporting, chairman, secretary, treasurer and community rights, roles and responsibilities, etc. This will include a quarterly/annual governance compliance audit, and a bi-annual governance dashboard survey to assess community perceptions of participation, accountability, performance, and so on.

realignment of existing programmes, and further appoint more through the SANParks Biodiversity Social projects, DEA EPIP and partner programmes.

326. The K2C is managing a network of more than 200 Environmental Monitors in the study site and will be key to support this process. SANParks BSP is in the process of appointing 31 Environmental Monitors in one of the clusters and have already appointed approximately 30 Environmental Monitors in the study site. However, this programme is extremely valuable, and should be expanded.

327. The Task team will ensure that the Environmental monitor knowledge transfer network is established and current linkages to SMME and other SED and community governance programmes strengthened, and that appropriate training and capacity development interventions are unlocked. WWF Khetha will provide further co-funding support in terms of community development and wildlife protection programmes in selected spatial clusters, as enabled by the partner network and existing mandates.

328. Information currently gathered is consolidated into a database with the K2C and the SAWC, and in partnership with PPF and the GLTFCA, and gathered by the different partner organisations where the EMs are deployed (e.g. Private reserves, SANparks etc). A further knowledge hub will be supported/developed in collaboration with the University of Venda. Information is captured through a range of monitoring systems, including cellphone apps. The Environmental Monitors and community partners, in association with the partner organization, provide feedback to community structures, policy processes etc. SANParks, together with the Safety and security cluster (e.g. SAPS, conservation agencies law enforcement departments, private reserve security cluster) will take action with respect to the monitoring reports (pertaining to safety and security). However, the programme will also focus on developing community restorative justice, in which communities also take action with respect to crime in communities. The Environmental Monitors and Champions will form critical links in this aspect, and therefore an initial network analysis is required to understand the various networks and dynamics. It is essential that a holistic approach be followed, and that information and several indicators, including livelihoods, other environmental indicators etc are collected and used for decision-making, knowledge transfer and management.

329. The People and Parks forum, and Rhino working group facilitate further community engagement with respect to providing feedback to communities, and to provide the platform to give inputs into the policy framework. This includes aspects on environmental health, wildlife protection, youth fora, socio-economic development, education and training, etc.

330. The existing NGO network and their programmes, e.g. through the K2C, WWF Khetha, PPF, Vhembe biosphere, also have community programmes through which feedback is provided.

331. The Task team will assist with alignment and ensure that data is being report to the appropriate partners and networks, not limited to the security clusters, but also to communities in support of restorative justice and to ensure appropriate inputs into policy processes.

332. The anti-poaching unit at SANParks headed by the chief ranger will take action upon receiving the reports of the Monitors and Champions.

333. The environmental monitors and community champions will be paid by DEA.

<u>Activity 3.2.1 Carry out a review of existing community conservation programmes and identify scope of Environmental Monitor Programme per target site</u>

334. This activity will be led by Peace Parks Foundation. This activity will determine the EMs / Rhino Ambassadors that might be in place at the project sites, carry out a gap analysis, and adapt/integrate the findings into specific Environmental Monitor Programmes per node/cluster. GEF6 funding will be used to support existing structures (transport, workshops) to carry out the reviews and assessment. The activity will commence immediately, and the review will be part of the initial rapid assessment being carried out under Output 3.1 on community projects.

335. Specific tasks will include:

3.3.1.1 Rapid desktop assessment
3.3.1.2 Engagement with existing Environmental Monitor and community structures to understand current challenges, opportunities, community sentiment with respect to Environmental Monitors Programme, and scope for change

Activity 3.2.2 Select, recruit and train Environmental Monitors

336. This activity will be led by SANParks and SANBI. SANParks will select and recuit while SANBI will train. GEF6 funding will be used to fund advertisements, selection process, evaluator fees, transport and evaluation materials. Co-financing will be provided by existing institutions and associated programmes. The Task Team will draft Terms of Reference for Environmental Monitors, identifying the skills set required and knowledge base needed to fulfil their duties. All available information on current training manuals available will be collated and specific training modules will be developed for the Environmental Monitor Programmes. Accredited organisations/individuals capable of providing the training modules will be identified and recruited.

337. The Task Team will coordinate the governance structures for the Environmental Monitors Programme and draft the management system for Environmental Monitors (in liaison with existing institutions/implementing partners), providing support for training and development. The Task team will also provide oversight of the Programme at the 3 nodes/clusters and be the liaison/interface between Environmental Monitor Programmes and SANParks/national governance structures/GEF Project Manager/Project Steering Committee. The capacity of institutions to support the Environmental Monitors and to provide guidance on knowledge transfer in the community and between the nodes will be strengthened.

338. To ensure sustainability and the long-term recruitment of community Environmental Monitors into formal ranger and other wildlife economy streams, the training and development activities will involve the following tasks:

3.2.2.1 Selection and recruitment by SANParks
3.2.2.2 development of terms of reference to guide the Environmental Monitors Programme per cluster/target area. This activity will be led by SANBI.
3.2.2.3 develop curricula for the training and skills development programmes. This activity will be led by SANBI.
3.2.2.4 research and implement processes to ensure career development path (for sustainability). This activity will be led by SANBI.
3.2.2.5 develop linkages with internship programme under Component 1, as relevant. This activity will be led by SANBI.

Activity 3.2.3 Identify and recruit community governance Champions

339. This activity will be led by Peace Parks Foundation. Community governance Champions will act as the interface between the target community and Provincial Agencies, SANParks and NGOs with regard to the Community Governance Guidelines. Clear reporting guidelines are required for Community Champions to communicate with the communities and the relevant governance officers. For sustainability beyond the GEF6 project, training will be provided to Community Champions to ensure that they continue to act as the interface between their community and the GoSA/SANParks/private sector, etc. Specific tasks envisaged include:

3.2.3.1 recruitment of community Champions through a community-led recruitment process
3.2.3.2 carry out 'training-of-trainers' sessions on the principles underpinning the governance guidelines
3.2.3.3 provide support to community Champions to enable them to be the interface between the various relevant structures and their community.

Output 3.3: Co-ordination and communication strategy to share lessons learned (in landscape and beyond)

Activity 3.3.1 Create and implement a communications strategy to raise awareness, share lessons and strengthen knowledge transfer between the target sites

340. This activity will be led by Peace Parks Foundation. Integrated communication and engagement strategy will be developed to share information and lessons learned during the GEF6 project about community governance mechanisms and the community Environmental Monitors Programme. The communications strategy will include development of a coordination and learning network within and across the targeted clusters to ensure an integrated approach.

341. The coordination and learning network developed will integrate with regional land-use planning efforts and the other forums and sectors taking place in the relevant Municipalities. Specific tasks will include official launches of the following:

3.3.1.1 community governance guidelines
3.3.1.2 Environmental Monitors Programme
3.3.1.3 knowledge transfer/learning networks within and between nodal clusters, as well as at national level

3.2.2.5 Engaging communities around the whole ecological system where the project will be implemented, including Mozambique, especially on knowledge sharing

Activity 3.3.2 Produce, publish and disseminate examples of community 'programmes' to all relevant engagement platforms, including for CITES Community Working Group purposes

342. This activity will be led by Peace Parks Foundation. An appropriate electronic applications (Apps) to capture data from Community Champions and Environmental Monitors as well as from the Task Team will be developed. All information will be compiled and published in various formats to be disseminated online, in brochures, as CITES information documents, and as formal GoSA statements, etc. There will be co-ordination with IUCN SULi, SANParks, PPF, WWF-SA, SAWC, University of Venda and network, other key NGOs, and stakeholders (eg, DEA) involved in the CITES Community

Working Group established under the CITES Standing Committee. More tasks under this activity will be identified during project execution.

Assumptions made under Component 3
Community Environmental Monitors use equipment and training to tackle IWT and not to engage in poaching activities themselves or for other purposes (i.e. community governance is at an adequate level and corruption is sufficiently controlled).
Collaboration between communities and other enforcement agencies leads to stronger action against IWT and not stronger collusion for IWT or other activities (governance and control of corruption is at an adequate level.
Communities are willing to enforce more strongly against IWT both within their communities and outside.
Communities are willing to collaborate with external enforcement agencies, i.e. historical or existing tensions with police force, park rangers or other authorities are not excessively high
The community understands and agrees that there is a wildlife poaching problem.
External enforcement agencies are willing to collaborate with communities.
Communities hold rights to benefit from wildlife.
Communities are willing to engage in capacity building
Communities have the willingness, equipment and the capacity to take stronger action against poachers from outside or inside the community.

3.4. Risk analysis and risk management measures

343. The Project has the full support of the Department of Environmental Affairs at the Ministry of Environment, together with implementing partners SANBI and SANParks, local partner agencies WWF-SA, PPF, and international partners UNEP-WCMC and CITES. Table 13 below highlights the specific risks that are related to the key assumptions that could impact on the successful implementation of project activities, together with the risk mitigation measures to be applied.

Table 13: Risks and Mitigation Measures

Risk	Risk Level	Mitigation Measure
Inability of government to meet its financial and co-financial commitments	Medium/High	The GoSA has provided a letter of co-finance and is committed to leading the project and ensuring its successful implementation.
Weak institutional capacity	Medium/High	The project's overall goal is to strengthen institutions, which assumes that the target institution/s have limited capacity to carry out their prescribed function/s. Component 1 focuses on directly addressing this risk. However, to address this challenge, the project has been designed to ensure close collaboration and capacity building at all levels of intervention.
Lack of capacity to mentor young professionals and interns	Medium/High	The goal of Component 1 is to strengthen the SAoSA and provincial scientific services through establishing a cohort of young professionals or interns. The project assumes that the target institutions have the resources and capacity to provide mentorship to these new recruits. This component focusses on directly addressing the risk by also focusing activities on developing the capacity of the SAoSA secretariat and provincial scientific authorities.
Lack of participation by scientific services	Low	The focus of Component 1 is to build the capacity of the SAoSA and requires an active involvement of the provincial scientific authorities. There is always the risk that the provincial authorities will not commit to this component to the extent required given their

		human and financial resource restrictions. However, provincial authorities have been engaged in the design of the GEF6 project and will continue to be engaged during the implementation of the project – thereby reducing the risk to a 'low' classification.
Inability to absorb young professionals and interns into participating organisations	High	Component 1 assumes that the target institutions will absorb these young recruits into the organizations. This component focusses on directly addressing the risk by also developing a sustainability plan in the capacity building strategy and focusing on building the capacity of these new recruits to meet the needs of the scientific authorities. However, during inception, the project will confirm the capacity of host institutions in to retain staff and if lacking training will be provided. As noted previously in the document, the GoSA has not invested adequate resources into the environmental scientific authorities and, when posts become vacant (through retirement or resignation), they are instantly 'frozen', i.e. no replacement staff are budgeted for or recruited. During the GEF6 project, parallel efforts will be made by SANBI to seek for an unfreezing of these posts.
Limited internet infrastructure in the provinces	Low/Medium	The species monitoring system requires that provincial scientific service input new data into the system. This will require access to the internet and the web, without which the database would not be updated. The project has provided for internet connection for these personnel, but has not dedicated any funding to matching inputs by external scientific agencies/NGOs/private sector (although it is assumed that these entities will have adequate internet facilities given the field in which they are working).
Lack of participation of the private sector in the monitoring system	Medium	The centralized wildlife monitoring system requires buy-in and participation of current monitoring programmes, the private sector (e.g. private rhino owners) and NGOs. Component 1 addressed this risk through engaging with stakeholders during the design of the GEF6 project, and will engage with these institutions throughout the project period.
Security concerns related to data and information sharing for key species of concern	High	Given the high black-market value of wildlife products - such as rhino horn - and the security surrounding populations owned privately as well as the locations of populations in the wild, it will be necessary to include various levels of security and access to the database to address security concerns related to monitoring and reporting priority species in the country. Some data may be considered sensitive and there is a risk that not all relevant data will be secured; including encryption and security levels in the monitoring systems will assist in mitigating this risk.
Reduced commitment to CBNRM aspect of project objective and outcomes due to change in Government	Low/Medium	Changes in government commitment cannot be excluded but are difficult to assess. The project has consulted with and will include a variety of stakeholders during its implementation, which will increase the chances for continuity and sustainability. In addition, working with established institutional structures such as the DEA, SANParks and SANBI, as

		well as conservation organisations working in the country (Peace Parks Foundation, WWF-SA), will have a mitigating effect in case of higher level government changes.
Incorrect profiling and selection of Community Environmental Monitors	Medium	It is always likely that Environmental Monitors will be influenced by the promise of immediate wealth and become involved in illicit activities. Through the activities planned under Component 3, specifically the community Governance Guidelines and employment through the Environmental Monitors Programme (and efforts to ensure sustainability through a recruitment strategy into formal ranger programmes) this risk will be mitigated by ensuring that the benefits will outweigh the costs of engaging in illicit activities.

3.5. Consistency with national priorities or plans

344. South Africa has a number of overarching imperatives, outlined in the NDP, which link to this GEF6 project. The South African government identified poaching and the illegal wildlife trade as a significant threat in their National Biodiversity Strategies (NBSAPs). It recognized sustainable wildlife use in its Constitution (Section 24) as one way to achieve environmental protection and is supported by environmental legislation, particularly the National Environmental Management Biodiversity Act of 2004. This legislation facilitates a considerable trade in wildlife and wildlife products that is an important and growing economic sector. The country has a strong focus on the youth and capacitating the youth of the country to be able to contribute to the economic growth of the country.

345. The National Biodiversity Economy Strategy (NBES) for South Africa focuses on the legal trade of species in the country through a strong and transparent permitting system. The NBES has the goal of the South African biodiversity economy achieving an average annual GDP growth rate of 10% per annum by 2030. The strategy outlines the framework and actions requirement to achieve this goal, within the bioprospecting and wildlife sector of the country. A key imperative of this strategy is the economic transformation of the sub-sectors of the biodiversity economy, through inclusive economic opportunities, reflected by a sector which is equitable - equitable access to resources, equitable and fair processes and procedures and equitable in distribution of resources (i.e. business, human, financial).

346. South Africa has also developed several BMP-S for priority species, with the purpose (in terms of NEM:BA) to ensure the long-term survival in the wild of the species and provide for monitoring and reporting on the progress with implementation of the plan. Examples of BMP-S include:

347. The draft White Rhino BMP-S where one of the key objectives is to ensure adequate monitoring of all rhinos, their horns and their movement in South Africa and the development of an integrated and co-ordinated national information management system for all data related to white rhino management. The White Rhino BMP-S indicates a need to monitor annually White Rhino population estimates, demographics, performance, mortality patterns, animal behaviour and translocations. The species monitoring system to be established under Component 1 links directly with these national objectives, supporting both the BMP-S objective regarding reporting on rhino status and the development of the national information management system. Components 1 and 2 of the GEF6 project will contribute to the following activities outlined in the White Rhino BMP-S:

- develop and implement a secure national centralized web-based electronic permitting system to issue permits for the regulation of all white rhino restricted activities

- develop a secure live white rhino web-based database and information management system linked to a national electronic permitting system
- issue permits dependent upon provision of white rhino survey data
- monitor white rhino population data by reserve/farm every year
- establish an ongoing annual national status report of all white rhino in South Africa
- establish a secure rhino horn database in all provinces and national conservation authorities (eg SANParks)

348. To achieve all the above objectives of the draft White Rhino BMP-S a competent, capacitated SAoSA and provincial scientific services of the Scientific Authority are required, as these institutions are mandated to monitor and report on the management, conservation, sustainability and trade in this species.

349. One of the key objectives of the Black Rhino BMP-S is monitoring of the population of black rhino in the country. The objective is to collect accurate and precise information on black rhino population performance in the country to inform evidence-based decision making. The BMP-S requires that the population sizes and demography of the black rhino are monitored and reported on an annual basis, including: the number of animals, demographic information in line with RMG status reporting format such as sex ratios (using standard AfRSG/RMG age classes), age of first calf, ICI etc, mortality rates (natural and illegal, capture, hunting, exotic disease etc), spatial distribution, and removals and introductions. The monitoring system to be developed under Component 1 of the GEF6 project links directly to these national objectives, the system envisaged will enable the SAoSA to monitor and report on a number of these BMP-S requirements. Similarly, a strengthened SAoSA and provincial scientific services of the Scientific Authority are required to fulfil this monitoring and reporting responsibility.

350. The Lion BMP-S's objective is to establish a lion forum to monitor the implementation of the lion BMP and manage a meta-population plan. As with the rhino BMPs, a strengthened SAoSA (and its members) will provide improved support and input into the monitoring and management of the species under the BMP. The monitoring system will also contribute to this process.

3.6. Incremental cost reasoning

351. While there have been some projects and initiatives to protect single species (i.e. rhinos, and elephants) or particular spaces, this is the first time that a suite of investments will be coordinated to respond to a key driver of biodiversity decline, namely illegal wildlife trade. Interventions will not simply focus on a single species or site or group of stakeholders, but rather on the mechanisms and underlying enabling conditions that provide the opportunities for criminal activity. It will also focus on equipping national governments with the tools they need to effectively implement CITES and detect illegality through improved technology.

352. Please refer to Table 14 and Appendix 3 for details on the incremental contribution of this project.

Table 14: Incremental Contribution as per Component of the Project

Baseline Scenario (Business as Usual)	**GEF Incremental Contribution** (what the GEF project will contribute)	**Key Outcomes** expected with the Alternative Scenario
Component 1 – A centralised system for effective wildlife trade monitoring and assessment		
SAoSA human resource base provides for a potentially strong oversight of wildlife trade but needs assistance/improvements	Capacity Building provided to SAoSA members	Improved monitoring of biological data for key species in global wildlife trade

Capacity of member institutions to participate in SAoSA not uniform across the country	Recruitment and training of young wildlife professionals as interns to be rotated across the Provincial Scientific Authorities, together with the training modules, field trips and workshops, will strengthen the capacity and ensure that all 'actors' are brought to the same level of understanding of expected tasks and responsibilities.	Increase in number of skilled membership of SAoSA ensuring synchronicity of efforts across the Provinces
Monitoring systems are not uniform and currently difficult to coordinate	Centralised biological data monitoring system put in place	Accurate biological and population data for key species in trade is available for all SAoSA members, with the result that NDFs and decisions on wildlife trade from South Africa are reliable and provided in a timely fashion for CITES reporting purposes.
Component 2 – Development of a ready-to-use e-permitting system for CITES-listed species		
Document control and checking of shipments of CITES specimens in transit is handled by border agencies (Customs). Currently, CITES permitting and Customs clearance in the country is largely based on paper permits, which can cause unnecessary delays in processing, reporting and subsequent monitoring of the trade and are potentially more prone to forgery, loss, and traceability issues.	An electronic-permitting system will assist with streamlining the processing and reporting of wildlife trade in CITES-listed species, as well as improve the accessibility of key global datasets (ie, eCITES, CITES Trade Database, CITES+) and, ultimately, help to detect and prevent illegal trade at permitting, transit and destination points.	The key outcome will be a web-based CITES electronic permitting application used by national CITES Authorities (Management Authority, Scientific Authority, Enforcement Authority) as a national permitting system, with trained and skilled software developers in the DEA for sustainability and long-term utilization of the electronic system
Permitting systems are not set up and implemented uniformly across the Provinces making it difficult to coordinate permit data for SAoSA purposes	The centralized electronic permitting system that will be created will be designed to interface with other related national systems, such as the biological monitoring system created under Component 1. This will ensure that the Provinces are able to access valuable permit data to assist with making NDFs.	The Provincial permitting authorities will have to use the centralized, national, electronic permitting system, which will include a linkage to the web-based monitoring system developed under Component 1, ensuring that the SAoSA has access to the permit data for better-informed decision-making.
Component 3: Strengthening community capacity to reduce the rate of illegal wildlife trade		
Most of the target communities bordering the Kruger National Park (and beyond) are struggling with ineffective governance and elite capture.	Effective governance guidelines will be co-developed with communities from the target village clusters on the western boundary of Kruger National Park	If the project can recruit high quality technical facilitators, and stakeholders participate reliably, draft national guidelines will be developed, and communities will adhere to their own, co-developed and agreed upon commitments of good governance
Lack of national governance guidelines for communities involved in, or on the periphery of, the wildlife economy	Draft community governance guidelines will be implemented at the project target sites by mid-term - leading to draft national guidelines that will be agreed soon thereafter (by the	Community governance compliance will be in place to ensure that communities are the primary beneficiaries of projects and programmes developed under the

	end of the project period)	Project
No examples of effective wildlife/natural resource policing at the target sites/clusters	Community Environmental Monitors Programme will be initiated and effective with clear monitoring indicators	Initiating community Environmental Monitors at selected project sites/clusters will provide a strong community-driven effort to protect priority species and reduce the rate of illegal wildlife trade activities at the target sites.

3.7. Sustainability

353. The project will be implemented by the Department of Environmental Affairs, the SANBI and SANParks, primary government agencies responsible for biodiversity conservation in South Africa across the target issues being addressed (biodiversity monitoring, enforcement of CITES obligations, and KNP buffer zone co-management with adjacent communities). This will ensure that the GEF6 project is well placed for continued implementation and sustainability beyond the project period (2018-2022).

354. Component 1 will strengthen the institutional capacity at SANBI, particularly through strengthening the Scientific Authority of South Africa, the Secretariat of which is housed at and administered by SANBI, for improved monitoring of biodiversity that is traded internationally. By supporting the SAoSA's efforts for transformation amongst its members, and training and recruiting a new, young cohort of wildlife professionals, the Project will provide important support to a long-debated and much-overdue development of the SAoSA to perform its legally-mandated tasks. This forward-looking approach aims to develop the capacity of the SAoSA through utilisation of modern technology combined with 'good old-fashioned' fieldwork to monitor key species in trade.

355. Component 1 will develop the necessary training modules and tools for sustainable skills-transfer to supporting scientific institutions and authorities upon which the SAoSA relies for informed, accurate, scientific data for decision-making. The Component will deliver on the South African Government's desire for transformation of the conservation and environmental management sectors, giving opportunities to talented young professionals from diverse backgrounds to further their education and aspirations to become scientists and decision-makers of the future. Successful implementation of Component 1 will provide South Africa's Scientific Authority with a broader understanding of wildlife trade from South Africa and the long-term security for wildlife trade monitoring across the country.

356. Institutional sustainability will be improved at the SAoSA through the capacity building activities designed under this GEF6 project, leading to improved ability for law enforcement and wildlife management at the member institutions and agencies working to ensure that wildlife trade is legal and sustainable. The technical skills gained using the new data management systems, and through use of SMART tools by the community Environmental Monitors, will contribute to strengthening South Africa's efforts to address illegal wildlife trade. In addition, strengthening the communications between SAoSA and its partners (eg SADC country CITES Authorities, WCMC, CITES Secretariat, IUCN SSC specialist groups) through trade studies, capacity building and species assessment will help to strengthen these partnerships and lead to an aggregate impact on addressing illegal wildlife trade.

357. Developing an electronic permitting system for CITES-listed species under Component 2 will provide South Africa with a modern information-technology-based control system for international trade in CITES-listed species. Moving away from paper permits will reduce the delays in processing, reporting and monitoring of trade. It will also reduce circulation of fraudulent paper permits that have led to illegal wildlife trade across international borders. Through the development of an e-permitting system for CITES-listed species, the project will ultimately assist South Africa to improve its obligations to CITES by ensuring that wildlife trade is not only legal, but verifiable and sustainable. Training of in-house software developers to maintain the e-permitting system for CITES-listed species will ensure sustainability beyond the GEF6 project period.

358. For long-term sustainability and impact, Component 3 aims to strengthen the capacity of local communities bordering the KNP to reduce the rate of illegal wildlife trade. Activities have been designed to align improved livelihood options with the SANParks's conservation and park management goals. By co-developing and implementing strong community governance guidelines, the Project aims to ensure sustainability beyond the project period. Institutionalising integrated land use planning at the

target clusters in the Greater Kruger Buffer Zone, together with the creation of formalised long-term knowledge and information hubs at the SAWC and University of Venda, will ensure that efforts made under the GEF6 project will endure beyond the project period.

359. Both Component 1 and Component 3 aim to strengthen youth participation in activities and will partner with institutions and other stakeholders to develop a career-path protocol that will see young wildlife professionals, village Environmental Monitors, Community Champions absorbed into career paths at various institutions and agencies. This will ensure that the training received under the GEF6 project will be of benefit to conservation efforts in South Africa for years to come.

360. Aspects of the project have been designed specifically to build on existing initiatives and plans – rather than creating new, expensive systems - to develop improved collaboration and information exchange (Component 3). In addition, through creating a streamlined electronic permitting system for CITES-listed species (Component 2), the project will help the South African government to promote legal trade in wildlife through development of a regulatory environment that provides a clear advantage for legal, sustainable and verifiable trade. The e-permitting system for CITES-listed species, which will be an expensive new system, coupled with the biodiversity monitoring system (Component 1), will create a detailed system to control trade and eliminate the risk of loss of wildlife through illegal activities. Such a system will not require additional donor input at the end of the GE6 project period as the costs of setting up the system will be covered during the project period.

361. The underlying premise of the GEF6 project is that interest exists at the highest levels of Government in South Africa to address poaching and illegal wildlife trade. The GEF6 project provides cost-effective and sustainable solutions to reduce the rate of poaching and improve South Africa's ability to monitor wildlife trade, and will generate additional co-financing from stakeholder partners committed to achieving the same project objective. Financial sustainability is guaranteed through the collaborative efforts with government agencies and the other stakeholder partners, such that the project Outcomes are absorbed into the day-to-day activities and operational budgets of the DEA, Provincial Authorities, SANBI, SAoSA, SANParks. At the end of the project period (2022), these agencies and authorities will be strengthened and better equipped to fulfil their mandated roles.

362. Through the GEF6 project's inputs to development (and strengthening) of stakeholder participation at the target sites, and working at the landscape level with partners for wildlife conservation and biodiversity protection (through the community Environmental Monitors Programme), a degree of social sustainability is also assured. Empowering local communities to participate in the KNP's Buffer Zone management, as well as to participate in wildlife trade monitoring activities (acting as informants, for example), together with awareness-raising to address social priority needs will increase the level of community engagement in biodiversity conservation. Regular communications with communities, holding joint field operations (also under Component 1) and targeted awareness-raising endeavours, will ensure that local participation in KNP governance is increased and will ultimately lead to sustainability of this project's outcomes.

363. Finally, the project will have environmental sustainability impacts as it involves a coordinated approach to address the baseline for illegal wildlife trade, leading to a scenario where the risks of engaging in illegal trade outweigh the rewards, particularly with regard to the priority species (rhino, elephants, big cats). Working with government, NGOs, academic institutions and civil society groups, the GEF6 project will have incremental impacts through efforts to improve enforcement of legislation (eg NEM:BA) and the institutional capacity to act along the value chain (from source to shelf). This project is a Child Project under the Global Wildlife Program, which includes projects in countries involved at all stages of the wildlife trade chain, ie from source to transit to destination countries, and thus will contribute to the GWP's better understanding of wildlife trade and poaching.

3.8. Replication

364. The project activities have been designed to support replicability of various elements, including:

Component 1:

365. Regional meetings and international exposure through CITES processes will inform national and SADC partners of the benefits of the centralised monitoring system for improved implementation of CITES obligations (particularly with reference to Article IV of the Convention and the making of NDFs).

366. In addition, through partnerships with training institutions such as the OTS, SAWC, Zoological Gardens and research institutions (as members of SAoSA), the knowledge and expertise developed through modules and curricula will further understanding of wildlife management and trade issues beyond the immediate SAoSA membership.

367. The young wildlife professionals will take the skills learned as they enter the formal workplace and continue their careers in biodiversity conservation, resulting in a broader-based understanding of requirements for legal, sustainable and verifiable international wildlife trade.

Component 2:

368. South Africa's national e-permitting system for CITES-listed species will be shared with the broader CITES Parties 'community' from inception to completion. This will engender interest and potential replication beyond the national focus as other Parties may investigate establishing their own electronic permitting system. In addition, through interactions with the CITES Working Group on Electronic Systems and Information Technologies, the project will share the technologies used by South Africa for replicability.

369. The planned regional dialogue under this Component will aim to identify common concerns, challenges and opportunities, as well as seek consensus on developing comparable and compatible systems in the future.

Component 3:

370. Developing the community-specific governance guidelines, identifying Community Champions, and providing training-of-trainers will ensure that the essential methodologies required for effective community engagement in anti-poaching and combating illegal wildlife trade can be refined and adapted to other villages and clusters beyond the target areas. The GEF6 project aims to see a roll-out of the Community Governance Guidelines nationally.

371. The project will, through the membership of the Task Team, provide a platform for liaison between the Environmental Monitors Programme at the target sites and the larger network of SANParks and other national 'ranger' programmes. The communications strategy will also provide valuable 'lessons learned' from the project sites to inform national, regional and international audiences.

372. South Africa will produce and disseminate information materials on the activities and achievements under Component 3 to the CITES community, for example to the CITES Community Working Group, as well as provide case studies on CITES & Livelihoods in terms of CITES Notification No. 2017/066.

3.9. Public awareness, communications and mainstreaming strategy

373. The GEF6 project is structured to promote public awareness and mainstreaming opportunities through implementation of its wildlife trade activities. The project's approach to public awareness, communications and mainstreaming is to build monitoring and assessment capacity in the country through training and workshops, to partner with key actors that have aligned interests and objectives with project goals, and to empower local stakeholders through providing employment opportunities by contributing to project goals and objectives. Communication and mainstreaming of monitoring and assessment of wildlife trade in the country will be through knowledge sharing with key stakeholder partners, and at local and international platforms such as CITES meetings.

374. Public awareness, communications and mainstreaming of wildlife trade monitoring and assessment, leading to the reduction in the rate of illegal wildlife trade in the country, will be achieved through: a) training and workshops; b) knowledge sharing; c) publications and public awareness campaigns.

375. **Training and workshops**. Training and workshops are expected to increase awareness of wildlife monitoring and assessment within the formal conservation sector of the country, with the result that wildlife monitoring and assessment will be mainstreamed into a number of institutions in the country. The following GEF6 project outputs will increase awareness:

- *Output 1.1 – SAoSA members are trained in effective wildlife trade monitoring and assessment* will build capacity of SAoSA and provincial services with monitoring and assessment through workshops and training programmes. Under this output, SAoSA and scientific services members and interns will be exposed to a programme of 'school-room' style training and field expeditions to fast-track their knowledge of wildlife management and trade issues. The training will be linked to intensive residential and field courses, with expeditions intended to expose young scientists to different management and trade systems in southern Africa. These capacity building efforts will raise awareness about career opportunities in wildlife trade management for participants and will support them to build an effective network on wildlife management and wildlife trade.

- *Output 1.2 - A centralised system for monitoring wildlife in trade is established* which will include training for the SAoSA secretariat, SAoSA members and provincial scientific authorities in the use and management of the monitoring systems for priority species. These capacity building efforts will raise awareness about career opportunities in wildlife trade monitoring and reporting.

- *Output 2.1 – Electronic permitting system for CITES-listed species is in place, adopted and used as the national CITES permitting system* will develop internal capacity at DEA to use the new system through a training workshop. In addition, information manuals on the e-permitting system for CITES-listed species will be produced. In this output DEA personnel will be exposed to international monitoring and reporting expertise, increasing their awareness and skills-sets.

- *Output 3.1: Governance guidelines and project activities co-developed with target communities* will involve mobilization of stakeholders directly and indirectly related to the GEF6 target area clusters to participate actively in the project. Community facilitators will be hired from within the target communities. At the higher level, stakeholders such as DEA, DRDLR, SANParks, provincial agencies and the private sector will participate in learning processes, the objective being the development of draft national Governance Guidelines and mechanisms for community participation in the wildlife economy. At the grassroots level, the nodes/clusters will include a training-of-trainers' module, such that lessons learned can be upscaled rapidly to additional communities around KNP and elsewhere in South Africa.

- *Output 3.2 – Environmental Monitors Programme strengthened*. Activities under this output will provide training to Community Champions to ensure that they continue to act as the interface between their community and the GoSA/SANParks/private sector, increasing their awareness of wildlife management efforts in their respective areas. The recruitment and training efforts will increase local public awareness of the efforts of the Environmental Monitors Programme and overall management of wildlife trade in and around KNP.

376. **Knowledge sharing.** Using knowledge derived from lessons learned in achieving the project outputs, this GEF6 project will strengthen communications and information sharing between South Africa and partner countries and institutions. Knowledge sharing is a key component of the following outputs of the GEF6 project:

- *Output 1.1 – SAoSA members are trained in effective wildlife trade monitoring and assessment*. Lessons and experiences gained from the implementation of the capacity and skills development strategy will be shared with regional partners. Sharing training materials and tools, as well as capacity development activities, with partners will build awareness of South Africa's efforts and achievements regarding wildlife monitoring and assessment. Communication of capacity building and training on biodiversity monitoring and analysis of wildlife trade can assist neighbouring SADC countries also to mainstream wildlife trade into their own environmental authorities.
- *Output 2.3 - The national e-permitting system for CITES-listed species is linked with relevant national and international permitting systems.* Activities will include convening meetings with key partners at national, regional and international levels, holding side-events and targeted meetings at international forums, such as CITES, SADC, Interpol, ICCWC etc., as well as 'look-and-learn' visits and study tours. These will increase broader stakeholder awareness of CITES species information and facilitate improved collaboration and co-operation in the management of trade in priority CITES-listed species.
- *Output 3.3: Co-ordination and communication strategy to share lessons learned in landscape and beyond.* Activities will involve an integrated communication and engagement strategy to share information and lessons learned during the GEF6 project regarding community governance mechanisms and the community Environmental Monitors Programme. The communications strategy will include development of a coordination and learning network within and across the targeted clusters to ensure an integrated approach, increasing awareness of wildlife within these targeted clusters. Targeted communications will be developed and disseminated to the CITES Community Working Group and other relevant CITES and Livelihoods meetings, which will broaden awareness of the steps taken under South Africa's GEF6 project to include community participation in efforts to reduce illegal wildlife trade.

377. **Publications and public awareness campaigns.** The biodiversity monitoring and electronic permitting systems that will be developed (Component 1 and Component 2) by the GEF6 project will provide invaluable information for accurate reporting to: a) the general public on wildlife trade in South Africa, and b) to international platforms such as CITES meetings (Animals Committee, Plants Committee, Standing Committee, Conference of the Parties). Publications and awareness campaigns are incorporated into the following outputs of the GEF6 project:

- *Output 1.2 - A centralised system for monitoring wildlife in trade is established.* This will include SAoSA and its partners using the new, centralized species monitoring system developed under Component 1 to produce accurate annual reports, as well as information documents for future CITES meetings (Animals Committee, Plants Committee, Standing Committee, Conference of

the Parties). In addition to information documents, species reviews, this output will also include presentations at side-events (to be determined once CITES meeting agendas are available). Such reports, documents and side-events will increase public awareness of wildlife trade issues in South Africa. Regional meetings are also planned under the GEF6 project, through SADC wildlife and trade forums, where the GEF project progress on developing a centralized biodiversity monitoring system will enhance public and regional partner awareness of the benefits accrued (in tackling illegal wildlife trade concerns) through the GEF project.

- *Output 2.1 – Electronic permitting system for CITES-listed species is in place, adopted and used as the national CITES permitting system*. Once the e-permitting system for CITES-listed species has been designed and populated, a public information campaign will be launched that will include guidance to the private sector, traders, zoological institutions, and scientists on how to log-on, create a profile, and use the system. A presentation at CITES CoP19 (scheduled to take place in 2022) will be delivered to raise awareness amongst the broader CITES community. This will increase South African public awareness of CITES species, as well as communications to an international audience of South Africa's efforts to manage and monitor CITES-listed species.

378. Public awareness regarding community empowerment is also a key aspect of project outputs, as follows:

- *Output 3.2 – Environmental Monitors Programme strengthened* will require sensitization and awareness campaigns to raise awareness about opportunities via recruitment of community members into the Environmental Monitors Programme, as well as the recruitment of community governance Champions. Community governance Champions are expected to act as the interface between the target community and Provincial Agencies, SANParks and NGOs thereby acting as communication conduits between these partners.
- *Output 3.3: Co-ordination and communication strategy to share lessons learned (in landscape and beyond)* will involve the production, publication and dissemination of examples of community 'programmes' to all relevant engagement platforms, including for CITES Community Working Group purposes. Appropriate electronic applications (Apps) will be developed to capture data which will be compiled and published in various formats online, in brochures, as CITES information documents, and as formal GoSA statements, etc.

379. Through its partnerships with key stakeholders, the GEF6 project will raise awareness about wildlife management and trade, particularly as partner institutions and NGOs will include information on their websites about their participation in the project.

3.10. Environmental and social safeguards

380. The project environmental and social safeguards are informed by GEF Policies on Environmental and Social Safeguards and Gender Mainstreaming. The main objective of the safeguards is to prevent and mitigate any unintended negative impacts to people and the environment that might arise through the implementation of project activities. These safeguards will particularly be important in the selection of in-country interventions. The GEF safeguards will be complemented by the UNEP/GEF checklist for environmental and social safeguards that will be completed as part of ensuring fiduciary standards during the selection of in-country interventions. A Checklist will be completed during concept development stage to help guide in the identification of possible risks and activities that will be assessed and included in the project design. The Checklist and planned mitigation measures will be reviewed annually at PIR stage to ensure that planned mitigation measures are taking place and that previously unanticipated issues are identified and addressed. Checklists and implementation of mitigation measures will be reviewed annually during PIR review, at Mid-term and at Terminal Evaluation stages.

381. UNEP has policies and systems that comply with all environmental and social safeguards as demonstrated by the UNEP GEF Checklist for environmental and social safeguards. Where the project activities negatively impact on livelihoods, the required safeguard procedures will be implemented by the project with the full participation of the affected communities or persons. The key principles are: (i) avoid negative social impacts and, (ii) if avoiding is not possible, take measures to minimise negative social impacts and where necessary compensate the affected communities. The GEF safeguard policies will mainly be applied in the identification, preparation, and implementation of in-country interventions on wastewater treatment and restoration of degraded critical coastal and marine ecosystems/habitats. In this respect, the project will ensure that environmental and social impact assessments (ESIA) are carried out to ensure that the potential impacts of proposed in-country interventions are identified and mitigated. The project will use a screening process for each proposed demonstration project, as early as possible, to determine the appropriate extent and type of environmental assessment (EA) required so that appropriate studies can be undertaken proportional to potential risks and indirect, cumulative, and associated impacts. As part of the ESIA, the project will determine the potential impacts of the proposed in-country interventions to physical, biological, socioeconomic and physical cultural resources, including transboundary and global concerns, and potential impacts on human health and safety. The project will also ensure assessment of the adequacy of the applicable legal and institutional frameworks.

382. Priority will be placed on prevention and where it is not possible to prevent, at least minimise, or compensate for adverse impacts and enhance positive impacts through environmental planning and management. The project will also involve stakeholders, including project-affected groups (e.g. indigenous peoples) and local non-governmental organizations (NGOs), as early as possible, in the process of developing in-country interventions and ensure that their views and concerns are made known to decision makers and taken into account in the design and implementation of the project.

383. The project will ensure full participation of all stakeholders during preparation and implementation of project activities that may generate risks, involve contentious issues, or involve serious and multi-dimensional environmental and/or social concerns. The project will also ensure that all viable alternative project designs are considered in order to avoid, where feasible, or minimise involuntary resettlement.

384. The project will also ensure gender equity in the planning and implementation of project activities in each of the participating countries. Deliberate effort will be made to encourage the participation of women and youth in the implementation of in-country interventions including capacity building activities. Once the project is approved and the project team is in place, project will develop gender guidelines that will apply to the on-the-ground interventions and the project as a whole. They will aim at ensuring

gender considerations are always taken into account in the project activities. The guidelines could include:

- Actively seek women's participation in all project actives such as training (both as resource person and participants), working groups and task forces, and ensure that facilitation / chairing of such groups is gender sensitive;
- To the extent possible seek gender representativeness in governance bodies such as the Steering Committee and in appointment of focal points;
- Inclusion of gender awareness in training, guidelines and project proposal templates;
- Involvement of a gender (and social and environmental safeguards) expert in assessment of pilot interventions;
- Have an activity or communications for events such as the International Women's Day;
- Ensure visibility of women (as well as men) on the project website - opinion items, experts profiles, interviews etc.

385. Further gender sensitivity in the on-the-ground interventions will be a requirement, with particular attention to needs of different groups - e.g. parallel consultation processes at local level to enable women to be heard; to ensure project interventions benefit all groups (in terms of aims and participation).

SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENT

386. This project will be executed nationally by the Department of Environmental Affairs (DEA) on behalf of the Government of South Africa. UN Environment will be the Implementing Agency.

387. Overall project supervision will be the responsibility of UN Environment, with UN Environment's Task Manager providing support and working closely with the DEA. The Task Manager is located in Nairobi, Kenya, but will be in constant contact with the project team throughout the project period to ensure consistency with GEF and UN Environment policies and procedures, as well as provide regular operational oversight for the project. Operational oversight will include: ensuring that the project practices due diligence with regard to Social and Environmental Screening Procedure (SESP). UN Environment will also have representation on the Project Management Committee (PMC) with regard to general project implementation.

388. UN Environment will provide overall coordination and ensure that the project remains in line with its Medium-Term Strategy and its Programme of Work, as approved by the UN Environment's Governing Council. Project supervision missions by the Task Manager will be described in the project supervision plan, which will be developed. UN Environment will also report to the GEF Secretariat on progress against milestones outlined in the CEO ER, as well as inform the GEF Secretariat of any substantive changes in co-financing that could impact on the project objectives, scope, conformity with GEF criteria, outcome of the project, or likelihood of project success. UN Environment will also be responsible for the following:

- Submission of overall annual Project Implementation Review (PIR) to the GEF Secretariat and Evaluation Office, which will include an annual rating of the project in terms of progress meeting project objectives, project implementation progress, risk, quality of project monitoring and evaluation
- Review and clearance of reports and other documents prepared by DEA, as Executing Agency, before publication
- Review and agree any communications on the project prior to publication/dissemination
- Arrange for independent mid-term evaluation by the Evaluation Office (EO) and ensure that EOU arranges a terminal evaluation and submits its report to the GEF Evaluation Office
- Management and disbursement of GEF funds in accordance with rules and procedures of UN Environment.

389. DEA will be responsible for the coordination, management and day-to-day administration of the project in accordance with the activities, outputs and outcomes described in this document. DEA is the CITES Management Authority in South Africa and works closely with national, regional and international partners to address illegal wildlife trade in priority species. DEA's role in the project will ensure full coordination and added value through the GoSA's complementary activities with SADC, CITES Secretariat and other international initiatives.

390. DEA will provide the key political interface with other relevant government Ministries and institutions and will provide assurance to UN Environment for the timely execution of financial and technical inputs to the project. DEA's responsibilities will include:

- Coordination of annual work plans (drafting, sharing, finalising) with project partners
- Oversight of all project activities
- Coordination of monitoring and evaluation missions and reports
- Coordination of stakeholder consultations at national, regional and international levels

391. A Project Management Unit already exists within the DEA as a project implementation division. For this GEF6 Project, the following PMU team will be created within the PMU at the DEA: Project Manager (PM); Project Coordinator (PC); Administrative & Procurement Assistant (AA). The PMU will be responsible for facilitating communications, providing technical cooperation and coordination between stakeholder agencies and project partners, reviewing technical documents, providing advice and guidance to consultants hired to complete project activities, acting as secretariat support for all PMC meetings.

392. The Project Manager (PM) will be responsible for overall guidance and oversight of the Project implementation, development of annual action plans, coordination of monitoring and evaluation reports for UN Environment and GEF, managing the project execution arrangements, acting as contact point for the project, and management of sub-contracts.

393. The Project Coordinator (PC) will assist the PM and be responsible for the day-to-day operations. The Administrative Assistant will provide project accounting services, as well as project procurement services. Independent auditors will be contracted to audit the project accounts. National and International Consultants will be hired as required to support project activities (as outlined in Appendix 14).

394. For this project, additional Project Managers will also be nominated at SANBI and SANParks to provide guidance and oversight to project activities under Component 1 and Component 3, respectively. The Project Manager-SANBI will act as the interface between the SAoSA and SANBI and will provide progress and implementation reports to the lead Project Manager (PM). The Project Manager-SANParks will be nominated at SANParks to provide leadership and oversight to project activities in the Greater Kruger Buffer Zone and at the target clusters specifically. The Project Manager-SANParks will also be responsible for coordination of activities carried out in terms of SANParks co-financing contribution to the project.

SECTION 5: STAKEHOLDER PARTICIPATION

395. Table 15Table 15 below provides a stakeholder mapping and the different stakeholders' roles and responsibilities in the GEF6 project. A more detailed stakeholder analysis is provided in Section 2.5 of this project document.

Table 15: Stakeholder Mapping, Roles & Responsibilities

Institution	Role and Responsibility in the Project
Government of South Africa	
Department of Environmental Affairs	Lead Government Executing agency for the GEF Project (Chair of Project Steering Committee) Key participant in, and beneficiary of, project outcomes and outputs Overall responsibility for biodiversity conservation at the national level
Provincial Authorities **Eastern Cape Province** Department of Economic Development & Environmental Affairs Eastern Cape Parks and Tourism Agency **Free State Province** Department of Economic Development, Tourism and Environmental Affairs **Gauteng Province** Gauteng Department of Agriculture and Rural Development **KwaZulu Natal Province** Department of Agriculture, Environmental Affairs and Rural Development Ezemvelo KZN Wildlife (EKZNW) **Limpopo Province** Department of Economic Development, Environment & Tourism, LEDET **Mpumalanga Province** Department of economic Development, Environment & Tourism, Mpumalanga Tourism and Parks Agency (MTPA) **North West Province** Department of Economic Development, Environment, Conservation & Tourism, NWPB **Northern Cape Province** Department of Environmental Affairs and Nature Conservation **Western Cape Province** Department of Environmental Affairs and development Planning CapeNature	Key participants in the Project as they will be recipients of the capacity building and institutional strengthening activities under Component 1 Provincial Management Authorities responsible for the issuing of permits or certificates relating to import, export, re-export and introduction from the sea of any species listed in CITES Appendices I, II and III as specified in section 87A (2) of the National Environmental Management: Biodiversity Act, 2004.
South African National Parks (SANParks)	Key Project implementing agency for community ranger and policing activities in and around KNP Responsible for management of National Parks in South Africa and the People & Parks Programme
Department of Rural Development & Land Reform (DRDLR)	Will be a key stakeholder to provide guidance when developing community-based activities under Component 3

Institution	Role and Responsibility in the Project
	Responsible for issues of communal land tenure and use right. Annual Performance plan includes provision for involvement of youth in rural communities (National Rural Youth Service Corps)
South Africa National Defence Force (SANDF) **South Africa Police Service (SAPS)**	Provide strategic input and take part in inter-departmental initiatives as members of the National Joint Operational and Intelligence Structure (NATJOINTS). Responsible to provide support to illegal wildlife trade prevention efforts, specifically on the borders of the country. Responsible for illegal wildlife trade crime prevention and oversight of CITES export permitting across national borders (Customs)
South African National Biodiversity Institute (SANBI) **Scientific Authority of South Africa (SAoSA)**	Will be the main recipient of capacity building activities under the Project as the administrative arm of SAoSA The SAoSA is a key implementing partner and recipient of capacity building activities under the Project SANBI is mandated to provide scientific and policy support to DEA and monitor and report on biodiversity. SANBI has been designated as responsible for the logistical and administrative functions of the Scientific Authority. SAoSA is responsible for determining the sustainable offtake of species and issues advice to the Government of South Africa (as the CITES Management Authority) regarding the issuance of export permits of CITES-listed species
Southern Africa Wildlife College (SAWC)	Will provide capacity building support and training opportunities to SAoSA and provincial authorities Will provide research outputs into wildlife trade in the country The College provides conservation education, training and skills development in natural resource management SAWC provides all training for Environmental Monitors and SANParks Rangers
Organisation of Tropical Studies (OTS)	Will provide capacity building support and training opportunities to SAoSA and provincial authorities Will provide research outputs into wildlife trade in the country Provides hands-on field-based education and training for students interested in tropical studies, global health, and wildlife conservation.
Research Institutions	
Higher Education Institutions Nelson Mandela University North West University Stellenbosch University University of Cape Town University of KZN University of Pretoria University of Venda University of Witswatersrand	Will provide capacity building support and training opportunities to SAoSA and provincial authorities Will provide research outputs into wildlife trade in the country Provide research insight and input into wildlife trade in the country Provide wildlife education, training and skills development
CSIR	Can provide research outputs into wildlife trade in the country – particularly related to monitoring of priority species
Local & Indigenous Community Groups, including women's groups	
Community groups around Kruger National Park (surrounded by 3 million	Communities living around key hot-spot areas where IWT occurs and where poaching recruitment is high or has potential to occur.

Institution	Role and Responsibility in the Project
people within 181 communities/villages, 7 District Municipalities and 68 Tribal Authorities)	Communities will be major beneficiaries of project interventions, particularly those under Component 3 related to strengthening community capacity to manage biodiversity (and key target species) in the areas adjoining the western boundary of KNP. Key providers of advice to the Project regarding community needs, wants and capabilities and will provide inputs to development of livelihood options for funding.
NGOs	
Peace Parks Foundation (PPF)	Provide support to communities and training and skills development, in partnership with the SAWC Will be implementers of key activities on developing Community Governance Guidelines under Component + important source of co-funding
World Wildlife Fund South Africa (WWF-SA)	Key NGO working in South Africa on large mammal conservation, addressing illegal wildlife trade, and capacity building at community level, particularly in terms of its Khetha Project (with funding from USAID)
GLTFCA	Manage the Greater Limpopo Trans-frontier Conservation Area and buffer zones around TFCAs, including KNP
EWT	Support in addressing wildlife trade in the country, with focus on priority species such as rhino. Capacity building and skills development in trade in wildlife Will play a role in Component 1 and Component 2 of the project, assisting with monitoring of rhino in South Africa.
IUCN: **IUCN/SSC AfRSG** **IUCN/SSC Cat Specialist Group** **IUCN/SSC SULi**	Will play a role in Component 1 and Component 2 of the project, assisting with monitoring of rhino in South Africa. AfRSG: collect and update rhino population numbers at a continental level and discuss specific rhino conservation issues. IUCN/SSC Cat Specialist Group: responsible for the global assessment of the conservation status of all 38 wild living cat species SULi - Engaging communities as partners in combatting illegal wildlife trade (IWT).
Panthera	Provides support in monitoring big cat species and community engagement in addressing illegal wildlife trade Will provide data and monitoring information for big cat species in South Africa under Component 1 and Component 2 of the project.
TRAFFIC	Provide monitoring and research support on sustainable use of priority wildlife species, as well transport routes used and trafficking of wildlife. Can play a role in Component 1 and Component 2 of the project, assisting with monitoring of species in South Africa.
Private Sector	
Private Rhino Owners Association in South Africa (PROA) of WRSA	Can play a role in Component 1 and Component 2 of the project, assisting with monitoring of rhino in South Africa.
Wildlife Ranchers of South Africa (WRSA)	Can play a role in Component 1 and Component 2 of the project, assisting with monitoring of priority species and supporting legislative compliance of private owners.
Professional Hunters' Association of	Supports conservation and ecologically sustainable development and use of

Institution	Role and Responsibility in the Project
South Africa (PHASA)	natural resources through promotion of ethical hunting http://www.phasa.co.za/about-phasa/mission.html Will be a key stakeholder in terms of strengthening knowledge and sharing species information management under Component 1 of the Project.
Game Rangers' Association of South Africa	Can play a role in Component 1 and Component 2 of the project, assisting with monitoring of priority species and supporting legislative compliance
Private Lodges (on KNP Boundary)	Will be a key stakeholder in terms of strengthening knowledge and sharing species information management under Component 1 and Component 3 of the Project
Greater Kruger Environmental Protection Foundation (GKEPF)	Will be a key stakeholder in terms of strengthening knowledge and sharing species information management under Component 1 and Component 3 of the Project
South African Hunters and Game Conservation Association (SAHGCA)	Will be a key stakeholder in terms of strengthening knowledge and sharing species information management under Component 1 of the Project
Confederation of Hunters Associations of South Africa (CHASA)	Will be a key stakeholder in terms of strengthening knowledge and sharing species information management under Component 1 of the Project
International Multi-lateral Environmental Agreements, UN, International Organisation	
UN Environment	GEF Implementing Agency in South Africa. Overall project oversight and supervision. Represents GEF on the Project Steering Committee. Provides technical support and specific support to project execution as required/appropriate.
CITES Secretariat	The main Convention dealing with regulations for trade in endangered species of wild fauna and flora. South Africa has ratified and is a Party to the Convention. Involved as an Observer during Project Preparation and will provide guidance (including through the E-Permitting Working Group) for selected activities during Project implementation
UNEP-WCMC	Involved during Project Preparation and will provide technical expertise and co-finance for selected activities
ICCWC	Established in 2010, the ICCWC brings together the main international governmental organizations responsible for combating wildlife crime (CITES Secretariat, INTERPOL, UNODC, WCO and World Bank) to provide a coordinated response. A key output is the Wildlife and Forest Crime Analytic Toolkit to guide national responses, and the more recent ICCWC Indicator Framework
World Bank Group (WBG)	The WB is the lead GEF agency for the Global Wildlife Program (GWP) under which the South Africa IWT falls Will share technical experiences from other projects under the GWP
Bilateral and other potential Donor Agencies	
USAID	Need to confirm with USAID whether there are additional funds beyond Khetha that can be allocated as co-financing to the GEF project
GIZ	GIZ funded the regional SAoSA meeting prior to the CITES CoP17 (in 2016) and are a potential co-funder for the GEF6 project.
Other Embassies and bilateral donors interested in Combating Illegal Wildlife Trade activities in ZA and beyond	Contribute expertise, lessons learned and co-finance for project activities

SECTION 6: MONITORING AND EVALUATION PLAN

396. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.

397. The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 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 Appendix 6 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 Appendix 6. Other M&E related costs are also presented in the Costed M&E Plan and are fully integrated in the overall project budget.

398. 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. Day-to-day project monitoring is the responsibility of the project management team but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Manager 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.

399. 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.

400. Baseline data gaps will be addressed during the first year of project implementation.

401. Project supervision will take an adaptive management approach. The Task Manager 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.

402. In-line with UN Environment Evaluation Policy and the GEF's Monitoring and Evaluation Policy the project will be subject to a Terminal Evaluation. Additionally, a Mid-Term Review will be commissioned and launched by the Project Manager before the project reaches its mid-point. If project is rated as being at risk, a Mid-Term Evaluation will be conducted by the Evaluation Office instead of a MTR.

403. The Evaluation Office will be responsible for the Terminal Evaluation (TE) and will liaise with the Task Manager and Executing Agency(ies) throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of

results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the GEF, executing partners and other stakeholders. The direct costs of the evaluation will be charged against the project evaluation budget. The Terminal Evaluation will be initiated no earlier than six months prior to the operational completion of project activities and, if a follow-on phase of the project is envisaged, should be completed prior to completion of the project and the submission of the follow-on proposal. Terminal Evaluations must be initiated no later than six months after operational completion.

404. The draft Terminal Evaluation report will be sent by the Evaluation Office to project stakeholders for comments. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six point rating scheme. The final determination of project ratings will be made by the Evaluation Office when the report is finalised and further reviewed by the GEF Independent Evaluation Office upon submission. The evaluation report will be publicly disclosed and may be followed by a recommendation compliance process.

405. The GEF tracking tools are attached as Appendix 15. These will be updated at mid-term and at the end of the project and will be made available to the GEF Secretariat along with the project PIR report. As mentioned above the mid-term and terminal evaluation will verify the information of the tracking tool.

SECTION 7: PROJECT FINANCING AND BUDGET

7.1. Overall project budget

406. The overall project budget over the 5-year project period amounts to USD 12,306,009, comprising USD 4,886,009 from GEF and USD 7,420,000 from co-financing. Details of the budget according to UNEP budget lines are attached as Appendix 1 and Appendix 2.

Table 16: Summary GEF budget for project implementation by Component

Component	Amount USD
Component 1	1,377,000
Component 2	1,442,000
Component 3	1,857,000
Project Management Cost (PMC)	210,009
TOTAL Project Cost	**4,886,009**

Table 17: Summary of GEF budget for project implementation by Year

Year	Amount requests from GEF (USD)
Year 1	1,436,009
Year 2	1,233,000
Year 3	804,000
Year 4	699,000
Year 5	694,000
TOTAL	**4,886,009**

7.2. Project co-financing

407. A total of USD 7,420,000 is committed as co-financing from the Government of South Africa, the SANParks, SANBI and other partners and bilateral sources, as shown in Table 18 below. Of this USD 7,420,000, USD 3,980,000 is in cash and USD 3,440,000 is in-kind. The breakdown per project Component is provided in Appendix 1.

Table 18: Summary of total project co-financing partners and amounts committed

Co-financing Partner	Total Amount (USD)	Cash	In-kind
Department: Environmental Affairs	5,000,000	2,500,000	2,500,000
SANParks	500,000	480,000	20,000
SANBI	200,000	420,000	6,700,000
UNEP-WCMC	200,000		200,000
WWF-SA	500,000	500,000	
PPF	600,000	300,000	300,000
TOTAL	**7,420,000**	**3,980,000**	**3,440,000**

408. A further breakdown of the co-financing commitments per Component is shown in Table 19 below.

Table 19: Co-financing by source and component in USD

Co-financing Source	Role in Project	Cash	In-kind
Component 1			
Department: Environmental Affairs	National Executing Agency	1,000,000	1,000,000
SANBI	Government beneficiary of institutional strengthening	200,000	420,00
SANParks	Collaboration in field training excursions	20,000	
WCMC	Technical advisory and training services		100,000
Sub-total		1,220,000	1,520,000
Component 2			
Department: Environmental Affairs	National Executing Agency	1,000,000	1,000,000
WCMC	Technical advisory and training services		100,000
Sub-total		1,000,000	1,100,000
Component 3			
Department: Environmental Affairs	National Executing Agency	500,000	500,000
SANParks	Executing partner	460,000	20,000
WWF-SA	Partner NGO	500,000	
PPF	Partner NGO	300,000	300,000
Sub-total		1,760,000	820,000
TOTAL		**3,980,000**	**3,440,000**

7.3. Project cost-effectiveness

409. The co-financing commitment from the Government of South Africa, including those institutions and agencies that fall under the Ministry of Enviroment (ie SANParks and SANBI) show a clear commitment by the GoSA to achieving the goals of this project (as described in detail above).

410. The project will work closely with existing national government structures and national organisations, as well as with local, regional and international stakeholders to share its existing and future data on biodiversity, wildlife trade, illegal wildlife trade, community Environmental Monitor programmes and community beneficiation schemes in order to generate maximum synergy across these sectors, thereby maximising cost-effectiveness. This synergistic approach across the 3 project Components will generate global benefits as it will make a positive contribution to the conservation status of priority (and other) CITES-listed species, contribute to the international discussions on reducing the rate of illegal wildlife trade, participation of rural communities in addressing IWT in CITES-listed species, and the move by CITES Parties to evolve into a more secure electronically-based permitting system.

411. Partnering with key organisations working at the rural community interface with KNP will not only avoid duplication of efforts and investment, but will generate cost-effective results and sustainable outcomes. The timing of this GEF6 project aligns perfectly with that of the WWF-SA Khetha project, which will generate considerable support and cohesion across the greater KNP buffer-zone landscape.

412. Further cost-effective measures include:

- Building on existing efforts at government, regional and international levels;
- Building on the extensive data and experiences that exists within institutions;
- Creating a centralised biodiversity database that will be available to all relevant individuals, organisations and government agencies;

- Creating synergies between all relevant stakeholders.

APPENDICES

Appendix 1: Budget by project components and UNEP budget lines

See separate file

Appendix 2: Co-financing by source and UNEP budget lines

See separate file

Appendix 3: Incremental cost analysis

The incremental costs and benefits of the GEF6 project are summarised in the following incremental cost matrix. The incremental cost of the project, USD 12,306,009 is required to achieve the global environmental benefits from the project activities. Of this amount, USD 4,886,009 is requested as cash funding from the GEF Trust Fund. The remaining USD 7,420,000 will be provided by the Government of South Africa and co-financing implementing partners (ie SANParks, SANBI, PPF, WWF-SA and UNEP-WCMC) as both cash and in-kind contributions to the total project cost.

BASELINE	ALTERNATIVE	INCREMENT
(A)	(B)	(B) - (A)
COMPONENT 1: Strengthening capacity and information systems for effective management of wildlife trade monitoring		
The Scientific Authority of South Africa (SAoSA) does not have the necessary manpower, long-term financial resources or consistent skills set across its membership to monitor all prioritised species traded internationally. Knowledge across the Provinces is not standardised for effective implementation of legally-mandated Scientific Authority tasks and responsibilities, including making Non-Detriment Findings (NDFs). Current decision-making processes for permitting and scientific opinion on the sustainability of wildlife trade is not streamlined and is time-consuming and circuitous. SAoSA members across the Provinces need additional training and education on CITES obligations. Shared species information (population, distribution, threat status, etc) is not available nationally to SAoSA members, leading to decision-making on permitting made in isolation and using complete data. Baseline capacity scorecard for SANBI/SAoSA: 27%	With the GEF intervention, it will be possible to collate available, and generate new, knowledge on biodiversity at a scale adequate for informing Non-Detriment Findings for prioritised species. It will also provide technical and scientific knowledge, to be used by relevant stakeholders and decision-makers at provincial, national and regional levels. Critical telecommunications hardware will be provided to the provincial SAoSA members who currently have limited access to the internet to download large documents and datasets – thereby improving their capabilities to evaluate biological and permitting parameters for wildlife trade analysis. A dedicated new and centralised biodiversity and permitting monitoring system will be developed and adopted in South Africa to assist with reducing the rate of illegal wildlife trade. Targeted training and awareness-raising on requirements of national Scientific Authorities (CITES permitting; permitting of TOPS species; NDF monitoring) will be provided to SAoSA members, provincial Scientific Services and the new cohort of young wildlife professionals/interns to improve South Africa's obligations under environmental legislation. A capacity building and retention strategy will be developed and implemented to ensure skilled scientists are retained in relevant provincial authorities.	The profile of the SAoSA membership will change to comprise of well-trained young professionals which have better information to address the SAoSA legislative mandate. The provincial Scientific Services will be capacitated with sufficient and appropriately skilled personnel to fulfil their supporting role to SAoSA and to make informed permitting decisions on prioritised species. A centralised monitoring system that can be accessed by SAoSA members and key stakeholders will be put in place, with the result that levels of sustainable trade in key priority species will be identified more accurately and will trigger rapid responses to curtail unsustainable or illegal offtakes. Permitting decision-making will also be based on accurate trade and sustainable use information.

BASELINE	ALTERNATIVE	INCREMENT
(A)	(B)	(B) - (A)
COMPONENT 2: Development of a ready-to-use e-permitting system for CITES-listed species		
DEA currently issues standard CITES paper permits for the export, import, and re-export of CITES-listed species, leaving the permitting system open to human error, forgery, time delays, and illegal use. The paper permits are controlled and checked at points of export by the South African border agency (Customs division at the South African Revenue Service, SARS), which causes delays in processing and reporting on actual trade (actual numbers of specimens leaving the national border) by DEA in its annual reports to CITES.	GEF support will design and develop an electronic permitting system for CITES-listed species that will be a robust system to reduce the potential for fraudulent use, identify criminal activity (intended and actual) and result in better informed decision-making by the Government of South Africa to protect key, priority species subject to illegal wildlife trade. Technical oversight and guidance by the CITES Secretariat and UNEP-WCMC will be provided to the design and implementation of the e-permitting system for CITES-listed species, given their expertise in this domain working on similar projects in other countries.	A centralised e-permitting system for CITES-listed species that can be accessed by DEA, provincial authorities, permit applicants, users and key stakeholders, with different levels of access and security, will be available. The e-permitting system for CITES-listed species will allow easier reporting by DEA to CITES on trade of species, as well quicker and more accurate decisions by Provincial Environmental Authorities on CITES permitting. The e-permitting system for CITES-listed species will facilitate permit decisions based on reliable and up-to-date information on the number of permits already issued, levels of sustainable trade and the current state of trade of the species at the time of the application. The e-permitting system for CITES-listed species will also trigger rapid responses to curtail unsustainable or illegal offtakes and will flag fraudulent permit applications and previous negative permit decisions made in other provinces or for a targeted applicant. Permitting decision-making will be based on accurate trade and sustainable use information. The DEA CITES personnel, both provincial and national, will comprise well-trained professionals with the skills and knowledge to use, maintain, update the e-

BASELINE	ALTERNATIVE	INCREMENT
(A)	(B)	(B) - (A)
		permitting system for CITES-listed species. The user groups of the e-permitting will be equipped, through training, with the knowledge and expertise to operate the e-permitting system for CITES-listed species at the level of their access and security.
COMPONENT 3: Community empowerment, education and awareness.		
SANParks' People and Parks Programme (P&PP) is a key component of South Africa's community support strategy to ensure that local communities are involved in the management of protected and surrounding areas. Communities surrounding national parks are consulted and joint planning sessions are organised to discuss issues of mutual interest. Poaching syndicates are changing their *modus operandi* and entering KNP through rural communities on the park boundaries. The GEF6 target clusters are known areas for park infiltration by poacher gangs. Rural poverty and limited livelihood opportunities are contributing factors to poaching recruitment. South Africa has an innovative means to address illegal wildlife trade through its strategy to enhance community ranger initiatives and private sector stewardship of natural resources. Programmes implemented through the GLTFCA, by WWF-SA and other programmes adopt a holistic approach with actors from across government, communities, civil society, and the private sector, including coordination within countries and across geopolitical boundaries. The GLTFCA's integrated livelihoods diversification strategy (2016-2030) targets Makuya (a target site for this GEF6 project) for projects that will protect and restore natural resources through sharing benefits with surrounding communities. The Working for Rhino (WFR) programme is a new initiative, where efforts are being made to address the rhino poaching in Kruger National in	GEF support will result in agreed community governance guidelines (including endorsed MoUs with communities). People & Parks Programme (P&PP) members will be trained to become spokespersons. Community Governance Champions will be identified from each target cluster site to ensure that a specific needs assessment is carried out for their target area. Community Governance Champions will act as the interface between the target community and Provincial Agencies, SANParks and NGOs with regard to the Community Governance Guidelines. Training will be provided to Community Champions to ensure that they continue to act as the interface between their community and the GoSA/SANParks/private sector, etc. Community facilitators will develop a series of guidelines and training manuals that will include, *inter alia*, a members' bill of rights, village constitutions, definitions of roles, financial systems and procedures, governance systems and procedures, and mechanisms for financial and procedural compliance. EMs / Rhino Ambassadors that might be in place at the project sites will be reviewed, a gap analysis will be carried out and findings will be adapted/integrated into	Co-developed community governance guidelines will have been produced and will have been implemented. A suite of Community Governance Champions, from target cluster sites, will have the capacity and skills to fulfil the role of providing an interface between target communities and environmental agencies/stakeholders/ NGOs. Community facilitators will have a series of guidelines and training manuals to support their training and daily activities. The current Environmental Monitors Programme will be strengthened by recruiting and training additional EMs at accredited training institutes. EMs will have the knowledge and skills to perform their duties in the target cluster sites. A co-ordination and communications strategy will have been developed and implemented to share lessons in the current landscape and beyond.

BASELINE	ALTERNATIVE	INCREMENT
(A)	(B)	(B) - (A)
hotspots that are adjacent to communal areas. The approach is to train Community Field Rangers to patrol the section boundaries of KNP that are adjacent to their communal area.	specific Environmental Monitor Programmes per node/cluster. GEF6 support will be used to support existing structures (transport, workshops) to carry out the reviews and assessment. GEF6 support will fund advertisements, selection process, evaluator fees, transport and evaluation materials to recruit and train Environmental Monitors. Environmental Monitors will be trained by Accredited organisations/individuals capable of providing the training modules. An integrated communication and engagement strategy will be developed to share information and lessons learned during the GEF6 project about community governance mechanisms and the community Environmental Monitors Programme. The communications strategy will include development of a coordination and learning network within and across the targeted clusters to ensure an integrated approach.	Up-to-date information provided by the Community Champions and Environmental Monitors, will be captured and utilized and published online, in brochures, as CITES information documents, and as formal GoSA statements, etc. Community-driven projects will be identified and implemented at each target cluster (target is one project per cluster).
BASELINE COST **TOTAL: $ 7,420,000**	**ALTERNATIVE COST** **TOTAL: $ 4,886,009**	GEF: $4,886,009 Co-financing: $7,420,000 **TOTAL: $ 12,306,009**

Appendix 4: Results Framework

Outcomes	Indicators	Baseline	Mid-term Targets	End of Project Targets	Means of Verification	Assumptions
Project Objective: To reduce the rate of Illegal Wildlife Trade through strengthened institutions, improved data collection, management and analysis, and targeted community participation.	Number of seizures of IWT of target species in calendar year[92]	Illegal trade in Rhino 2017 seizure data – *baseline =7 cases* Illegal trade in Elephant 2017 seizure data – *baseline data = 36 cases* Illegal trade in Lion 2017 seizure data – *baseline data = 4 cases* Illegal trade in Cheetah 2017 seizure data – *baseline data = 1 case* Illegal trade in Leopard 2017 seizure data – *baseline data = 2 cases*	Illegal trade in Rhino 2016 seizure data – *increase compared to baseline* Illegal trade in Elephant 2016 seizure data – *increase compared to baseline* Illegal trade in Lion 2016 seizure data – *increase compared to baseline* Illegal trade in Cheetah 2016 seizure data – *increase compared to baseline* Illegal trade in Leopard 2016 seizure data – *increase compared to baseline*	Illegal trade in Rhino 2016 seizure data – *decrease compared to baseline* Illegal trade in Elephant 2016 seizure data – *decrease compared to baseline* Illegal trade in Lion 2016 seizure data – *decrease compared to baseline* Illegal trade in Cheetah 2016 seizure data – *decrease compared to baseline* Illegal trade in Leopard 2016 seizure data – *decrease compared to baseline*	• Seizure data collected by DEA • E-permitting system for CITES-listed species operational • Customs officials receive updates through mobile applications • SANParks rhino poaching data • National species monitoring system captures data from various sources	• IWT will become more evident through strengthening the knowledge base of <u>legal</u> wildlife trade • Communities at the target sites engage in and benefit from KNP's conservation efforts, and become active guardians of wildlife • Poachers and syndicates do not move into other areas e.g. Mozambique
	Number of fraudulent documents on wildlife exports out of SA identified at international ports	In 2017 (*number to be determined*) wildlife exports were identified having fraudulent documents – *baseline data will be collected in 2017*	E-permitting system for CITES-listed species has been designed	Zero as all export documentation is electronic		
	Rhino poaching rates in KNP attenuate as a result of more positive	Number of rhino poached in 2016 in KNP: *1054*	Number of rhino poached in June 2020 in KNP: *equal or less than 1054*	Number of rhino poached in December 2022 in KNP: *less than*		

[92] It is assumed as the capacity and knowledge to manage legal trade increases, the ability to identify illegal wildlife trade will improve in the short term. However, as criminals are arrested and prosecuted and the chances to be arrested increase, the 'desire' to engage in illegal activities should decrease. Therefore, by mid-term there should be an increase in seizure records, but the end-of-project target will be a decrease in the number of seizures.

Outcomes	Indicators	Baseline	Mid-term Targets	End of Project Targets	Means of Verification	Assumptions
	community attitude to wildlife			*1054*		
Component 1: Strengthening institutional capacity and information systems for effective management of wildlife trade monitoring						
Outcome 1: Increased capacity within SAoSA for legal and sustainable wildlife trade	% Increase Score in Capacity Scorecard)	Capacity Scorecard score: 26.3%[93]	Capacity Scorecard scores increased by 5% over baseline	Capacity Scorecard scores increased by 15% over baseline	Capacity Scorecard	The SAoSA will continue to have an engaging and enthusiastic chair and a robust secretariat Continued MTEF funding of the SAoSA SAoSA members are willing to mentor interns Private sector trusts government to share data Historic data from other sources can be included in the system
	# of monitoring systems in place and in use at national and provincial levels	No standard monitoring system on wildlife in place at provincial and national level	National monitoring systems on wildlife in place and used by SANBI and 2 provincial authorities	National monitoring systems on wildlife in place and providing accurate information	Monitoring system reports NDFs use monitoring data CITES delegation national permitting reports	
Outputs under Component 1 1.1 – SAoSA members are trained in effective wildlife trade monitoring and assessment 1.2 – A centralized system for monitoring wildlife in trade is established						
Component 2: Development of a ready-to-use e-permitting system for CITES-listed species						
Outcome 2: Web-based CITES electronic permitting	Customs officials at national export points have confidence that wildlife exports are based on authentic	Low confidence that paper-based, export documentation is authentic	E-permitting system for CITES-listed species has been designed	High confidence as documentation all electronic leaving little chance for fraud.	E-permitting system for CITES-listed species operational	Adequate web access and infrastructure exists at Permitting

[93] See Appendix 16

Outcomes	Indicators	Baseline	Mid-term Targets	End of Project Targets	Means of Verification	Assumptions
application used by CITES Authorities as a national permitting system	documentation				Customs officials receive updates through mobile applications Capacity Scorecard E-permitting collaboration agreement documents with one international database operator	Authorities) Clients are willing to use the system Efficient communication and information sharing within and between relevant agencies in South Africa Suitable IT firm is identified and available
	Capacity of DEA's software developers and IT support personnel to provide technical management and troubleshooting of the electronic permitting system	Capacity scorecard for DEA for the E-permitting for CITES species: 8.5%[94]	Capacity Scorecard scores increased by 25% over baseline	Capacity Scorecard score: 80%		
	South Africa's e-permitting system for CITES-listed species interfaces with international biodiversity databases	*No e-permitting system for CITES-listed species in place*	Data sharing agreement with one international biodiversity database operator	SA e-permitting system for CITES-listed species shares and collects data from other international biodiversity databases		
Outputs under Component 2 2.1 – E-permitting system for CITES-listed species is in place, adopted and used as the national CITES permitting system 2.2 – Internal software, developers provide skilled technical support to national CITES permitting system 2.3 – The national e-permitting system for CITES-listed species is linked with relevant national and international permitting systems						
Component 3: Strengthened community capacity to reduce the rate of illegal wildlife trade						
Outcome 3: Functional community governance for sustainable livelihoods and reduced rate of illegal wildlife trade	Number of governance guidelines and % of projects developed in consultation with stakeholders and community	Development projects use a top-down approach with little consultation between stakeholders and input from community	Co-developed Governance guidelines are designed and tested in two target sites 50% of projects developed in consultation with stakeholders and community	Co-developed Governance guidelines are designed and tested in all target sites 100% of projects developed in consultation with stakeholders and community	Governance Guidelines, co-developed with community, for stakeholder engagement Terms of Reference for Environmental Monitors Syllabus for Environmental Monitors capacity	Communities are willing to enforce more strongly against IWT both within their communities and outside. Communities are willing to collaborate with external enforcement agencies, i.e.
	Improved Community knowledge and attitude towards wildlife at the three target clusters	Results of Knowledge, Attitude and Practices (KAP) survey to be undertaken in year 1 of the project	Environmental Monitors trained and communicate issues of environmental importance to community members and represent the	Knowledge and attitude of community towards wildlife improved (based on the end of project KAP survey) as		

[94] See Appendix 17

Outcomes	Indicators	Baseline	Mid-term Targets	End of Project Targets	Means of Verification	Assumptions
			community's views on environmental issues	a result of clear understanding of the economic benefits from wildlife as well as tangible benefits of development projects linked to wildlife e.g. WWF-SA Khetha project investment.	development program Attendance record of Environmental Monitors at training programmes Reports on successful community projects Minutes of consultation meetings and workshops	historical or existing tensions with police force, park rangers or other authorities are not excessively high Communities are willing to engage in capacity building
Outputs under Component 3 3.1 – Key guiding principles and project activities co-developed with target communities 3.2 – Environmental Monitors Programme strengthened 3.3 – Co-ordination and communications strategy developed to share lessons in landscape and beyond						

Appendix 5: Workplan and timetable

[See separate file]

Appendix 6: Key deliverables and benchmarks

Components / Outcomes/Outputs	Summary of Activities	Deliverables	Benchmarks
Component 1: Strengthening institutional capacity and information systems for effective management of wildlife monitoring			
Outcome 1. Increased capacity within SAoSA for legal and sustainable wildlife trade			
Output 1.1. SAoSA members are trained in effective wildlife trade monitoring and assessment	Hiring of young wildlife professionals and providing capacity building to SAoSA and provincial scientific services through training programmes, workshops and field expeditions to improve knowledge of wildlife management and trade monitoring.	Training Programmes and Field Excursions are held	Young interns are recruited and trained and secure positions within SAoSA membership/partner institutions
Output 1.2. A centralized system for monitoring wildlife in trade is established	Carry out gap analysis of current, available monitoring systems and design and build a new centralized biodiversity and wildlife trade monitoring system that is used by SAoSA members.	Centralised biodiversity and wildlife trade monitoring system created and operational	Priority species NDFs are produced
Component 2. Development of a ready-to use e-permitting system for CITES-listed species			
Outcome 2. National web-based CITES electronic permit system used by South African CITES Authorities			
Output 2.1. Electronic permitting system for CITES-listed species is in place, adopted and used as the national CITES permitting system	Carry out review of current national CITES permitting system and design new user-friendly e-permitting system for CITES-listed species. Develop complementary mobile application for Customs.	Ready-to-use electronic permitting system is operational nationally	DEA has full control - through skilled internal team – of active e-permitting system for CITES-listed species for CITES-listed species
Output 2.2. Internal software developers provide skilled technical support to national CITES e-permitting system for CITES-listed species	Build capacity of DEA and stakeholders; design a training manual for e-permitting system for CITES-listed species	Training manual is produced; DEA IT specialists are able to maintain the e-permitting system for CITES-listed species; private sector aware of new system	User guide and training workshops for users held
Output 2.3. The national CITES e-permitting system for CITES-listed species is linked with relevant national and international permitting systems	Link new e-permitting system for CITES-listed species with international Species+/CITES Checklist/Trade Database, national SAoSA/SANBI system, and other relevant regional permitting systems	Agreements in place with partners to share data; targeted meetings and side-events are held	Regional meetings on CITES and wildlife trade (legal and illegal) are held
Component 3: **Strengthening community capacity to reduce the rate of illegal wildlife trade**			
Outcome 3. Functional community governance mechanisms for sustainable livelihoods and reduced rate of illegal wildlife trade			
Output 3.1. Key guiding principles and project activities co-developed with target communities	Co-develop community governance guidelines, identify, appoint and train community Governance Champions; develop eligibility criteria	Agreed community governance guidelines (including and endorsed MoUs with communities)	Community AGMs, quarterly governance compliance monitoring report, selected communities functional by mid-term

Components / Outcomes/Outputs	Summary of Activities	Deliverables	Benchmarks
		At least 1 project proposal per target site is developed and approved for funding and implementation	
Output 3.2. Environmental Monitors Programme strengthened	Review existing and determine scope for new community Environmental Monitors Programmes per site; recruit, train, equip and deploy EMs	Trained Environmental Monitors are operational	At least 10 EMs are recruited and trained by mid-term; 20 by end of Project period Long-term recruitment strategy in place for EMs by end of Project
Output 3.3. Co-ordination and communications strategy developed to share lessons in landscape and beyond	Identify opportunities for up-scaling; Design variety of different media content to facilitate sharing of lessons learned	Brochures, CITES Information Documents are produced and disseminated;	Technical case studies and other documentation and/or presentations on lessons learned/model projects

Appendix 7: Costed M&E plan

The indicative Monitoring & Evaluation workplan is outlined in the table below.

Type of M&E Activity	Responsible Parties	GEF Budget (USD)	Co-finance (USD)	Time Frame
Inception Workshop	• Project Manager / Project Management Unit (PMU) / Steering Committee / • UNEP	4,000	5,000	Within 2 months of project start-up
Inception Report	• Project Manager • PMU	0	2,000	1 month after project inception meeting
Measurement of project indicators (outcome, progress and performance indicators, GEF tracking tools) including baseline data collection. The Project Coordinator and Project Manager are responsible for overall measurement of indicators. In addition, support will be provided by the following partners for each component: • Component 1: SANBI • Component 2: DEA • Component 3: DEA, SANParks, Task Team	• Project Manager • PMU/Project Technical team • Data Management Unit • Consultants	2,000	20,000	Outcome indicators: start, mid and end of project Progress/performance indicators: annually
Semi-annual Progress reports to UNEP	• Project Manager • PMU	0	5,000	Within 1 month of the end of reporting period (i.e. on or before 31 Jan. and 31 Jul.)
Project Steering Committee + advisory technical group meetings	• Project Manager / PMU • UNEP representative	2,000	15,000	Twice per year
Reports of PSC meetings	Project Coordinator (with inputs from partners)	0	4,000	Within 1 month of meetings
Project Implementation Review (PIR)	• Project Manager • PMU • UNEP	0	5,000	Annually
Mid Term Review	• UNEP TM/UNEP Evaluation Office • Data Management Unit	20,000	0	At mid-point of project implementation
Terminal Evaluation	• UNEP TM/UNEP Evaluation Office • Data Management Unit	25,000	10,000	Within 6 months of end of project implementation
Financial Audits	• Selected audit firm or individual	10,000	0	Annually
Project Final Report	• Project Manager • PMU • Consultants for lessons learnt evaluation	0	35,000	Within 2 months of the project completion date
Publication of Lessons Learnt and other project documents	• Project Manager • PMU	2,000	25,000	Annually - annual reports & Project Final Report
Total M&E Plan cost		**65,000**	**126,000**	

Appendix 8: Summary of reporting requirements and responsibilities

Reporting requirements	Due date	Format appended to legal instrument as	Responsible Party
Procurement plan (goods and services)	2 weeks before project inception meeting	N/A	Project Coordinator
Inception Report	1 month after project inception meeting	N/A	Project Coordinator
Expenditure report with appropriate notes	Quarterly on or before 30 April, 31 July, 31 October, 31 January	in anubis system	Project Coordinator
Cash Advance request and details of anticipated disbursements (to be submitted in Anubis along with the expenditure reports)	Quarterly or When required	in anubis system	Project Coordinator
Progress report	Half-yearly on or before 31 January, 31 July	Annex 8 (to be uploaded in anubis)	Project Coordinator
Audited report for expenditures for year ending 31 December	Yearly on or before 30 June	N/A	Executing partner to contract firm
Inventory of non-expendable equipment	Yearly on or before 31 January	in Anubis system	Project Coordinator
Co-financing report (to be reported quarterly along with the GEF expenditure in the quarterly expenditure reports)	Yearly on or before 31 July	in Anubis system	Project Coordinator
Project implementation review (PIR) report	Yearly on or before 15 July	Annex 9	Project Coordinator, PSC
Minutes of steering committee meetings	Twice Yearly	N/A	Project Coordinator
Final report	2 months after project closure / technical completion	Annex 10	Project Coordinator
Final inventory of non-expendable equipment	2 months after project closure/ technical completion	in Anubis system	Project Coordinator
Equipment transfer letter	2 months after project closure/ technical completion	Annex 10	Project Coordinator
Final expenditure statement	3 months from project completion date	Annex 11	Project Coordinator
Mid-term evaluation	Midway through project	N/A	TM or EOU
Final audited report for expenditures of project	6 months from project completion date	N/A	Executing partner to contract firm
Independent terminal evaluation report	at the end of project or 6 months from project completion date	Appendix 9 to Annex 1	Evaluation Office

Appendix 9: Standard Terminal Evaluation TOR

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual outcomes. The evaluation will focus on the following main questions:

1. Did the project help to { } among key target audiences (international conventions and initiatives, national level policy-makers, regional and local policy-makers, resource managers and practitioners).
2. Did the outputs of the project articulate options and recommendations for { }? Were these options and recommendations used? If so by whom?
3. To what extent did the project outputs produced have the weight of scientific authority and credibility necessary to influence policy makers and other key audiences?

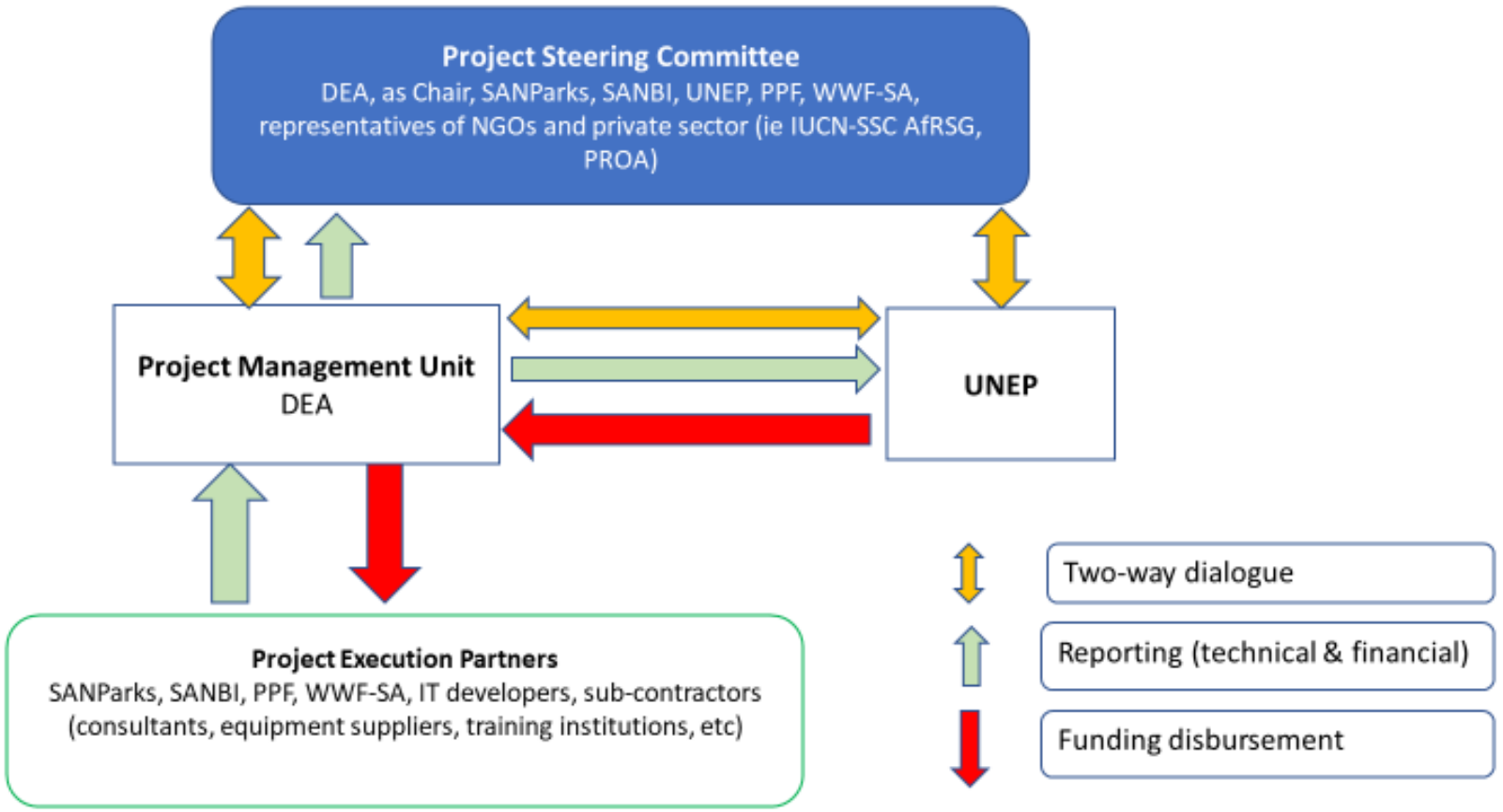
Methods

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/DGEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP/EOU and the UNEP/GEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP/GEF Task Manager, key representatives of the executing agencies and the UNEP/EOU. Any comments or responses to the draft report will be sent to UNEP/EOU for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on the following:

1. A desk review of project documents including, but not limited to:
   (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
   (b) Notes from the Steering Group meetings.
   (c) Other project-related material produced by the project staff or partners.
   (d) Relevant material published on the project web-site
2. Interviews with project management and technical support
3. Interviews and Telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organizations. As appropriate, these interviews could be combined with an email questionnaire.
4. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with {relevant GEF focal area(s)}-related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.

Appendix 10: Decision-making flowchart and organizational chart



Appendix 11: Terms of Reference

TERMS OF REFERENCE FOR THE PROJECT MANAGEMENT UNIT (PMU)

The PMU is the existing project implementation arm of the Department of Environment Affairs (DEA), with special staffing and "ringfencing" arrangements to manage and implement projects. The PMU will be responsible for facilitating communications, providing technical cooperation and coordination between stakeholder agencies and project partners, reviewing technical documents, providing advice and guidance to consultants hired to complete project activities, and acting as secretariat support for all PMC meetings.

The PMU is designed to achieve efficiency and coordination in the management of many projects from a variety of donors, the governments and even NGOs. The PMU also ensures that there is effective coordination and efficiency when there are project activities that are similar and dependent on each other for execution.

The **Project Manager** leads the PMU, and the **Project Coordinator** is responsible for coordinating day-to-day tasks of project staff and consultants.

The PMU will perform the following activities:

- coordinate project activities;
- build capacity across different partners and agencies by working closely with key persons in a learning-by-doing approach;
- build relationships with stakeholders;
- organize trainings and site visits;
- follow-up on recommendations and requests of the Project Management Committee (PMC);
- capture lessons learned and share with national and regional networks;

Where necessary the Project Manager will also:

- act as the project lead
- appoint and manage consultants
- act as rapporteur for all workshops and training sessions
- provide minutes of all official and informal consultations, meetings and interviews
- maintain the project website, updating it with outputs (results), and posting project notices to social media
- create a project file on the Department of Environment's Affrairs server and be responsible for maintaining electronic records of all project outputs and communications
- be responsible for drafting all correspondence to project stakeholders
- perform any other duties as assigned by the Project Management Committee.

TERMS OF REFERENCE FOR PROJECT MANAGER (PM)

The Implementing Agency (UN Environment), in collaboration with the Executing Agency (DEA) will appoint a suitably qualified person to provide primary support to the Project Unit for the implementation of the GEF6 project. The appointee will be based at the Department of Environment Affairs, Pretoria.

The Project Manager (PM) will be responsible for overall guidance and oversight of the Project implementation, development of annual action plans, coordination of monitoring and evaluation reports for UN Environment and GEF, managing the project execution arrangements, acting as contact point for the project, and management of sub-contracts.

[For this project, additional Project Managers will also be nominated at SANBI and SANParks to provide guidance and oversight to project activities under Component 1 and Component 3, respectively. The Project Manager-SANBI will act as the interface between the SAoSA and SANBI and will provide progress and implementation reports to the lead Project Manager (PM). The Project Manager-SANParks will be nominated at SANParks to provide leadership and oversight to project activities in the Greater Kruger Buffer Zone and at the target clusters specifically. The Project Manager-SANParks will also be responsible for coordination of activities carried out in terms of SANParks co-financing contribution to the project.]

Functions

The Project Manager will have responsibility for overall project supervision. Specific functions include:

Administration

- Provide technical and administrative leadership to the project team and act as the national representative of the project at regional and international levels;
- In consultation with partners, oversee the preparation of national work plan and annual updates, including budget allocations;
- Facilitate development and signing of the Letters of Agreement (LoA) with appropriate national partners to undertake activities specified in the work plan;
- Consult with different high-level project partners from relevant institutions;
- Provide guidance to consultants in their work on implementation of project activities, as needed;
- Approve terms of reference and conduct hiring procedures for national consultants;
- Supervise national project support administrative staff;
- Supervise the Project Coordinator;
- Oversee public relations for the project;
- Work to ensure high-level political and policy buy-in.

Communication

- Ensure efficient and effective communication between and amongst project activities at national (and international) levels;
- Maintain close communication with the Project Coordinator, review monthly project dashboard updates, identify risks, and proactively mitigate potential issues;
- Contribute relevant information on implementation to the project website;
- Maintain good communication with the other relevant projects, as well as with project stakeholders;

Meetings

- Organize, conduct and participate in the Project Management Committee meetings where the work plans and budgets of project Components will be agreed by project partners;
- Serve as Executive Secretary and provide support to the Project Management Committee in coordinating policy-related project implementation at the national level;

Monitoring

- Ensure that the project is executed in accordance with relevant UNEP/GEF and in-country requirements;

- Monitor the financial and budgetary status of the national components of the project;

Financial

- Be responsible for approving and endorsing all financial documentation of the national components of the project;
- Facilitate the delivery of in-kind and in-cash contributions for implementation of project components;

Outputs

- Project Management arrangements are in place and fully functional
- At least four PMC meetings held each year;
- Scheduled project activities are completed successfully
- Project component implementation is well-coordinated
- Project implementation maximizes synergies with other relevant projects in the country
- Annual Operational Work plan and budget are prepared by the Project Management Unit (PMU) and submitted to the PMC for approval on a timely basis
- Quarterly and annual technical and financial reports are prepared and submitted to PMC within stipulated deadlines
- Transfers of GEF funds to sub-contractors are accomplished efficiently
- Project objectives are met successfully
- UNEP/GEF norms for monitoring and evaluation of project performance, output delivery and impact are applied
- Nationally-contracted consultants and national project staff are supervised
- Effective public relations ensured
- Project activities are funded sustainably
- Project website is updated and maintained

Relationships

The Project Manager will:

- Be accountable to the Executing Agency (UN Environment) for the achievement of project objectives, results, and all fundamental aspects of project execution
- Maintain regular communication with the Project Management Committee (PMC)
- Maintain regular communication with the UNEP-GEF Project Management Officer
- Supervise the work of the Project Coordinator.

Qualifications

- Advanced university degree (Ph.D. or Masters) in ecology, environmental sciences, climate change studies and evidence of training in the field of Natural Resource Management (NRM)
- Minimum of seven years' experience in administration/management of national/international projects
- Proven experience in project management and administrative management
- Proven experience in facilitating meetings or discussions
- Experience with GEF policies and procedures including logframes and similar project planning tools
- Willingness and ability to travel frequently within South Africa and to relevant countries
- Ability to work with senior government officials, research institutes, non-governmental organizations (NGOs), and local communities, etc.
- Proven ability to manage budgets
- Fluency in written and spoken English and strong communication skills.

TERMS OF REFERENCE OF PROJECT COORDINATOR (PC)

The National Execution Agency (DEA), in collaboration with UN Environment, will appoint a suitably qualified candidate to fill the post of National Project Coordinator for the GEF6 Project. The Project Coordinator's time will be divided between technical tasks (80%) and administrative tasks (20%).

The Project Coordinator (PC) will assist the PM and be responsible for the day-to-day operations.

Functions

The Project Coordinator (PC) will undertake Technical Function (80% of time) as follows:

- Review reports and other products of project Consultants
- Coordinate and actively participate in meetings with stakeholders
- Draft technical ToRs
- Observe project management procedures in order to facilitate project implementation and ensure delivery of high quality outcomes
- In consultation with local partners, prepare national work plans and annual updates including national budget allocations
- Facilitate communications and linkages at local and national levels as well as with the Project Manager
- Participate in PMC meetings and provide support as required
- Organize national meetings, draft the agenda, and record decisions of national meetings
- Participate in the public relations activities for the project in the country.

Administrative functions (20% of time) will include the following:

- Coordinate work among Project Management Unit (PMU) staff and the national teams
- Supervise the management of the project budget in accordance with the agreed work plan and approved disbursal of project funds
- Maintain good communications with project partners and others
- Coordinate committed in-kind and in-cash contributions for the project
- Coordinate national scientific and technical teams
- Coordinate and contribute to the preparation and publication of national scientific and technical outputs from the Project.

Outputs

- Project Management Unit is fully functional
- 12 Project Management Unit meetings held each year
- 3 Technical Advisory Committee (TAC) meetings held each year
- Scheduled project activities completed successfully
- Project activities coordinated with other relevant projects at national level
- Annual operational plan including budget prepared and submitted on time to the Executing Agency (UN Environment)
- Quarterly and bi-annual technical (Progress Reports, Project Implementation Reports) and financial reports (GEF funding and co-financing) prepared and submitted to the Executing Agency completely and timely
- National, local and site level workshops and other monitoring meetings convend, as needed
- Assist UN Environment-GEF Task Manager and the independent evaluator (to be appointed by UN

Environment) with the Mid-Term Review and the Final Evaluation of the project
- Project objectives successfully met
- Effective public relations and public awareness at country level.

Relationships
The Project Coordinator (PC) will:
- Be accountable at national level for the achievement of project objectives, results, and all fundamental aspects of project execution
- Present project status reports to the Project Management Committee (PMC)
- Be accountable to the Project Manager for the achievement of project objectives, results and all technical aspects of project execution
- Maintain regular communication with local and national project partners interested in furthering the project outcomes
- Maintain regular communication with project site offices and the PM
- Supervise the work of the national technical project support staff
- Supervise the work of the national consultants and project partners.

Qualifications
- Advanced university degree in an environmental field and evidence of training in Natural Resource Management (NRM). The candidate must demonstrate a familiarity with the circumstances related to NRM
- A good understanding of biodiversity, monitoring and evaluation, wildlife management and trade and the social circumstances that surround same
- Minimum of 5 years' experience in administration/management of international projects
- Experience in project management
- Experience in facilitating stakeholder meetings or discussions
- Experience with working with regional and international partners
- Ability to work with senior government officials, research institutes, non-governmental organizations (NGOs), and local communities
- Fluency in written and spoken English and strong communication skills.

TERMS OF REFERENCE FOR ADMINISTRATIVE & PROCUREMENT ASSISTANT (APA)
The Administrative & Procurement Assistant will provide project accounting services, as well as project procurement services.

Functions
The Administrative & Procurement Assistant will undertake the following duties:
- Provide procurement support to the GEF6 project
- Provide support to the PM and PC in the financial and administrative management of the project
- Act as Secretary to the PMU
- Assist in project administration by assembling and preparing necessary documentation, help to prepare letters of agreement for research and consultancy services, monitor budgets and liaise with accounting staff regarding payments and financial reports, interact with external agencies on non-technical and administrative matters
- Assist in recording and monitoring project expenditures and funds availability in close consultation with the PM

- Assist PM and PC in preparing quarterly financial reports and reimbursement claims for submission to the Executing Agency
- Undertake office fixed assets inventory and report on same to the Executing Agency
- Format reports, proceedings and other relevant documents
- Assist PM and PC to organize and hold PSC Meetings and National Workshops
- Assist PC with communications with national partners and local authorities by phone, fax and other correspondence
- Update project website
- Assist PM assembling necessary information to prepare reports.

Outputs
- Project activities are implemented successfully
- Annual operational plan, including budget, prepared and submitted in timely manner
- Quarterly and annual technical and financial reports prepared and submitted in timely manner
- UNEP/GEF norms for monitoring and evaluation of project performance, output delivery and impact applied
- PMU functions effectively
- Project website is developed and maintained.

Relationships
The Administrative & Procurement Assistant will:
- Report directly to the PM and PC
- Maintain regular communication with the PMU, PM and PC
- Be accountable to the PM and PC for the functioning of the PMU
- Provide administrative assistance to the PMU
- Act as the focal point in information gathering/dissemination from/to national partners.

Qualifications
- Minimum of two years of relevant professional experience in international or government organizations
- Proven ability to manage budgets
- Experience in word processing and other relevant office applications software packages
- Fluency in written and spoken English.

TERMS OF REFERENCE FOR THE PROJECT MANAGEMENT COMMITTEE (PMC)

The Project Management Committee (PMC) will provide general oversight and guidance to the project, facilitate interagency coordination, and monitor national-level activities. The PMC for the GEF6 project will comprise individuals representing key sectors and institutions relevant to the project, and will ensure the project fits within local, national, and international needs.

The PMC will be composed of:
- The Director General of DEA (Chair)
- DGs of other relevant Ministries
- Project Manager
- Project Coordinator

- A representative of UNEP
- A private sector representative from one of the co-financers
- A representative of the NGO community.

The PMC will hold its meetings at least four times per year, with additional meetings as needed.

The primary activities of the PMC are to:

- Provide general oversight and guidance to the project
- Facilitate interagency coordination
- Review and approve the annual work plans and annual technical reports
- Review budget and co-financing status
- Supervise the evaluation, monitoring and reporting aspects of the national component
- Review and advise on implementation of national project components, as defined in the project logframe and work plan, through the evaluation of bi-annual reports, records of meetings and other relevant documents
- Monitor inputs of international and national partners, ensuring that project obligations are fulfilled in a timely and coordinated fashion
- Review Annual Performance Review progress of Component outputs.

TERMS OF REFERENCE OF TECHNICAL ADVISORY COMMITTEE (TAC)

The Technical Advisory Committee (TAC) will comprise representatives of Government, the private sector and NGOs. The TAC will select a Chair from among its members. The TAC will provide advice and technical guidance to the PMU, including, *inter alia*, by:

- Reviewing TORs for procurement
- Assisting with technical evaluations of proposals
- Carrying out peer reviews of documents and reports
- Assisting with planning and participating in training/workshop activities

The TAC will meet monthly and write minutes from these meetings. TAC members are responsible for reporting to the institutions and organisations that they represent with regard to the project activities being carried out.

Appendix 12: Co-financing commitment letters from project partners

See separate file

Appendix 13: Endorsement letters of GEF National Focal Point

See separate file

Appendix 14: Tracking Tools

See separate file

Appendix 15: UNEP Environmental, Social and Economic Review Note (ESERN)

UNEP Environmental, Social and Economic Review Note (ESERN)

I. Project Overview

Identification	9437
Project Title	Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa
Managing Division	Biodiversity
Type/Location	National
Region	Africa
List Countries	South Africa
Project Description	This Project aims to strengthen institutions and targeted communities to improve decision-making and reduce the rate of illegal wildlife trade in South Africa. It will specifically carry out activities to improve monitoring and management of iconic CITES-listed species threatened by illegal and unsustainable levels of international trade, and develop appropriate community governance mechanisms and management tools that will ultimately lead to improved wildlife monitoring and a reduction in illegal wildlife trade from South Africa. Project activities have been designed to address three inter-related Components: **Component 1: Strengthening capacity and information systems for effective management of wildlife trade monitoring.** The entity responsible for biodiversity monitoring in South Africa is the South African National Biodiversity Institute. Component 1 aims to develop a centralised system for improved wildlife trade monitoring through development of training modules and providing skills training to Scientific Authority of South Africa on effective wildlife trade monitoring and assessment, as well as through the creation of a national wildlife monitoring system. **Component 2: Development of a ready-to-use electronic permitting system for CITES-listed species.** The centralised national system developed under Component 1 will integrate with the national e-permitting system for CITES-listed species to be developed under Component 2, which will provide an electronic system for CITES permitting that will ultimately communicate with other e-permitting system for CITES-listed species, including that already created by UNEP-WCMC. The Department of Environmental Affairs (DEA) is the designated CITES Management Authority in South Africa. It is responsible for implementation of CITES in South Africa and adherence to its obligations under the Convention. In this regard, ensuring that international wildlife trade is legal, sustainable and verifiable is a fundamental consideration for the DEA. **Component 3: Strengthening community capacity to reduce the rate of illegal wildlife trade.** This Component will bring communities living adjacent to the western boundary of Kruger National Park into the integrated process in South Africa to address illegal wildlife trade. Efforts under the Project will focus on community-level social

	development through implementation of novel community governance guidelines specifically targeting community-based natural resource management. A community-led Environmental Monitors Programme will be designed and put into action to increase security of rural communities and target species (rhino, elephant, big cats), thereby reducing the rate of illegal activities in the adjoining KNP.
Estimated duration of project:	60 months
Estimated cost of the project:	USD $4,886,009

II. Environmental Social and Economic Screening Determination

A. Summary of the Safeguard Risks Triggered

Safeguard Standard Triggered by the Project	Impact of Risk[95] (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M,
SS 1: Biodiversity, natural habitat and Sustainable Management of Living Resources	1	1	L
SS 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes	1	1	L
SS 3: Safety of Dams	1	1	L
SS 4: Involuntary resettlement	1	1	L
SS 5: Indigenous peoples	1	1	L
SS 6: Labor and working conditions	1	1	L
SS 7: Cultural Heritage	1	1	L
SS 8: Gender equity	1	1	L
SS 9: Economic Sustainability	1	1	L
Additional Safeguard questions for projects seeking GCF-funding (Section IV)			

B. ESE Screening Decision[96] (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: Wadzi Mandiyenyi Date: 10/11/2017

Safeguard Advisor: Name: Yunae Yi Date: 23/11/2017
Project Manager: Name: _____ Date: _____

D. Recommended further action from the Safeguard Advisor:
I agree that it is a low safeguard risk project.

[95] Refer to UNEP Environment, Social and Economic Sustainability (ESES): Implementation Guidance Note to assign values to Impact of Risk and Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).
[96] **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)

Precautionary Approach
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.
Human Rights Principle
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.[97]

Screening checklist	**Y/N/ Maybe**	**Comment**
Safeguard Standard 1: Biodiversity, natural habitat and Sustainable Management of Living Resources		
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	
Will the proposed project likely convert or degrade habitats that are legally protected?	N	
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	
Will the proposed project likely convert or degrade habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	
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	
Will the proposed project approach possibly not be legally permitted or inconsistent with any officially recognized management plans for the area?	N	
Will the proposed project activities result in soils deterioration and land degradation?	N	
Will the proposed project interventions cause any changes to the quality or quantity of water in rivers, ponds, lakes or other wetlands?	N	
Will the proposed project possibly introduce or utilize any invasive alien species of flora and fauna, whether accidental or intentional?	N	

[97] 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.

Safeguard Standard 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes		
Will the proposed project likely result in the significant release of pollutants to air, water or soil?	N	
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	
Will the proposed project likely cause significant generation of Green House Gas (GHG) emissions during and/or after the project?	N	
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	
Will the proposed project use, cause the use of, or manage the use of, storage and disposal of hazardous chemicals, including pesticides?	N	
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	
Will the proposed project require the procurement of chemical pesticides that is not a component of integrated pest management (IPM)[98] or integrated vector management (IVM)[99] approaches?	N	
Will the proposed project require inclusion of chemical pesticides that are included in IPM or IVM but high in human toxicity?	N	
Will the proposed project have difficulty in abiding to FAO's International Code of Conduct[100] in terms of handling, storage, application and disposal of pesticides?	N	
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	
Safeguard Standard 3: Safety of Dams		
Will the proposed project involve constructing a new dam(s)?	N	
Will the proposed project involve rehabilitating an existing dam(s)?	N	
Will the proposed project activities involve dam safety operations?	N	
Safeguard Standard 4: Involuntary resettlement		
Will the proposed project likely involve full or partial physical displacement or relocation of people?	N	
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	
Will the proposed project likely cause restrictions on access to land or use of resources that are sources of livelihood?	N	
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	N	

[98] "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/

[99] "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/)

[100] Find more information from http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/CODE_2014Sep_ENG.pdf

generation sources and assets?		
Will the proposed project likely cause or involve forced eviction?	N	
Will the proposed project likely affect land tenure arrangements, including communal and/or customary/traditional land tenure patterns negatively?	N	
Safeguard Standard 5: Indigenous peoples[101]		
Will indigenous peoples be present in the proposed project area or area of influence?	N	
Will the proposed project be located on lands and territories claimed by indigenous peoples?	N	
Will the proposed project likely affect livelihoods of indigenous peoples negatively through affecting the rights, lands and territories claimed by them?	N	
Will the proposed project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	
Will the project negatively affect the development priorities of indigenous peoples defined by them?	N	
Will the project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	
Will the project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	
Safeguard Standard 6: Labor and working conditions		
Will the proposed project involve the use of forced labor and child labor?	N	
Will the proposed project cause the increase of local or regional un-employment?	N	
Safeguard Standard 7: Cultural Heritage		
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	
Will the proposed project rely on or profit from tangible cultural heritage (e.g., tourism)?	Maybe	Cultural tourism might be part of the ecotourism package that the pilot 'complexes' design. The project will support sustainable and culturally appropriate tourism.
Will the proposed project involve land clearing or excavation with the possibility of encountering previously undetected tangible cultural heritage?	N	
Will the proposed project involve in land clearing or excavation?	N	
Safeguard Standard 8: Gender equity		
Will the proposed project likely have inequitable negative impacts on gender equality and/or the situation of women and girls?	N	
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	
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	

[101] Refer to the Toolkit for the application of the UNEP Indigenous Peoples Policy Guidance for further information.

Safeguard Standard 9: Economic Sustainability		
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	
Will the proposed project likely bring unequal economic benefits to a limited subset of the target group?	N	

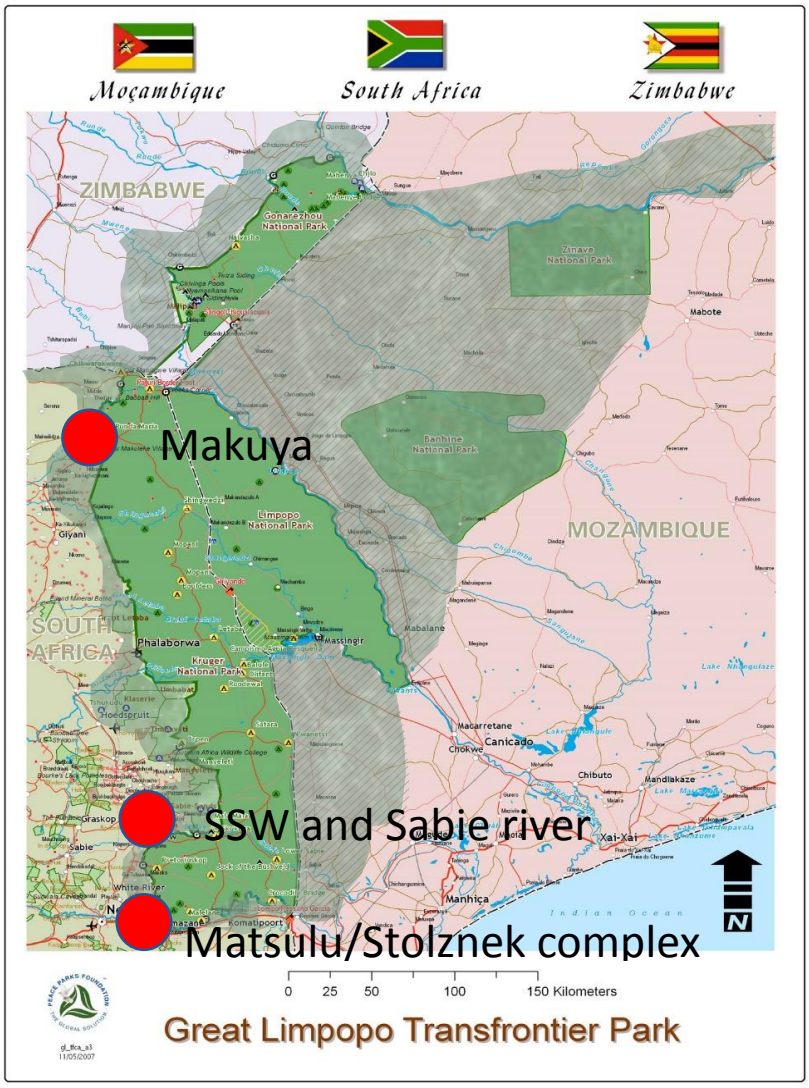
IV. Additional Safeguard Questions for Projects seeking GCF-funding

Community Health, Safety, and Security			
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-born, 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?			
Labor and Supply Chain			
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?			

Appendix 16: Background Information on Project Sites under Component 3

Project Sites

1. The GEF6 project will be implemented at the national level, but with specific activities (under Component 3) at 3 target sites where rural communities border the western boundary of the Kruger National Park (Map 1: Map of the Kruger National Park showing the locations of the 3 target sites on the western boundaryMap 1). These target sites are: the Makuya complex; the Sabie Sands Wildtuin (SSW) and Sabie River Cluster; and the Matsulu/Stolznek Cluster (a 'new' site for SANParks and partners, with little background information).



Map 1: Map of the Kruger National Park showing the locations of the 3 target sites on the western boundary

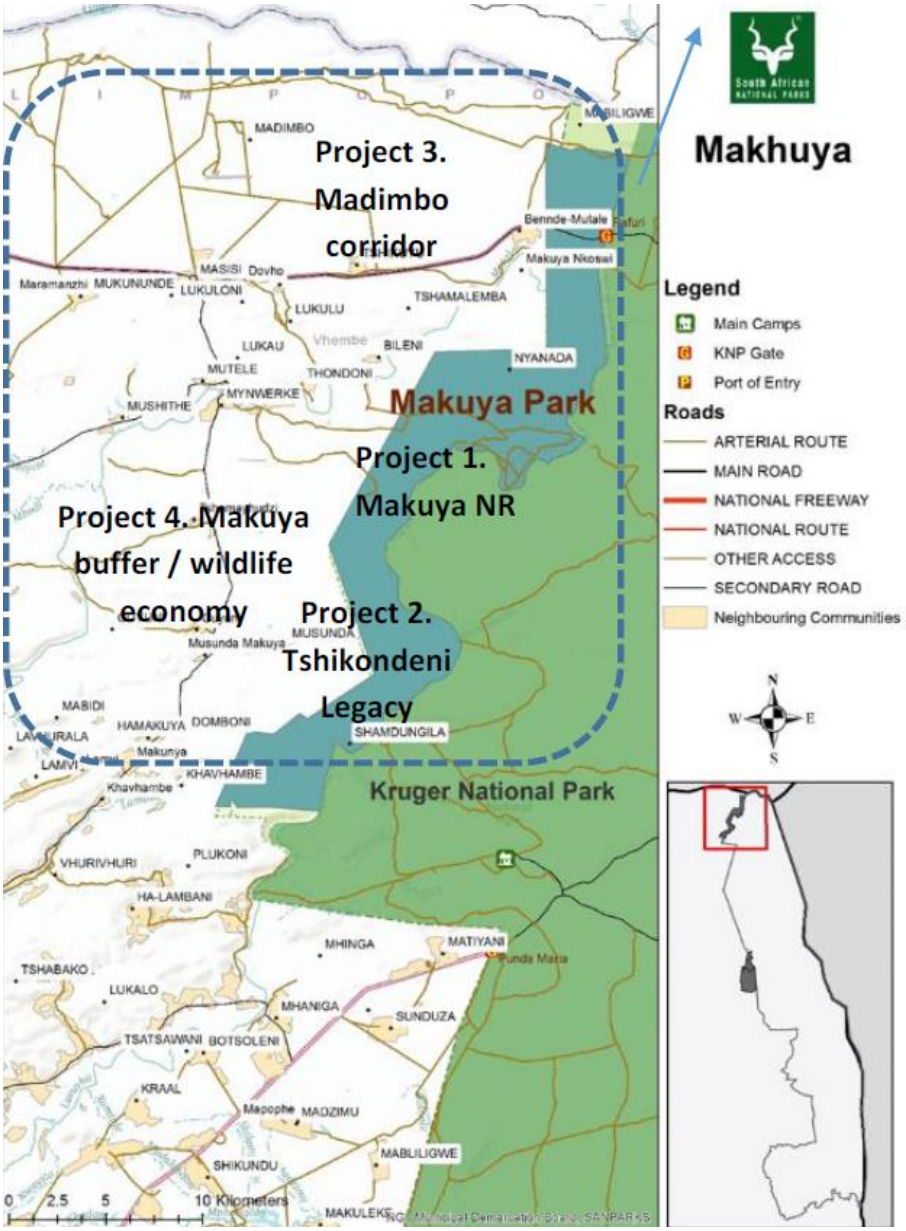
Makuya Cluster:

2. The Makuya Reserve lies in the north-eastern corner of Limpopo (a homeland formerly known as Venda) and shares a fenceless border on the western side of KNP (Map 2), thereby allowing the free movement of game. The reserve covers 16,000 hectares, of which 13,000 are suitable for wildlife, and forms part of the Greater Limpopo Trans-Frontier Conservation Area (GLTFCA).

3. The GEF6 project site at the Makuya cluster is part of an Integrated Regional Development Plan (IRDP) involving SANParks and WWF-SA, and will provide support to the development and implementation of wildlife economy projects in the Makuya Nature Reserve buffer zone (see Map 2). This will result in a diversification of current conservation and socio-economic products in that area (see 1). The IRDP will also provide support to community governance efforts and research into the opportunity costs of community projects to be developed.

Table 1: Table summarizing the current conservation, natural resource and social development projects at the Makuya cluster.

1. Name of Traditional Authority / CPA	Makuya, Mphaphuli, Mutale Traditional Authorities
2. Main context (livelihoods, socio-economic profile etc.)	93-98% of households are considered to fall within the highest poverty index
3. Conservation projects	DEA wildlife economy programmes registered; Hunting; Biodiversity Social Projects: Environmental Monitors; Exxaro legacy programmes; GEF PA funding
4. NRMPs, including EMs and rhino ambassadors	Environmental monitors (8); expanded public work programmes; further expansion of BSP programmes possible
5. Education and awareness projects	SAWC contract at Tskhikondeni to assist with governance training
6. SMMEs linked to the value chain	No SMMEs
7. Social projects	No social projects
8. Enabling institutional partners	SANParks, LEDET, GLTFCA, LTA
9. Challenges	High unemployment, poor basic services; lack of transboundary access; tourism products not well-developed; safety and security concerns
10. Opportunities	Madimbo, Makuya Integrated development programmes, linkages to the GLTFCA countries; possible products linked to KNP; DEA wildlife economy projects; Tshikondeni green energy projects; GEF PA support
11. Knowledge hub/entrepreneurial development	Opportunity with SAWC at Tshikondeni, and linkage to SAWC
12. Information/data management	as above



Map 2: Map showing the location of the Makuya Nature Reserve (Project 1) and the Makuya Buffer Zone (Project 4) in the north-western boundary of Kruger National Park (red square on inset shows general location)[102]

<u>Sabie Sand Wildtuin (SSW) and Sabie River Complex:</u>

4. *Sabie Sands Wildtuin (SSW) villages.* The SSW is committed to enabling greater community-conservation participation, incentives, equity and benefits and has recently approved an updated neighbouring community strategy to unlock this. Previous experiences of the SSW and SANParks have led to a two-pronged approach to future collaboration on projects in the SSW Village cluster:

a) Projects have a particular lifespan, often short-term; however, relationships with communities need to be long-term for sustainable success. The partnership between SSW and SANParks has ensured continuity as SSW have direct representation in the communities, are involved in

[102] Source: SANParks CEO Presentation, 13 September 2017

relationship-building, are able to create synergies with their partners and share expertise, and provide mentorship to the SANParks team;

b) SMMEs need to be well-resourced to compete sustainably in the Reserve's value chain. SANParks seeks to enter into an equity partnership model to ensure sufficient capital is available, using a revolving investment fund, with the ultimate goal that businesses will be 100% owned by the local entrepreneur. SSW aims to grow the number of small businesses gradually, making sure that they are functional before developing new ones.

5. Working with Peace Parks Foundation (PPF), SSW is planning to provide skills training (with their Pfunanani Trust)[103] to establish proper governance systems and enhance capacity in neighbouring communities who wish to engage in wildlife partnerships.

6. *Sabie River* within the complex receives support from WWF, KNP, and Green Trust). The farmer beneficiaries of this proposed project are smallholder members operating within public sector irrigation schemes. However, to date, the membership benefits of these schemes have been extremely limited due to the absence of a formal 'collective action' entity to guide investment and grow capital at the scheme level. In addition, the schemes have not provided for sufficient productive marketing of agricultural produce. Resurrection of such defunct agricultural schemes along the Sabie River frontage has knock-on advantages for priority species conservation in the KNP, particularly the black and white rhinoceros as the dysfunctional state of these farms are significant conduits for illegal entry into the KNP. Moreover, the mobilisation and reallocation of additional water further downstream ensure that a larger proportion of river flow can return to pre-streamflow-alteration levels and improved delivery of aquatic ecosystem goods and services.

7. Furthermore, ensured water security through strategic stewardship of headwater catchments will ensure the continued viability and productive growth of these schemes through increased water yield through clearing of invasive alien plants and negotiated reallocation of SFRAs through withdrawals, allowing for increased downstream flow. It is thus expected that encouraging private sector interest in these schemes will foster greater water awareness at scheme level, generate a shared knowledge environment amongst all users within the scheme, leading to internal action (whereby each individual user is given a proportional allocation of the total applied to the scheme and are therefore conscious of water use economy). These activities will be crucial as private sector involvement in this project will, of course, be aware of water risk, recognising that whilst this catchment is potentially closed, there are opportunities to reduce this water risk through collaborative management between upstream agro-forestry and commercial agriculture with the downstream end-users (emerging farmer schemes). The project will promote the use of the WWF Water Risk Filter, to help deepen the private sector understanding of water risk and take the first step towards adopting a water stewardship approach.

8. An expected catalytic outcome will be the marketability of sustainable produce associated with the KNP, such that there is significant potential for replication of the proposed incentive schemes through local community buy-in.

9. Bushbuckridge Local Municipality (BLM) is a presidential nodal point in the north-east of Mpumalanga Province that is one of the five constituents of Ehlanzeni District Municipality. It is bounded by Manyelethi Provincial Reserve and Sabie Sand Wildtuin (both open to the Kruger National Park) in the east and Mbombela in the South. BLM also forms part of the Kruger to Canyon Biosphere (K2C). The Municipal area provides a link to Limpopo Province and is a gateway to the major tourism attraction points in Mpumalanga and the eastern part of the Limpopo Province. BLM consists of 135 settlements and is divided into 34 wards. According to the 2011 Census, the population is 5 400 000 and shows a typical age structure of a very young population distribution, the largest age group being 5 to 19-year old. There is a distinctive skew towards more females in all age groups. A socio-economic study carried out in 2013 by the Mpumalanga Department of Finance ranked BLM at number 15 in the

[103] http://www.sspt.sabisand.co.za/

province with a Gini Coefficient of 0.57. The poverty rate is at 45%. According to the Integrated Development Plan (IDP), the general employment rate is 53% - with Youth Unemployment at 75%. There are indications that the 10 villages do relatively better with SSW policies to employ from the adjacent villages. These ten villages, being more 'rural', tend to have reduced service delivery.

10. Challenges in the SSW Cluster are numerous:

- High proportion of population aged 0-34 years (youth)
- High unemployment
- Relatively high HIV prevalence rate and cases of TB
- Basic service delivery challenges – concern about sanitation, water and refuse removal
- Relatively low economic growth
- High dependence on a few industries such as community services (government) & conservation economy.

11. Education and awareness projects include: creation of Kurhula High School; Future Leaders; training wildlife trackers; Digital Learning Centre; pre-school; Day Care Centre; READ programme; Primary schools internet and computers; SWAVAMA children's project. CBNRM projects and programmes in the area including Environmental Monitors, Rhino Ambassadors, as well as alien plant, erosion and ground rehabilitation. Knowledge hub/entrepreneurial development activities under GEF6 could potentially build on activities that have taken place in the area with information and data management through K2C and the BLM. Community facilitators exist in the areas also, ie Sabie Sands, K2C, KNP, etc.

12. A few SMMEs exist, such as the Pfunanani Enterprise Development Project and the Sabi Sand Community Supplier Initiative, which is at Inception stage. Social projects in the area include: Project Dignity; upgrade of community centre; borehole donation; and a community development programme. In addition, several key projects have been completed, such as projects in education, environment and enterprise, where the enabling institutional partners were Sabi Sand NGOs and private lodges.

13. The SSW village cluster faces numerous challenges, such as governance, rapid spread of urbanisation, lack of skills, and poor infrastructure. However, the area is adjacent to the protected area system and thus has the potential for the development of wildlife-related initiatives and an expansion of CBNRM and local supply chain development.

<u>The Matsulu/Stolznek Cluster</u>

14. The Cluster occurs in the south-western part of the KNP’s western boundary and is divided into two key Municipalities, Mbombela and Nkomazi. Numerous challenges are faced by the Cluster, which is predominantly an agricultural zone.

15. The main context for Mbombela Municipality is subsistence farming, commercial sugarcane farming, and retail businesses occurring in the broader municipal area. The Municipality shows a high poverty index. Table provides a comprehensive SWOT analysis of the two Municipalities.

16. SANParks does not run any conservation projects in Mbombela. However, DEA funding of ZAR 10 million, over 3 years, has been approved for restoration and rehabilitation programmes, as well as human-animal conflict mitigation and snare clearance. Communities are living right up to the KNP fenceline.

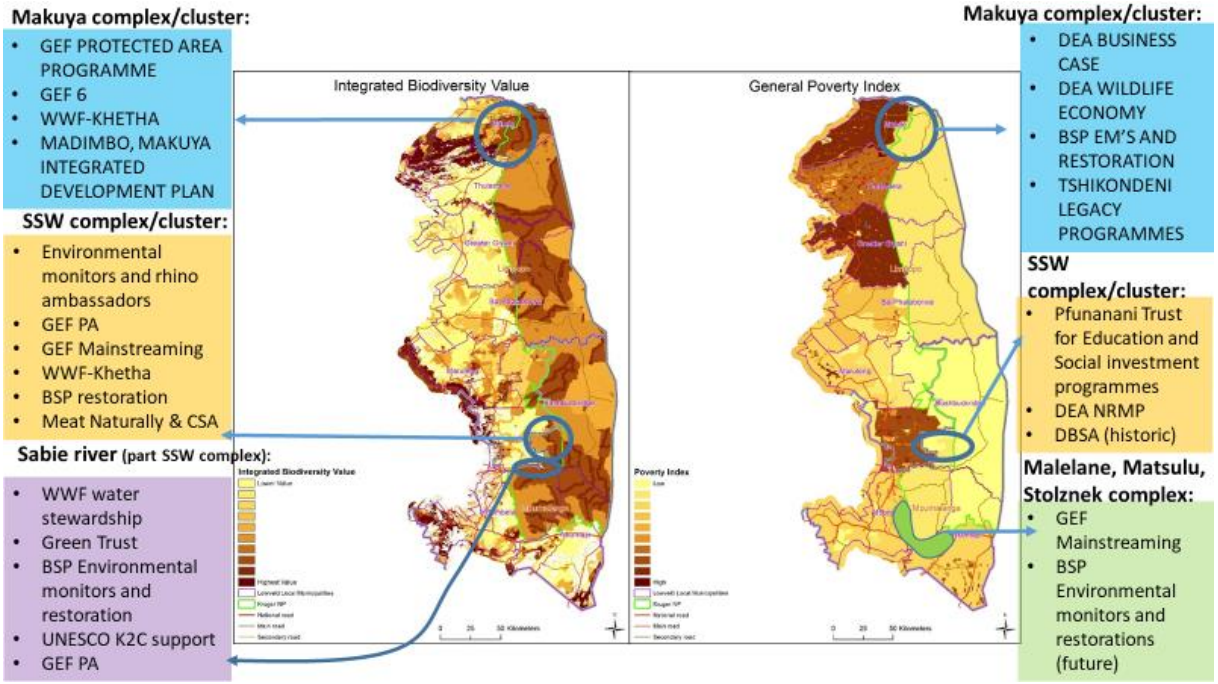
17. In addition, there appears to be some motivation in the cluster for Natural Resource Management Programmes, including participation in the Environmental Monitors Programme. There is limited community beneficiation from an adjacent Lumshiho nature reserve, which is probably no longer functional.

18. A local forum comprising Traditional Authorities and Traditional Councils exists in the Stolznek cluster, while a local forum in Nkomazi comprises mainly private land owners and no Traditional Authority representation. Enabling institutional partners in these forums (Lumbambiswana Forum and Nkomazi Forum) include SANParks, MTPA, local government and DARDLEA. Challenges in the area revolve around a lack of funding and job opportunities.

Table 2: Summary of the key sectors, strengths, weaknesses, opportunities and threats as identified in the most recent Integrated Development Plans (IDPs) of Nkomazi and Mbombela local municipalities

Local municipality	Key sectors	Strengths	Weaknesses	Opportunities	Threats
Nkomazi	Agriculture Trade Community services	Ability and capacity to provide communities with basic services	Ward Committees not fully capacitated to participate in development planning and lack of meaningful participation Budget constraints	Tourism and cultural aspects of the area Existence of Railway infrastructure Geographic location in respect to the Maputo Development Corridor.	Huge, uncontrollable influx of immigrants from neighbouring countries Rural sprawl High rate of illiteracy Climate Change Water is fully allocated in the Nkomazi region (Crocodile River Catchment), therefore only option is to trade water between sectors (although municipal water use falls under the Water Services Act, and agriculture falls under the National Water Act; water trading between the 2 Acts is not legitimate). This therefore is a threat. In the future, water being taken away from one sector and given to another (through a licencing scheme). This is a future opportunity to potential land claimants and offset programmes
	Agriculture Mining Manufacturing	Constant community consultations of key developmental & service delivery issues Mbombela as a Gateway which will have positive economic results Significant natural resources. Crocodile and	Poor integrated Development & Corporate Planning Lack of bulk water supply Insecure forms of land tenure Land invasion	Tourism potential Growing transportation sector, KMIA airport located within the Municipality N4-Maputo Development Corridor R40-Nelspruit	Shortage of land to meet increasing demand of both residential and business development. Shortage of land to meet increasing demand of both residential and business development. Water management in the Sabie is extremely problematic the pristine status (A/B class of the river) is on a knife edge - as the yield of the

Local municipality	Key sectors	Strengths	Weaknesses	Opportunities	Threats
		Sabi River (tourism and agric) Kruger National Park (tourism) Kruger Mpumalanga International Airport		Phalaborwa SDI Newly established university	catchment has been reduced by 20% according to most recent assessment - the system has a very large municipal demand - presently there is double the municipal use out of the system as there should be. New pipeline from Inyaka dam has been promised by the minister (existing)
Mbombela	Agriculture Mining Manufacturing	Constant community consultations of key developmental & service-delivery issues Mbombela as a Gateway which will have positive economic results Significant natural resources. Crocodile and Sabi River (tourism and agriculture) Kruger National Park (tourism) Kruger Mpumalanga International Airport (KMIA)	Poor Integrated Development & Corporate Planning Lack of bulk water supply Insecure forms of land tenure Land invasion	Tourism potential Growing transportation sector, KMIA airport located within the Municipality N4-Maputo Development Corridor R40-Nelspruit Phalaborwa SDI Newly established university of Mpumalanga	Shortage of land to meet increasing demand of both residential and business development. Shortage of land to meet increasing demand of both residential and business development. Water management in the Sabie is extremely problematic the pristine status (A/B class of the river) is on a knife edge - as the yield of the catchment has been reduced by 20% according to most recent assessment the system has a very large municipal demand - presently there is double the municipal use out of the system as there should be



Map 3. Maps showing various GEF and non-GEF projects being implemented at the 3 target sites surrounding Kruger National Park [Source: SANParks, 2017]

Appendix 17: Capacity Scorecard for Monitoring Biodiversity by the South African Scientific Authority (SAoSA) at the South African National Biodiversity Institute (SANBI)

Summary of Capacity Development Assessment Scorecard

Matrix of the Capacity Development Assessment Scorecard for the South African Scientific Authority (Summary)										
Strategic Areas of Support	**Systemic**			**Institutional**			**Individual**			**Average %**
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) The SAoSA has the technical skills and capacity to make and publish non-detriment findings on the impact of trade on the survival of species in the wild, to provide recommendations to issuing authority on applications for permits to undertake restricted activities with TOPS species and to provide advice on amendments to TOPS listings and prohibition of restricted activities and nomenclature of species in trade	2	6	33.3	5	12	41.8	2	6	33.3	36.1
(2) The provincial scientific services have the technical skills and capacity to support the SAoSA	n/a	n/a	n/a	2	12	16.7	5	24	20.8	18.8
(3) The SAoSA has the technical skills and capacity to monitor, evaluate and report on priority species with NDFs and has the technical skills and capacity to monitor legal and illegal trade in specimens of TOPS and CITES species	2	12	16.7	n/a	n/a	n/a	n/a	n/a	n/a	16.7
TOTAL Score and average for %	**4**	**18**	**25**	**4**	**24**	**29**	**7**	**30**	**27**	**26.3**

Composite Scorecard

Strategic Area of Support	Capacity Level	Issue	Outcome Indicators	Poss. Score	Actual Score	Comments	Next Steps
1. The SAoSA has the technical skills and capacity to make and publish non-detriment findings on the impact of trade on the survival of species in the wild, to provide recommendations to issuing authority on applications for permits to undertake restricted activities with TOPS species and to provide advice on amendments to TOPS listings and prohibition of restricted activities and nomenclature of species in trade	Systemic	(1) There are adequate skills for making NDFs	There is a general lack of scientific skills to publishing NDFs;	0	**2**	The SANBI has a few scientific staff with various skillsets. Workloads for these individuals are very high	Capacity building for more scientific staff to have the ability to publish accurate NDFs
			Some skills exist but in largely insufficient quantities to guarantee the publishing of effective NDFs;	1			
			Necessary skills for publishing effective NDFs do exist but are stretched and not easily available;	2			
			Adequate quantities of the full range of skills necessary for publishing effective NDFs are easily available	3			
	Institutional	(2) The SAoSA is effectively led	The SAoSA has a total lack of leadership;	0	**3**	The SAoSA currently has strong and committed leadership and secretariat expertise from SANBI	Maintain strong leadership and secretariat expertise, ensuring sustainability and transformation plan for the future
			The SAoSA exist but leadership is weak and provides little guidance;	1			
			The SAoSA has reasonably strong leadership but there is still need for improvement;	2			
			The SAoSA is effectively led	3			
	Institutional	(3) SAoSA human resources are well qualified and motivated	SAoSA human resources are poorly qualified and unmotivated;	0	**2**	SAoSA members have varied skillsets to carry out required duties	Training and capacity building will ensure that all SAoSA members receive equal grounding in SAoSA obligations
			SAoSA human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated;	1			
			SAoSA HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified;	2			
			SAoSA human resources are well qualified and motivated.	3			
	Individual	(4) SAoSA members are highly motivated	No motivation at all, members never attend meetings;	0	**2**	There is a need to motivate members to attend all SAoSA meeting	Recruitment of skilled scientific services staff to free up these members to attend the meetings
			Motivation uneven, some are but most are not – a few of the same members attend all meetings but the majority members do not attend meetings (no quorum);	1			
			Many individuals are motivated but not all – the majority of members attend all meetings but a few members never attend meetings (quorum) ;	2			
			Individuals are highly motivated and attend all meetings	3			
2. The provincial scientific services have the technical	Institutional	(5) provincial scientific services have the human resources that are well	Provincial scientific services have insufficient human capacity (mostly vacant positions) or qualified personnel	0	**1**	The national and provincial environmental departments and agencies have a few scientific staff with	Recruitment of skilled scientific services staff and skills development
			Provincial scientific services human resources have some personnel, some vacant but lack certain key qualification;	1			
			Provincial scientific services HR have sufficient (no vacant positions) capacity but are not sufficiently qualified;	2			

Strategic Area of Support	Capacity Level	Issue	Outcome Indicators	Poss. Score	Actual Score	Comments	Next Steps
skills and capacity to support the SAoSA		qualified and motivated	Provincial scientific services human resources are well capacitated and qualified	3		various skillsets. W Workloads for these individuals are very high	
	Individual	(6) Scientific service personnel are able to advance and develop professionally	No career tracks are developed and no training opportunities are provided;	0	**1**	Training opportunities are distributed between agencies, but career tracks are not well developed.	Scientific services staff have career paths and are provided with training and skills development
			Career tracks are weak and training possibilities are few and not managed transparently;	1			
			Clear career tracks developed and training available; HR management however has inadequate performance measurement system;	2			
			Individuals are able to advance and develop professionally	3			
	Individual	(7) Scientific service personnel are appropriately skilled for their jobs	Skills of individuals do not match job requirements;	0	**2**	There is need for further technical and professional development	Scientific services staff are provided with training and skills development
			Individuals have some or poor skills for their jobs;	1			
			Individuals are reasonably skilled but could further improve for optimum match with job requirement;	2			
			Individuals are appropriately skilled for their jobs	3			
	Individual	(8) There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	No mechanisms exist;	0	**0**	There is generally a lack of a skills development plan for scientific services. There is a need for greater coordination to ensure skills are not lost	Develop a capacity building and skills development strategy for the country which address this issue
			Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed;	1			
			Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required;	2			
			There are mechanisms for developing adequate numbers of the full range of highly skilled protected area professionals	3			
	Institutional	(9) Scientific services have effective internal mechanisms for monitoring, evaluation, reporting and learning	There are no mechanisms for monitoring, evaluation, reporting or learning;	0	**1**	There is a need for greater emphasis on reflective learning	Creation of a centralized monitoring system will address reporting and learning needs, as well as improved monitoring and evaluation
			There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak;	1			
			Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be;	2			
			Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	3			
	Individual	(10) Scientific services are adaptive and continue to	There is no measurement of performance or adaptive feedback;	0	**2**	Most institutions have a reflective system for individuals, but this	The project will aim to motivate SAoSA to strengthen,
			Performance is irregularly and poorly measured and there is little use of feedback;	1			

Strategic Area of Support	Capacity Level	Issue	Outcome Indicators	Poss. Score	Actual Score	Comments	Next Steps
		learn	There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be;	2		is not always well established.	modernise and upskill monitoring and reporting capabilities
			Performance is effectively measured and adaptive feedback utilized	3			
3. The SAoSA has the technical skills and capacity to monitor, evaluate and report on priority species with NDFs and has the technical skills and capacity to monitor legal and illegal trade in specimens of TOPS and CITES species	Systemic	(11) There are adequate skills for monitoring and reporting on priority species	There is a general lack of scientific wildlife skills to monitoring and report priority;	0	**2**	The SANBI and provincial scientific services have a few scientific staff with various skillsets. Workloads for these individuals are very high	Capacity building for more scientific staff to have the ability to monitoring and report on priority species
			Some skills exist but in largely insufficient quantities to guarantee the monitoring and reporting of priority species;	1			
			Necessary skills for monitoring and reporting do exist but are stretched and not easily available;	2			
			Adequate quantities of the full range of skills necessary for monitoring and reporting of priority species are easily available	3			
	Systemic	(12) Trained personnel in standardised monitoring and reporting process and procedures for priority species do not exist	There is a general lack of personnel trained in standardised monitoring and report processes and procedures for priority species;	0	**0**	The lack of a standardised system across the SAoSA members for monitoring of key species in trade has led to the design of this Project	M&E will be incorporated into the workplan for the Component/project and will, together with the creation of the centralised system and production of case studies, lead to institutionalisation of monitoring and reporting capabilities
			Some personnel are trained in monitoring and report processes and procedures for priority species but these are not standardised;	1			
			Some personnel are trained in standardised monitoring and report processes and procedures for priority species;	2			
			All monitoring personnel are trained in standardised monitoring and report processes and procedures for priority species	3			
	TOTAL SCORE				**18**		

Appendix 18: Capacity Scorecard for Department of Environment Affairs for the E-permitting for CITES species

Summary of Capacity Development Assessment Scorecard

Matrix of the Capacity Development Assessment Scorecard for the E-permitting system for CITES-listed species (Summary)										
Strategic Areas of Support	**Systemic**			**Institutional**			**Individual**			**Average %**
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
1. The DEA has the technical skills and capacity to operate and maintain the e-permitting system for CITES-listed species for CITES species	1	6	17	1	6	17	n/a	n/a	n/a	17
2. User Groups have the knowledge on how to operate the e-permitting system for CITES-listed species	0	6	0%	n/a	n/a	n/a	n/a	n/a	n/a	0
TOTAL Score and average for %	**1**	**12**	**8**	**1**	**6**	**17**	**n/a**	**n/a**	**n/a**	**8.5**

Composite Scorecard

Strategic Area of Support	Capacity Level	Issue	Outcome Indicators	Poss. Score	Actual Score	Comments	Next Steps
3. The DEA has the technical skills and capacity to operate and maintain the e-permitting system for CITES-listed species for CITES species	Systemic	(1) There are inadequate skills to operate the e-permitting system for CITES-listed species	There is a general lack of internal DEA skills to operate the e-permitting system for CITES-listed species	0	**0**	The DEA currently does not have the skills to operate (input data and information) an e-permitting system for CITES-listed species	Capacity building and knowledge transfer from the external consulted to DEA personnel to be able to effectively operate the e-permit system
			Some skills exist but in largely insufficient quantities to guarantee the effective operation of the e-permitting system for CITES-listed species;	1			
			Necessary skills for effectively operate the e-permit system do exist but are stretched and not easily available;	2			
			Adequate quantities of the full range of skills necessary effectively operate the e-permit systes are easily available	3			
	Systemic	(2) There are inadequate skills to manage and maintain the e-permitting system for CITES-listed species	There is a general lack of internal DEA skills to maintain the e-permitting system for CITES-listed species	0	**1**	The DEA currently does not have adequate or the correct capacity and skills required to manage an electronic permitting system	Web/electronic/medi a system capacity building and knowledge transfer from the external consulted to DEA personnel to be able to effectively maintain the e-permit system
			Some skills exist but in largely insufficient quantities to guarantee the effective maintenance of the e-permitting system for CITES-listed species;	1			
			Necessary skills for effectively maintain the e-permit system do exist but are stretched and not easily available;	2			
			Adequate quantities of the full range of skills necessary effectively maintain the e-permit systes are easily available	3			
	Institutiona l	(3) Well qualified and motivated DEA e-permitting human resources are not available	DEA e-permitting human resources are poorly qualified and unmotivated;	0	**1**	The DEA peronnel do not currently the qualifications to operate and manage an electronic permitting system	Training and capacity building will ensure that all DEA e-permitting personnel receive equal grounding in CITES e-permitting obligations
			DEA e-permitting human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated;	1			
			DEA e-permitting HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified;	2			
			DEA e-permitting human resources are well qualified and motivated.	3			
	Institutiona l	(4) Trained personnel in standardised electronic permitting process and procedures for CITES	There is a general lack of personnel trained in standardised electronic permitting processes and procedures for CITES species;	0	**0**	The lack of a standardised electronic permitting system across the DEA has led to the design of this Project	Electronic permitting will be incorporated into the workplan for the Component/project and capacity building and training of DEA personnel on
			Some personnel are trained in electronic permitting processes and procedures for CITES species but these are not standardised;	1			
			Some personnel are trained in standardised electronic permitting processes and procedures for CITES species;	2			

Strategic Area of Support	Capacity Level	Issue	Outcome Indicators	Poss. Score	Actual Score	Comments	Next Steps
		species do not exist	All e-permitting personnel are trained in standardised electronic permitting processes and procedures for CITES species	3			the processes and procedures on the e-permitting system for CITES-listed species will be carried out
4. User Groups have the knowledge on how to operate the e-permitting system for CITES-listed species	Systemic	(5) E-permitting User Groups do not currently have the knowledge and skills to use the systems	E-permitting User Groups have insufficient skills or knowledge to populate the e-permitting system for CITES-listed species	0	**0**	The e-permitting User Groups currently use a paper permit systems and do not have the knowledge or skills to populate and operate an e-permitting system for CITES-listed species	Training of User Groups on the use of the e-permitting system for CITES-listed species and development of user and information manuals for the systems
			-permitting User Groups have some capacity but lack knowledge to populate the e-permitting system for CITES-listed species;	1			
			Provincial scientific services HR have sufficient (no vacant positions) capacity but are not sufficiently qualified;	2			
			Provincial scientific services human resources are well capacitated and qualified	3			
	Systemic	(6) There are currently no appropriate systems of training, and learning in place to ensue continuous use of the e-permitting system for CITES-listed species	No mechanisms exist;	0	**0**	There is generally a lack of a user group skills to operate an e-permitting system for CITES-listed species	Develop an ongoing, sustainable training programme for User Groups
			Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed;	1			
			Mechanisms generally exist to develop user groups, but either not enough of them or unable to cover the full range of skills required;	2			
			There are mechanisms for developing adequate numbers of the full range of highly skilled protected area professionals	3			
	TOTAL SCORE				**2**		