



# GEF-6 PROGRAM FRAMEWORK DOCUMENT (PFD)

TYPE OF TRUST FUND: GEF TRUST FUND

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## PART I: PROGRAM IDENTIFICATION

Program Title:	<b>GLOBAL PARTNERSHIP ON WILDLIFE CONSERVATION AND CRIME PREVENTION FOR SUSTAINABLE DEVELOPMENT (Resubmission of 9071)</b>		
Country(ies):	Global	GEF Program ID: <sup>1</sup>	9439
Lead GEF Agency:	WBG	GEF Agency Program ID:	P155395
Other GEF Agency(ies):	UNDP, UNEP, IUCN, WWF, AsDB	Submission Date:	03-04-2016
Other Executing Partner(s):	Governments of participating countries, Regional Centers of Excellence	Program Duration(Months)	84
GEF Focal Area (s):	Multi-focal	Program Agency Fee (\$):	11,783,512
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>		
Program Commitment Deadline: December 31, 2017 <sup>2</sup>			

### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>3</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Expected Outcomes	Trust Fund	Amount (in \$)	
			GEF Program Financing	Co-financing
BD-1 Program 1 (select) (select)	Increase revenue for protected area systems and globally significant protected areas to meet total expenditures required for management	GEFTF	1,037,598	0
BD-1 Program 1 (select) (select)	Improve management effectiveness of protected areas	GEFTF	4,859,791	38,400,000
BD-1 Program 2	Increase in area of terrestrial and marine ecosystems of global significance in new protected areas and increase in threatened species of global significance protected in new protected areas	GEFTF	9,437,291	63,376,558
BD-2 Program 3 (select) (select)	Reduction in rates of poaching of rhinos and elephants and other threatened species and increase in arrests and convictions (this outcome will need fine-tuning)	GEFTF	57,900,605	297,664,894
BD-3 Program 7	Increased genetic diversity of globally significant cultivated plants and domesticated animals that are sustainably used within production systems	GEFTF	1,315,785	16,768,482
BD- 3 Program 8	Legal and regulatory frameworks, and administrative procedures established that enable access to genetic resources and benefit sharing in accordance with the provisions of the Nagoya Protocol	GEFTF	550,000	5,000,000

<sup>1</sup> Program ID number assigned by GEFSEC. This is a resubmission of 9701

<sup>2</sup> The 12 projects approved in June 2015 will maintain a program commitment deadline of December 31, 2016.

<sup>3</sup> When completing Table A, refer to the excerpts on *GEF 6 Results Frameworks for GETF, LDCF and SCCF*.

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Expected Outcomes	Trust Fund	Amount (in \$)	
			GEF Program Financing	Co-financing
BD-4 Program 9 (select) (select)	Sector policies and regulatory frameworks incorporate biodiversity considerations	GEFTF	5,156,533	18,678,915
(select) CCM-2 Program 4 (select)	Accelerated adoption of management practices for GHG emission reduction and carbon sequestration	GEFTF	4,997,707	41,682,400
LD-1 Program 1 (select) (select)	Improved agricultural, rangeland and pastoral management	GEFTF	2,685,320	9,100,000
LD-2 Program 3 (select) (select)	Improved forest management and/or restoration	GEFTF	6,113,119	37,510,484
LD-3 Program 4 (select) (select)	Integrated landscape management practices adopted by local communities based on gender sensitive needs	GEFTF	9,958,385	47,517,150
(select) (select) SFM-1	Cross-sector policy and planning approaches at appropriate governance scales, avoid loss of high conservation value forests	GEFTF	8,098,412	56,418,600
(select) (select) SFM-2	Increased application of good management practices in all forests by relevant government, local community and private sector actors	GEFTF	7,667,088	37,500,000
(select) (select) SFM-3	Integrated landscape restoration plans to maintain forest ecosystem services are implemented at appropriate scales by government, private sector and local community actors, both women and men	GEFTF	11,150,248	34,206,257
<b>Total Program Costs</b>			130,927,882	703,823,739

## B. INDICATIVE PROGRAM RESULTS FRAMEWORK<sup>4</sup>

**Program Objective:** Promote wildlife conservation, wildlife crime prevention and sustainable development to reduce impacts to known threatened species from poaching and illegal trade

**Program Impact Indicator:** Stabilization or increase in the number of, and area occupied by, elephants, rhinos, and big cats (i.e. lions, tigers, leopards, cheetahs) populations at program sites

<sup>4</sup> These indicators may be enhanced further during project preparation.

Program Components	Financing Type <sup>5</sup>	Program Outcomes	Trust Fund	GEF Program Financing (in \$)	Co-financing (in \$)
Component 1. Reduce Poaching and Improve Community Benefits and management	TA/INV	<p><b>Outcome 1:</b> Reduction in elephants, rhinos, and big cat poaching rates. (baseline established per participating country)  <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>1.1:</b> Poaching rates of target species at program sites (Specifically, a reduction in PIKE trend for elephants to below 50% at each site; and for rhinos and big cats, a reduction in poaching rates to reverse population declines - compared to baseline levels at start of project)</li> <li>• <b>1.2:</b> Number of poaching-related incidents (i.e. sightings, arrests, etc.) per patrol day</li> <li>• <b>1.3:</b> Number of investigations at program sites that result in poaching-related arrests (increase at first, then decrease over time)</li> <li>• <b>1.4:</b> Proportion of poaching-related arrests that result in prosecution (increase)</li> <li>• <b>1.5:</b> Proportion of poaching-related prosecutions that result in application of maximum sentences (increase)</li> <li>• <b>1.6:</b> Protected areas (METT score) and community/private/state reserves management effectiveness for Program sites (increase)</li> </ul> <p><b>Outcome 2:</b> Increased community engagement to live with, manage, and benefit from wildlife  <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>2.1:</b> Benefits<sup>6</sup> received by communities from sustainable (community-based) natural resource management activities and enterprises (increase)</li> <li>• <b>2.2:</b> Human-wildlife conflict (HWC) as measured by incident reports (decrease)</li> </ul> <p><b>Outcome 3:</b> Increase in integrated landscape management practices and restoration plans to maintain forest ecosystem services and sustain wildlife by government, private sector and local community actors, both women and men  <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>3.1:</b> Number of policies, plans, and regulatory frameworks that support low GHG development (increase compared to baseline levels at start of project)</li> </ul>	GEFTF	89,437,199	501,689,275

<sup>5</sup> Financing type can be either investment or technical assistance.

<sup>6</sup> May include monetary and non-monetary benefits. Explicit link with combating illicit trade in wildlife. Includes efforts for communities to engage, manage, and sustainably benefit from wildlife. Includes number of direct project beneficiaries (including input and activity indicators from capacity building, trainings, equipment, jobs, revenue and income, products such as sustainably harvested meat, wildlife conflict measures, etc.) at the local and community level from wildlife management, sustainable livelihoods and economic development (i.e. tourism and other natural resources management and conservation activities) (increase).

Program Components	Financing Type <sup>5</sup>	Program Outcomes	Trust Fund	GEF Program Financing (in \$)	Co-financing (in \$)
		<ul style="list-style-type: none"> <li><b>3.2:</b> Area of forest resources restored in the landscape, stratified by forest management actors (increase compared to baseline levels at start of project)</li> </ul>			
Component 2 Reduce Wildlife Trafficking	TA/INV	<p><b>Outcome 4:</b> Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products <i>Indicators and targets</i></p> <ul style="list-style-type: none"> <li><b>4.1:</b> Number of laws and regulations strengthened with better awareness, capacity and resources to ensure that prosecutions for illicit wildlife poaching and trafficking are conducted effectively (increase)</li> <li><b>4.2:</b> Number of dedicated law enforcement coordination mechanisms (increase)</li> <li><b>4.3:</b> Number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations (increase)</li> <li><b>4.4:</b> Proportion of seizures that result in arrests, prosecutions, and convictions (increase)</li> </ul>	GEFTF	29,178,589	159,014,863
Component 3. Reducing Demand	TA	<p><b>Outcome 5:</b> Reduction of demand from key consumer countries (compared to baseline). <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li><b>5.1:</b> Percentage change in knowledge, attitudes, and practice (KAP) survey scores towards consumption of illegal wildlife products (measurable positive change compared to baseline)</li> <li><b>5.2:</b> Number of awareness campaigns that reach target groups to educate them on the negative impacts of illegal wildlife trade (increase)</li> <li><b>5.3:</b> Number of markets/shops/on-line retailers selling illegal wildlife products (disaggregated) compared to baseline (decrease)</li> </ul>	GEFTF	2,407,012	5,663,881
Component 4. Knowledge, Policy Dialogue and Coordination	TA	<p><b>Outcome 6:</b> Improved coordination among program stakeholders and other partners, including donors <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li><b>6.1:</b> Establishment and functioning of a Program Steering Committee (PSC)</li> <li><b>6.2:</b> Program monitoring system successfully developed and deployed</li> <li><b>6.3:</b> Establishment of a knowledge exchange platform to support program stakeholders</li> </ul>	GEFTF	3,962,000	6,500,095
Subtotal				124,984,800	672,868,114

Program Components	Financing Type <sup>5</sup>	Program Outcomes	Trust Fund	GEF Program Financing (in \$)	Co-financing (in \$)
		Program Management Cost (PMC) <sup>7</sup>	(select)	5,943,083	30,955,625
		<b>Total Program Cost</b>		130,927,882	703,823,739

PMC is the total of the Project Management Costs of all child projects. For multiple trust fund projects, please provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: (PMC breakdown).

### C. CO-FINANCING FOR THE PROGRAM BY SOURCE, BY NAME AND BY TYPE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	UNDP	Grants	159,052,900
GEF Agency	UNEP	In kind/ grants	1,000,000
GEF Agency	AsDB	In kind/ grants	1,900,000
GEF Agency	WBG	Grants/Credits	45,000,000
Recipient Government	National and regional governments	In kind/ grants	218,783,439
Donor Agency	DFID, EU, Agence Francaise de Developpement, USAID, KfW, US Department of Interior- International Technical Assistance Program (DOI-ITAP), Others	In kind/ grants / cash	34,699,000
CSO	Born Free Foundation, Birdlife Botswana International, Gorongosa Restoration Project (GRP), Wildlife Conservation Society (WCS), Snow Leopard Trust, Snow Leopard Conservancy, ZSL, IUCN, WWF, Congo Conservation Society, Odzala Kokoua Fondation, WildCat Foundation, United for Wildlife (TRAFFIC, WWF, WCS, Royal Foundation), ARREST Program (Vietnam), Practical Action, Environment Africa, Kariba Redd+	In kind/ grants	146,991,250
Beneficiaries	Community-Based Organizations around Gorongosa National Park <sup>8</sup>	In kind	250,000
Private Sector	CSR, Microcredit Funds, Forestry Industrial Ouessou, Safari Operators (Zimbabwe), etc.	Grants	6,017,150
Others	IFAD, UNODC, WCO, Interpol, CITES Secretariat, UNESCO, Africa Wildlife Foundation (AWF), Harare Institute of Technology	Grant	90,130,000
<b>Total Co-financing</b>			<b>703,823,739</b>

<sup>7</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

<sup>8</sup> At this stage, child projects did not describe the co-financing that beneficiaries will provide. This will be assessed during the PPG stage and this number is likely to be higher.

**D. GEF/LDCF/SCCF RESOURCES REQUESTED BY AGENCY, TRUST FUND, COUNTRY, FOCAL AREA AND THE PROGRAMMING OF FUNDS**

GEF Agency	Type of Trust Fund	Country Regional/Global	Focal Area	Prog. of Funds	(in \$)		
					Program Amount (a)	Agency Fee (b)*	Total c=a+b
UNDP	GEFTF	Afghanistan	Biodiversity		1,187,706	106,894	1,294,600
UNDP	GEFTF	Afghanistan	Climate Change		612,202	55,098	667,300
UNDP	GEFTF	Afghanistan	SFM		904,954	81,446	986,400
UNDP	GEFTF	Botswana	Biodiversity		1,803,211	162,289	1,965,500
UNDP	GEFTF	Botswana	Land Degradation		4,193,578	377,422	4,571,000
UNDP	GEFTF	Cameroon	Biodiversity		2,220,000	199,800	2,419,800
UNDP	GEFTF	Cameroon	Land Degradation		385,000	34,650	419,650
UNDP	GEFTF	Cameroon	Multi-focal Areas		1,302,500	117,225	1,419,725
WB	GEFTF	Congo Republic	Biodiversity		3,797,784	341,801	4,139,585
WB	GEFTF	Congo Republic	Land Degradation		592,569	53,331	645,900
WB	GEFTF	Congo Republic	Multi-focal Areas		2,195,177	197,566	2,392,743
UNDP	GEFTF	Congo Republic	Biodiversity		1,083,500	97,515	1,181,015
UNDP	GEFTF	Congo Republic	Land Degradation		450,000	40,500	490,500
UNDP	GEFTF	Congo Republic	Climate Change		550,000	49,500	599,500
UNDP	GEFTF	Congo Republic	Multi-focal Areas		1,041,750	93,758	1,135,508
UNDP	GEFTF	Ethiopia	Biodiversity		7,294,495	656,505	7,951,000
WB	GEFTF	Gabon	Land Degradation		917,431	82,569	1,000,000
WB	GEFTF	Gabon	Multi-focal Areas		3,110,092	279,908	3,390,000
WB	GEFTF	Gabon	Biodiversity		5,302,752	477,248	5,780,000
WB	GEFTF	Global	Biodiversity		5,000,000	450,000	5,450,000
UNDP	GEFTF	Global	Biodiversity		2,000,000	180,000	2,180,000
UNDP	GEFTF	India	Biodiversity		6,662,320	599,609	7,261,929
UNDP	GEFTF	India	Land Degradation		1,033,808	93,043	1,126,851
UNDP	GEFTF	India	Muli-focal Areas		3,848,064	346,326	4,194,390
UNDP	GEFTF	Indonesia	Biodiversity		6,988,853	628,997	7,617,850
UNDP	GEFTF	Kenya	Biodiversity		2,909,174	261,826	3,171,000
UNDP	GEFTF	Kenya	Land Degradation		917,431	82,569	1,000,000
WB	GEFTF	Malawi	Biodiversity		2,348,624	211,376	2,560,000
WB	GEFTF	Malawi	Climate Change		1,376,147	123,853	1,500,000
WB	GEFTF	Malawi	Muli-focal Areas		1,862,385	167,615	2,030,000
UNDP	GEFTF	Mali	Biodiversity		1,858,864	167,296	2,026,160
UNDP	GEFTF	Mali	Land Degradation		885,173	79,666	964,839

UNDP	GEFTF	Mali	Multi-focal Areas		1,372,018	123,482	1,495,500
UNDP	GEFTF	Mozambique	Biodiversity		7,500,000	675,000	8,175,000
UNDP	GEFTF	Mozambique	Land Degradation		3,000,000	270,000	3,270,000
UNDP	GEFTF	Mozambique	Multi-focal Areas		5,250,000	472,500	5,722,500
AsDB	GEFTF	Philippines	Biodiversity		1,834,862	165,138	2,000,000
UNEP	GEFTF	South Africa	Biodiversity		4,886,009	439,741	5,325,750
UNDP	GEFTF	Tanzania	Biodiversity		3,753,211	337,789	4,091,000
UNDP	GEFTF	Tanzania	Land Degradation		887,431	79,869	967,300
UNDP	GEFTF	Tanzania	Climate Change		713,945	64,255	778,200
UNDP	GEFTF	Thailand	Biodiversity		4,018,440	361,660	4,380,100
WB	GEFTF	Vietnam	Biodiversity		3,000,000	270,000	3,270,000
WB	GEFTF	Zambia	Climate Change		1,341,743	120,757	1,462,500
WB	GEFTF	Zambia	Land Degradation		1,341,743	120,757	1,462,500
WB	GEFTF	Zambia	Multi-focal Areas		2,683,486	241,514	2,925,000
WB	GEFTF	Zambia	Biodiversity		2,683,486	241,514	2,925,000
UNDP	GEFTF	Zimbabwe	Climate Change		1,015,872	91,428	1,107,300
UNDP	GEFTF	Zimbabwe	Biodiversity		2,124,312	191,188	2,315,500
UNDP	GEFTF	Zimbabwe	Land Degradation		3,540,459	318,641	3,859,100
UNDP	GEFTF	Zimbabwe	Multi-focal Areas		3,345,321	301,079	3,646,400
<b>Total Grant Resources</b>					<b>130,927,882</b>	<b>11,783,512</b>	<b>142,711,394</b>

Please indicate fees related to this Program. Refer to the Fee Policy for GEF Partner Agencies.

Child projects highlighted in blue represent the second group of projects submitted to GEF in November 2015.

#### E. PROGRAM'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>9</sup>

Provide the expected program targets as appropriate.<sup>10</sup>

Corporate Results	Replenishment Targets	Indicative Program Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	20,274,030 hectares
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	10,607,994 hectares
3. Promotion of collective management of transboundary water systems and implementation of the full range of	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	N/A number of freshwater basins

<sup>9</sup> Provide those indicator values in this table to the extent applicable to your proposed program. Progress in programming against these targets for the program per the *Corporate Results Framework* in the *GEF-6 Programming Directions*, will be aggregated and reported during mid-term and at the conclusion of the replenishment period.

<sup>10</sup> These numbers have been estimated

<b>Corporate Results</b>	<b>Replenishment Targets</b>	<b>Indicative Program Targets</b>
policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	<i>N/A percent of fisheries, by volume</i>
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO <sub>2e</sub> mitigated (include both direct and indirect)	<i>1,156,187 metric tons</i>
5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	<i>N/A metric tons</i>
	Reduction of 1000 tons of Mercury	<i>N/A metric tons</i>
	Phase-out of 303.44 tons of ODP (HCFC)	<i>N/A ODP tons</i>
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	<i>Number of Countries: 1</i>
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of Countries: 1</i>

## ABBREVIATIONS AND ACRONYMS

AFD	French Development Agency / <i>Agence Française de Développement</i>
ABS	Access to and Benefit Sharing
ADB	Asian Development Bank
AfESG	African Elephant Specialist Group
AfRSG	Africa Rhino Species Group
AJNE	Asian Judges' Network on Environment
AKDN	Aga Khan Development Network
AMCEN	African Ministerial Conference on the Environment
ANAC	National Agency for Conservation Areas / <i>Administracao Nacional de Areas de Conservacao</i>
ANDS	Afghanistan National Development Strategy
ANPN	National Agency of National Parks
API	Application Programming Interface
APV	Voluntary Agreement of Partnership
APV	Voluntary Agreement of Partnership
ARREST	Asia's Regional Response to Endangered Species Trafficking
AsDB	Asian Development Bank
ASEAN-WEN	Association of Southeast Asian Nations' Wildlife Enforcement Network
AWF	Africa Wildlife Foundation
BADP	Border Areas Development Programme
BD	Biodiversity
BioCF ISFL	BioCarbon Fund Initiative for Sustainable Forest Landscapes
BIO-FIN	Biodiversity Finance Initiative
BMB	Biodiversity Management Bureau
BNSTPR	Botswana National Strategy for Poverty Reduction
C4D	Collaboration for Development
CAADP	Comprehensive African Agricultural Development Program
CAMPFIRE	Communal Areas Management Programme for Indigenous Resources
CAPE	Cape Action for People and the Environment
CAR	Central African Republic
CAWHFI	Central African World Heritage Forest Initiative
CBD	Convention on Biological Diversity
CBNRM	Community-based Natural Resource Management
CBNRMU	Community-based Natural Resource Management and Use
CBO	Community-based organization
CCA	Community Conservation Areas
CCM	Climate Change Mitigation
CCP	Container Control Programme
CCPCJ	The Commission on Crime Prevention and Criminal Justice
CCPE	Central Committee for Propaganda and Education
CEPF	Critical Ecosystem Partnership Fund
CFA	Community Forest Associations
CID	Criminal Investigation Department

CITES	Convention on Trade in Endangered Species of Wild Fauna and Flora
CKGR	Central Kalahari Game Reserve
CMA	Central Management Authority
CMS	Convention on Migratory Species
CO	Country Office
COMIFAC	Central African Commission on Forests
COP	Conference of Parties
CoP	Communities of Practice
CSO	Civil Society Organizations
CWC	Community Wildlife Conservancies
CWCs	Community Wildlife Conservancies
DEA	Department of Environmental Affairs
DEA	Department of Environmental Affairs
DENR	Department of Environment and Natural Resources
DFID	Department for International Development
DFNP	Non-permanent Forest Estate
DFP	Permanent Forest Estate
DFRR	Department of Forestry and Range Resources
DGF	Development Grant Facility
DGFAP	General Direction of Fauna and Protected Areas
DLUPU	District Land Use Planning Unit
DNEF	National Directorate of Water and Forests
DNP	Department of National Parks
DoC	Department of Climate
DoF	Department of Fisheries
DOI-ITAP	US Department International Technical Assistance Program
DST	Department of Science and Technology
DWNP	Department of Wildlife and National Parks
EAP	Environment Action Plan
ECOSOC	The Economic and Social Council
EMA	Environment Management Authority
ENRLE	Environment and Natural Resource Law Enforcement
EPI	Elephant Protection Initiative
EPIX Conduit	Electronic Permit Information eXchange Conduit
EPS	Electronic Permitting System
ERP	Emission Reductions Program
ETIS	The Elephant Trade Information System
EU	European Union
EWCA	Ethiopian Wildlife Conservation Authority
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FESP	Sectoral Forest and Environment Programs / <i>Programme Sectoriel Forêt et Environnement</i>
FFI	Fauna & Flora International
FIP	International Federation of Journalists/ <i>Federación Internacional de Periodistas</i>
FISH	Fisheries Integration of Society and Habitat

FLEGT	Forest Law Enforcement, Governance and Trade
FNR	Forest Nature Reserve
GBPIHED	G B Pant Institute of Himalayan Environment and Environment
GCA	Game Controlled Areas
GDLN	Global Development Learning Network
GDP	Gross Domestic Product
GEF	Global Environmental Facility
GEF STAR	GEF System for Transparent Allocation of Resources
GEFTF	Global Environment Facility Trust Fund
GESP	Growth and Employment Strategy Paper
GGML	Greater Gorongosa-Marrromeu Landscape
GIG Program	Governance for Inclusive Growth Program
GIS	Geospatial Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GOB-UN POP	Government of Botswana-UN Programme Operational Plan
GoI	Government of Indonesia
GP	Global Program
GP/SLU	The Global Program for Combating Wildlife and Forest Crime/Sustainable Livelihoods Unit
GRASP	Great Apes survival Partnership
GRBC	Genetic Resources and Biotechnology Committee
GRL	Greater Ruaha Landscape
GRP	Gorongosa Restoration Project
GSLEP	Global Snow Leopard and Ecosystem Conservation Program
GSU	General Service Unit
GTRP	Global Tiger Recovery Program
GWP	Global Wildlife Program
HCVF	High Conservation Value Forest
HSBC	Hwange-Sanyati Biological Corridor
HWC	Human wildlife conflict
IARI	Indian Agricultural Research Institute
IBRD	International Bank for Reconstruction and Development
ICAR	Indian Council for Agricultural Research
ICCWC	International Consortium on Combating Wildlife Crime
ICHIMOD	International Centre for Integrated Mountain Development
ICITAP	International Criminal Investigative Training Program
IDA	International Development Association
IFAD	International Fund for Agricultural Development
IGAD	Intergovernmental Authority on Development
IGO	Intergovernmental Organizations
IHR	Indian Himalayan Region
INP	Indonesian National Police
INTERPOL	The International Criminal Police Organization
IRR	Implementing Rules and Regulations
ITHCP	Integrated Tiger and Habitat Conservation Programme

IUCN	International Union for Conservation of Nature
IUU	Illegal, Unreported and Unregulated
IWT	Illegal Wildlife Trade/ Illicit trafficking in wildlife/ Wildlife crime
KAZA	Kavango- Zambezi
KAZA TFCA	Kavango- Zambezi Transfrontier Conservation Area
KfW	German Development Bank / <i>Kreditanstalt für Wiederaufbau</i>
KM	Knowledge Management
KTP	Kalahari Transfrontier Park
KWCA	Kenya Wildlife Conservancies Association
KWS	Kenya Wildlife Service
KX	Knowledge Exchange
LD	Land Degradation
LDCF	Least Developed Countries Fund
LEAP	Law Enforcement and Anti-Poaching
LL	Lessons Learned
LUP	Land Use Planning
M&E	Monitoring and Evaluation
MA	Management Authority
MARD	Ministry of Agriculture and Rural Development
MDBs	Multilateral Development Bank
MDDEFE	Ministry for Sustainable Development, Forest Economy and Environment
MDGs	Millennium Development Goals
MEP	Mali Elephant Project
METT	Management Effectiveness of Tracking Tool
MEWC	Ministry of Environment, Water and Climate
MF	Ministry of Finance
MFF	Mangroves for the Future
MIAD	Multi-Input Area Development
MIKE	Monitoring Illegal Killing of Elephants
MINEPDED	Ministry of Environment, Nature Protection and Sustainable Development
MINFOF	Ministry of Forests and Wildlife
MINUSMA	United Nations Multidimensional Integrated Stabilization Mission in Mali
MNRE	Ministry of New and Renewable Energy
MNRT	Ministry of Natural Resources and Tourism
MoEF	Ministry of Environment and Forestry
MoEFCC	Ministry of Environment, Forests and Climate Change
MOET	Ministry of Education and Training
MOH	Ministry of Health
MOJ	Ministry of Justice
MOMS	Management Oriented Monitoring System
MOPS	Ministry of Public Security
MoU	Memorandum of Understanding
MSP	Mid Size Project
MTP	Medium Term Plan
NABDP	National Area Based Development Programme

NAP	National Action Program
NAPA	National Adaptation Programme of Action
NATJOINTS	National Joint Operational and Intelligence Structure
NBI	National Bureau of Investigation
NBSAP	National Biodiversity Strategy and Action Plan
NBTs	National Biodiversity Targets
NCRM	National Research Council of Malawi
NCSA	National Capacity Needs Self-Assessment
NDCs	Nationally Determined Contributions
NEAP	National Elephant Action Plan
NEPP	National Policy for Environmental Protection
NFI	Netherlands Forensic Institute
NGO	Nongovernmental organization
NIAP	National Ivory Action Plan
NIPAS	National Integrated Protected Areas System
NIPs	National Investment Policy Statements
NMHS	National Mission on Himalayan Studies
NMSHE	National Mission on Sustaining the Himalayan Ecosystem
NPASP	National Protected Area System Plan
NPFE	National Portfolio Framework Exercise
NPP	National Priority Programs
NRM	Natural Resource Management
NSLEP	National Snow Leopard Ecosystem Protection Plan
NTF	National Task Force
NTFPs	Non-Timber Forest Products
ODPP	Office of the Director of Public Prosecutions
OFP	Operational Focal Point
OPDAT	Overseas Prosecutorial Development, Assistance and Training
PA	Protected Area
PBSAP	Philippines Biodiversity Strategic Action Plan
PCR	Program for Climate Resilience
PCs	People's Committees
PCU	Project Coordination Unit
PFD	Program Framework Document
PHKA	Directorate General of Forest Protection and Nature Conservation
PMC	Program Management Cost
PMIS	Personnel Management Information System
PNGE	Cameroon's National Environmental Management Plan
POGI	Philippines Operations Group on Ivory
POW	Programme of Work
PoWPA	Programme of Work on Protected Areas of the Convention on Biodiversity
PPCR	Pilot Program for Climate Resilience
PPF	Peace Parks Foundation
PPG	Project Preparation Grant
PRC	People's Republic of China

PRSPs	Poverty Reduction Strategy Papers
PSC	Program Steering Committee
RDMA	Regional Development Mission for Asia
REDD	Reducing Emissions from Deforestation and Forest Degradation
RTA	Regional Technical Assistance
RTP	Royal Thai Police
RUNAPA	Ruaha National Park
SAARC	South Asian Association for Regional Cooperation
SADC	Southern African Development Community
SANBI	South Africa National Biodiversity Institute
SANParks	South Africa National Parks Authority
SASA	South African Scientific Authority
SAT	Sustainable Agriculture Technology
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goals
SDPASE	Sustainable Development of the Protected Area System of Ethiopia
SE4ALL	Sustainable Energy for All
SFM	Sustainable Forest Management
SLM	Sustainable Land Management
SMART	Spatial Monitoring And Reporting Tool
SMED	Subject Matter Expert Discovery
SNDP	Sixth National Development Plan
SOS	Save Our Species
SPFE	Sectorial Programme of Forest and Environment
SRBMP	Shire River Basin Management Program
SSC	Species Survival Commission
STAP	Scientific and Technical Advisory Panel
TA/ INV	Technical Assistance or Investment
TANAPA	Tanzania National Parks Authority
TAWA	Tanzania Wildlife Management Authority
TAWIRI	Tanzania Wildlife Research Institute
TCG	Tasking and Coordination Groups
TEPS	Tanzania Elephant Protection Strategy
TFCAs	Transfrontier Conservation Areas
TFS	Tanzania Forest Services
TGLP	Tribal Grazing Land Policy.
TMP	Traditional Medicinal Plants
TNAs	Training Needs Analysis
TOR	Terms of Reference
TRIDOM	Tri-National Dja-Odzala-Minkebe
TWPF	Tanzania Wildlife Protection Fund
UfW	United for Wildlife
UNCAC	United Nations Convention against Corruption
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification

UNDAF	United Nations Development Assistance Framework
UNDAP	United Nations Development Assistance Plan
UNDP	United Nations Development Programme
UNDSS	UN Department of Safety and Security
UNEA	United Nations Environmental Assembly
UNEP	United Nations Environmental Programme
UNEP-WCMC	World Conservation Monitoring Centre
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNODC	United Nations Office on Drugs and Crime
UNPOL	UN Police
UNWTO	United Nations World Tourism Organization
USAID	United States Agency for International Development
USAID –SAREP	USAID Southern African Regional Environmental Program
USAID-ARREST	Asia’s Regional Response to Endangered Species Trafficking
USFWS	United States Fish and Wildlife Service
USG	United States Government
VEA	Vietnam Environment Administration
WAR	Wildlife at Risk
WAVES	Wealth Accounting and Valuation of Ecosystems Services
WBG	World Bank Group
WCCB	Wildlife Crime Control Bureau
WCMA	Wildlife Conservation and Management Act
WCO	World Customs Organization
WCS	Wildlife Conservation Society
WCU	Wildlife Crime Unit
WD	Wildlife Division
WENSA	Wildlife Enforcement Network of Southern Africa
WEO	Wildlife Enforcement Officers
WHC	World Heritage Convention
WIFOS	Wildlife Forensic Science Unit
WII	Wildlife Institute of India
WILD	Wildlife in Livelihood Development
WildLEAP	Wildlife Law Enforcement Action Plan
Wildlife TRAPS	Wildlife Trafficking Response, Assessment and Priority Setting
WMA	Wildlife Management Areas
W-TRAPS	Wildlife Trafficking Response, Assessment and Priority Setting
WWF	World Wildlife Fund
ZIFL-P	Zambia Integrated Forest and Sustainable Land Management Program
ZIMASSET	Zimbabwe Agenda for Sustainable Socio-Economic Transformation
ZSL	Zoological Society of London

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## **PART II: PROGRAMMATIC JUSTIFICATION**

**1. Program Description.** Briefly describe: a) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; b) the baseline scenario or any associated baseline program/projects, c) the proposed alternative scenario, with a brief description of expected outcomes and components of the program, d) incremental/ additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; and e) innovation, sustainability and potential for scaling up.

### **A) THE GLOBAL ENVIRONMENTAL PROBLEM, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED**

1. The illegal wildlife trade<sup>11</sup> is a multifaceted global threat. The problem is particularly acute in Africa, where charismatic species – the African elephant, white and black rhinos, as well as dozens of other species such as pangolins – are being poached to the brink of extinction. In 2014, over 25,000 elephants were slaughtered for their ivory. The rhino-poaching crisis is similarly escalating: in 2008, 13 rhinos were poached in South Africa in the entire year. In 2014, three were poached daily. Nevertheless, the illegal trade affects all regions, with species being slaughtered and traded within countries, across borders, and between regions.

2. The impact on species under threat is startling with many being poached or illegally harvested at unsustainable levels. This is having implications on broader environmental services, especially as keystone species are disappearing from entire landscapes. This is reducing dramatically the ecosystem services provided by elephants, the grazing services provided by rhinos and giraffes, as well as the myriad services underpinned by the many other species being targeted.

3. The wildlife trade mirrors other crimes, for which the negative relationship of the crime to development has been conclusively established (Heinemann and Verner 2006<sup>12</sup>, Ayers, 1997<sup>13</sup>). When natural resources and wildlife are extracted illegally, it is effectively lost income- whether private, in the form of lost wages, or depressed prices in legal markets due to increased supply, or public, in the form of foregone taxes and royalties where legal markets exists. The Environmental Justice Foundation estimates that Guinea loses \$105 million worth of fish to pirate fishing yearly. Crime affecting natural resources and the environment inflict damage on developing countries worth more than US\$70 billion a year (World Bank 2014<sup>14</sup>). Biodiversity accounts for over a third of the wealth of the poor, providing them food, medicines and opportunities for income. Security and good governance are further degraded

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<sup>11</sup> Illegal wildlife trade, wildlife crime and illicit trafficking in wildlife are used interchangeably in this document. We are using the acronym IWT in this document. According to CITES, 'Wildlife' means all fauna and flora. 'Fauna' are animals and birds, such as tigers and falcons, but also include fish. 'Flora' are plants, such as orchids or cacti, but also include timber and non-timber forest products, some of which are illegally traded at very significant levels. 'Crime', as far as ICCWC is concerned, refers to acts committed contrary to national laws and regulations intended to protect natural resources and to administer their management and use. Wildlife trade is defined as any sale or exchange by people of wild animal and plant resources (TRAFFIC, 2007). Wildlife trafficking is defined as the illegal cross-border trade in biological resources taken from the wild, including trade in timber and marine species (European Commission). Illicit trafficking in wildlife includes both poaching and illicit trade. Poaching is the illicit harvest of an animal, including taking, that is not the allowed species, size, age or sex; using illegal equipment to hunt or fish; failing to acquire a permit to hunt or fish; and harvesting outside of the allowed season or place. Poaching is considered as part of the IWT. (USAID, "*Measuring efforts to combat wildlife crime. A toolkit for improving action and accountability*". October 2015).

<sup>12</sup> Heinemann, Alessandra and Verner, Dorte, Crime and Violence in Development: A Literature Review of Latin America and the Caribbean (October 1, 2006). World Bank Policy Research Working Paper No. 4041. Available at SSRN: <http://ssrn.com/abstract=938907>

<sup>13</sup> Ayres RL. *Crime and violence as development issues in Latin America and the Caribbean*. Washington, DC, World Bank, 1998

<sup>14</sup> World Bank. 2014. Enforcing environmental laws for strong economies and safe communities. Agriculture and environmental services discussion paper; No. 5. Washington DC; World Bank Group

as corruption balloons in concert with crime, and guns are becoming more common in rural areas as they are often traded for ivory. As the stock of biodiversity disappears, so too the investment opportunities that attract the private sector, particularly to engage in non-consumptive and consumptive uses such as tourism and sport hunting, a critical economic driver in many countries.

4. A recent report from UNWTO, shows that wildlife watching represents 80% of the total annual sales of trips to Africa, with the wildlife safari as the most popular product. The species most threatened by poaching such as elephants and rhinos, are among the most popular in wildlife tourism. For example Tanzania's tourism sector, which is wildlife and nature-based, generated \$4 billion in revenues in 2013, representing 13% of GDP – its top source of FDI. The illegal wildlife trade is diminishing the number of jobs locally and reducing revenues flowing to local communities and local government through the tourism sector and associated economic activities. The contraband is also polluting legal trade in natural resources, especially when species are difficult to tell apart (which can be the case in particular with species lower on the trophic chain). Together, this is further impoverishing many countries' communities by reducing opportunities for development at the rural frontier and robbing governments of much needed revenue to sustain strong growth. This in turn is increasing tomorrow's poverty and the exposure and vulnerability of many families who depend on the stock and flow of natural capital as a safety net and a pathway out of poverty.

5. **Root causes and Barriers:** The decline of viable populations of known threatened species resulting from the international wildlife trade crisis can be attributed to the following root causes:

a. Increased demand for illegal wildlife products: Wildlife poaching is driven by a rising demand for illegal wildlife products, particularly ivory, especially from the rapidly growing economies of Asia. Although the value of illegal trade remains uncertain, it has variously been estimated at between USD 5 – 20 billion per annum. These estimates suggest that wildlife crime is the fourth most lucrative type of transnational crime after illegal narcotics, humans and armaments. Wildlife crime is a very lucrative business providing short-term gains to a few criminals and in turn is driving poaching.

b. Increased organized crime and transnational trading networks: Criminals and militia capture the main value of wildlife products (particularly rhino and ivory). Poorer people would not engage in poaching were it not for wider networks able to transport ivory and rhino horn out of source countries to end-user markets. It is this dynamic where we can point to a link to poverty and trafficking since it is the networks (transport, organized crime, use of diplomatic bag) that are able to capture the real value of wildlife products. The active involvement of local rebel militias and criminal mafias is also undermining security, as well as robbing families of their breadwinners as park rangers are being murdered (over 1000 killed in 35 countries in the last decade alone).

c. Weakened governance and institutions: The illegal wildlife trade exacerbates already weak institutions and transparent governance systems, fueling corruption and elite capture. Where there is a lack of economic opportunity, people are easily enticed to engage in crime as a means to sustain their livelihood.

d. Lack of benefit from wildlife by communities. Poaching is sometimes opportunistic, and as such is often made possible on the ground by the involvement of local or neighboring community members in tacitly supporting, cooperating with, providing services to, and participating in the activities of criminal poaching gangs. In many cases, this has developed out of a context of policies that excluded local communities from deriving benefits from wildlife and their habitats in the name of effective conservation, creating resentment and a sense of alienation. In some cases this situation has combined with very weak enforcement in protected areas, and continued rural poverty and lack of economic opportunity, to provide conditions in which criminal poaching thrives, and continues to feed illegal trafficking. In many countries, 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.

e. Habitat loss: In addition to the IWT, natural resources are under pressure and in decline due to land use change, deforestation, illegal logging, rapid urbanization, poorly planned infrastructure development and resource extraction, and other factors. The decline in biodiversity is linked to land degradation, and the loss of soil and water, leading to increased pressure and competition on deteriorating resources. Rapid population growth in rural areas is correlated with the increased habitat loss, leading to increased human wildlife conflicts as wildlife and humans need for the land and its resources overlaps. This is a serious challenge across much of Africa since it can lead to retaliatory killing and undermine support for conservation.

6. Specific barriers to achieving the program objective of promoting wildlife conservation, wildlife crime prevention and sustainable development to reduce poaching and illegal trade are as follows:

7. Barrier 1 is the absence in many cases of effective enforcement by well-resourced, well-trained, professional and merit-based state protected areas agencies. These authorities legally own the wildlife resource but are frequently underfunded and under-capacitated, which means that there is little effective enforcement, and in some cases a *de facto* open access regime in which people are able to utilize the wildlife resource for subsistence, for criminal poaching purposes, or for elite recreational hunting, frequently on an unsustainable basis. Often this results in ‘frontier economy’ conditions, where prices are rising and markets expanding without corresponding development of institutional constraints through definitions of legal ownership and regulations on use. If wildlife is to be owned by the state and not the communities, tight and effective enforcement is essential in order to avoid the tragedy of the commons. Barrier 1 and 2 combine to make it difficult to address the objective of reducing poaching at the beginning of the illegal value chain.

8. Barrier 2 is the improper land use planning which is a major contributor to increased competition between different land uses and has exacerbated Human-Wildlife Conflict where protected areas are adjacent to human settlements. The main challenge to be addressed therefore is the fragmented land-use planning and management practices as they intensify competition for land and other natural resources, and create conflict among different users, with negative consequences on livelihoods and biodiversity. Although knowledge on how to effectively manage ecosystems is increasing, very little of the currently available knowledge is being utilized to manage the community land, agriculture farms, forest concessions, etc., to ensure that a landscape management approach to optimize each land use type.

9. Barrier 3 is the lack of ownership/value of wildlife to the communities who live with it. Since wildlife is in most legal systems considered a state-owned resource, and since communities co-existing with wildlife typically bear the costs of loss of livestock, crops and life without gaining significant economic benefit from wildlife, the wildlife itself may have little or no net positive economic value to the community. What is lacking in most countries is a systematic dialogue on how to best ensure that communities benefit from land and natural resources, consistent with national priorities and legislation, in order to create the fundamental socio-economic conditions necessary for the long-term persistence of biodiversity in line with the objectives of the CBD.

10. Barrier 4 is the lack of effective national and international coordination to combat transnational smuggling and trafficking. At the national scale, there is often a lack of strategic coordination between the range of actors involved in combating IWT, and an absence of dedicated wildlife crime-fighting capacity. Internationally, despite improved efforts to enhance coordination, a vast volume of smuggling and trading goes undetected and unprosecuted, with the kingpins extracting the largest sums of value from the supply chain, but much less frequently arrested, prosecuted and convicted than lower-level players in the chain. There is a need to tackle the trafficking and transit sections of the value chain, whilst simultaneously addressing the supply and demand ends of the chain.

11. Barrier 5 is the inadequacy of efforts at national and global scales to raise awareness and reduce consumer demands for illegally traded products. Despite major public awareness campaigns in many Asian countries, there remains a high level of misinformation and ignorance by consumers in these markets. Awareness raising is also needed in source and transit countries, to promote understanding of the negative impacts of the illegal wildlife trade

for the environment, security and development. There is a need for work at national, regional and global scales to disrupt trafficking infrastructure, promote collaboration on anti-trafficking, and raise awareness, as well as a need for ongoing work to understand the multiple dimensions of this complex problem.

## **B) BASELINE SCENARIO**

12. Through the advent of the Convention on Trade in Endangered Species of Wild Fauna and Flora (CITES) in 1976 and the Convention on Biological Diversity (CBD) in 1992, together with a host of national legislative and regulatory instruments and mechanisms, the global community has moved to address the threat to thousands of species of wildlife poised by unfettered trade and the loss of their habitat by increasing funding to protected areas and increasing the capacity of governments to enforce legislation preventing illegal use of resources. Comprehensive advances and collaborative initiatives have been put into place across source, transit and destination countries to combat illegal trade in wildlife through CITES and their numerous programs (i.e. MIKE, ETIS, National Legislation Project, national ivory action plans, etc.)<sup>15</sup>. In 2010, the International Consortium on Combating Wildlife Crime (ICWC) was established to bring together key wildlife law enforcement agencies (UNODC, WCO, CITES, Interpol and WBG). At the CITES CoP16, the CITES Secretariat introduced a document (CoP16 Doc.15 (Rev.1)), outlining the importance of the Consortium and how it would support the IWT agenda. Since then, ICWC partners individually and collectively, have implemented cross regional initiatives such as [Operation Cobra](#), regional initiatives such as Wildlife Enforcement Networks, and collaborated with IGOs and NGOs and at the national level through national plans. This program leverages the efforts and activities to combat wildlife crime that key agencies are carrying out and with whom this project is associated with. (see **Annex C1- Implementing Agencies Baseline**).

13. Many programs promote community-based natural resource management (CBNRM)<sup>16</sup>, which has made significant gains in pointing to pathways out of rural poverty that effectively strengthen enforcement. Effective CBNRM efforts provide communities with a stake in the preservation of wildlife and their habitats through shared responsibilities for management and shared benefits from their sustainable use. Examples of successful community-owned conservancies can be found in Namibia and Kenya, where there are numerous ecotourism operations that are contributing to conservation goals and providing benefits to communities. In recent decades, there has been a growing awareness by many governments of the need for communities and indigenous peoples living in and around protected areas to participate in governance and share in the benefits derived from wildlife. Still, the enabling framework and implementation of CBNRM efforts have been uneven, and attention has been drawn away from the importance of this work due to the urgency of the poaching crisis and apparent primacy of state-led enforcement efforts. This program is based on a theory of change that sees both community involvement and strengthening of state-led enforcement efforts as essential in tackling the crisis.

14. The program builds on the recent recommendation of several national, regional and international summits and meetings convened to address the escalating crisis in the illegal wildlife trade. Some summits have resulted in clear political commitments, including the London Conference on the Illegal Wildlife Trade in 2014 and the African Elephant Summit in Botswana in late 2013. The London IWT Declaration agreed by representatives from 46 countries from around the world was the most significant event to date. There, the presidents of Chad, Botswana,

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<sup>15</sup> There are over 60 sites in the MIKE program across 30 countries in Africa and 13 in Asia, representing 35% of the elephant population. Nine out of the 18 countries included in the GWP, have engaged with the ICWC toolkit assessment (i.e. completed, underway, or invited to implement with ICWC support). 10 countries are parties of 'primary or secondary concern' in the control of illegal trade in ivory and are using NIAPs to strengthen their controls of the trade in ivory and ivory markets, and help combat the illegal trade in ivory.

<sup>16</sup> For example, see Child B. (1996) The practice and principles of community-based wildlife management in Zimbabwe: The CAMPFIRE programme. *Biodiversity and Conservation* 5, 369-398

Tanzania, Ethiopia and Gabon launched the Elephant Protection Initiative (EPI). The Post-London summit took place on March 25, 2015 in Botswana.

15. The London Declaration, among other things recommitted signatories of the CITES convention to “the full and effective implementation of relevant CITES Resolutions and Decisions and to making further efforts to eradicate illegal wildlife trade within the CITES framework.” The release of the European Commission’s Strategic Approach to Conservation in Africa (February 2015) as well as the African Environmental Ministers Meeting (AMCEN) of March 2015 is evidence of increasing political commitment. In 2013-2014, no fewer than 18 declarations and pledges stemming from these meetings were committed to by governments, IGOs and NGOs, to tackle the illegal wildlife trade and improve wildlife management. These declarations embody comprehensive approaches to reduce poaching and trafficking, reduce the demand and engage communities in wildlife management, while seeking to enhance their livelihoods in ways that link community responsibility and accountability to conservation outcomes.

16. Other conferences included i) The African Elephant Action Plan, launched at the 15th Meeting of the Conference of the Parties to the Convention on International Trade in Endangered Species of Wildlife Fauna and Flora (CITES), Doha, Qatar, 13-25 March 2010, ii) The Yaounde Declaration on the Anti-Poaching Campaign in Central Africa, signed in March 2013, iii) The Marrakech Declaration, a 10-point action plan to combat illicit wildlife trafficking, launched by The African Development Bank and WWF, May 3rd, 2013, iv) The African Elephant Summit, Gaborone, Botswana, co-hosted by the Government of Botswana and IUCN, 2nd-4th December 2013, v) the U.S. National Strategy for Combating Wildlife Trafficking, Washington DC, 11th February 2014 and Implementation Plan, Feb 2015, vi) two conferences in Tanzania in May and November of 2014 on wildlife crime, both regional and national, vii) “the Symposium on "Beyond Enforcement: communities, governance, incentives and sustainable use in combating wildlife crime” led by IUCN and held in South Africa in February 2015 and, viii) the “International Conference on Illegal Harvesting and Trade of Wild Fauna and Flora in Africa” held in Brazzaville in April 2015.

17. In addition, in the past three years various institutions highlighted the surge in environmental crime and particularly illegal trade in wildlife (see Annex B for details).

18. In addition to the political commitment, this program also builds on a body of information on this issue, including, "Elephants in the Dust. The African Elephant Crisis", published in 2013. This report presented the findings from Monitoring the Illegal Killing of Elephants (CITES MIKE) Program, the Elephant Trade Information System (ETIS), the IUCN/SSC African Elephant Specialist Group (AfESG)’s African Elephant Database, work commissioned by the International Consortium on Combating Wildlife Crime (ICWC), and expert consultations, among others. An important background evaluation that would support national projects implementation is the GEF IE: GEF Support to Protected Areas and Protected Areas System (October, 2015)

19. It also builds on a number of GEF’s recent national and regional projects targeting these issues, including: a) The GEF-UNEP project (4937) "Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa (target: Rhinoceros)", b) The GEF-World Bank project PMIS (5359) "Fighting against wildlife poaching and illegal trade in Africa: the case of African elephants", c) The GEF-UNDP project PMIS (5721) "Rhino Impact Bonds An Innovative Financing Mechanism for Site-Based Rhinoceros Conservation", d) The GEF-UNEP project PMIS (5821) "Engaging policy makers and the judiciary to address poaching and illegal wildlife trade in Africa", e) the GEF-4 MSP, World Bank on “Wildlife Consumption: Reforming Policies and Practices to Strengthen Biodiversity Conservation in Vietnam, ”, f) the GEF-WBG-IUCN Save our Species Program.

20. Other recent and planned investments include: i) the USAID \$6M grant to WCS in support of conservation in Ruaha /Katavi National Parks in Southern, Tanzania, ii) the US \$40M donation to Tanzania for a wide anti-poaching and wildlife conservation program over the next four years, iii) the donation of Germany of \$51M for the anti-poaching and wildlife conservation program in Tanzania; iv) the USAID \$5m grant to IUCN and TRAFFIC to

counter trafficking in wildlife from Africa to Asia (the Wildlife TRAPS program); and v) the European Commission's initiative "Larger than elephants. Inputs for the design of an EU strategic approach to Wildlife Conservation in Africa", published in December 2014 and the World Bank's Roadmap for Reducing Illegal Wildlife Crime (February 2014).

21. All the commitments and investments mentioned above represent the broad baseline. The more specific baseline for the Program is composed of recent, current and planned investments, programs, projects and initiatives that have relevance for the theme of the program by the implementing agencies, governments and the co-financing. This baseline will represent the underlying finance upon which a GEF investment is expected to incrementally make a difference. Local, national and global benefits would be achieved through integrating GEF resources with identified baseline activities that will enable tackling the wildlife crisis, poverty of local communities, natural resources management through a landscape approach and climate change mitigation. The proposed program offers the opportunity to do so within a multifocal perspective. Each agency participating in the program will be contributing to the baseline scenario. The program's baseline has three distinct elements.

22. The first element is what the implementing agencies are currently doing to address the wildlife crisis (**See Annex C1 – Implementing Agencies Baseline**). The second element is what the countries presenting a child project are doing to address the wildlife issue (**see Annex C2 – Baseline for countries**). This baseline includes work tackling the IWT issue at all points along the illegal supply chain – including work with communities on co-management and benefit sharing; work to strengthen enforcement on the ground in protected area landscapes; work to ensure national coordination of the police, judiciary, customs and other role-players; work to combat international smuggling, and work to curb consumer demand. The third element is the funding coming from each of the co-financing activities of the 21 child projects (**see Annex D – Child Project Concept Notes**). The estimated aggregated co-financing of child projects amounts to US\$704 million and includes a series of investment, technical assistance, and analytical work operations. These operations range from Watershed Management, Tourism Development, Conservation Agriculture through IDA credit and grants, and Climate Change MITIGATION through various funds such as REDD+Readiness, PCR (Program for Climate Resilience), the Forest Carbon Partnership Facility (FCPF), BioCarbon Fund, Terra Africa and the Forest Investment Program, UNDP and IFAD funds, government funds, DFID, EU, Agence Francaise de Developpement Private donors, NGOS (i.e. Born Free Foundation, Birdlife Botswana International, Gorongosa Restoration Project (GRP), Wildlife, Conservation Society (WCS), Snow Leopard Trust, WildCat Foundation, Snow Leopard Conservancy, ZSL, IUCN, WWF, Congo Conservation Society, Odzala Kokoua Fondation, Community-Based Organizations around Gorongosa National Park, CSR, Microcredit Funds, Forestry Industrial Ouesso, and others.

23. The GEF funding will be incremental to the baseline in that it will make advances in understanding and addressing the dynamics of poaching and the illegal wildlife trade in all its complexity. Interventions to address the current crisis are too few, too small and not targeted strategically enough. In fact, they are often fragmented efforts that rely solely on conservation approaches and fail to include necessary and complementary criminological approaches. As, if not more, importantly they often fail to fully engage communities in wildlife stewardship by ensuring that these critical stakeholders share in and are incentivized by benefits generated from tourism or other natural resource or biodiversity-based economic activity. Some of the most fundamental law enforcement approaches, such as intelligence systems and analysis, targeting and profiling, which are standard tools for other types of crimes, are simply not being applied to efforts to combat illegal wildlife trade. Reducing demand, a critical element of any long-term strategy, does not adopt a sufficiently evidence based, insight led approach, using best practice behavioral change strategic approaches, adapted for a particular cultural context. Finally, the policies, laws and penalties are often outdated and those being developed to address the poaching crisis are often an opportunistic patchwork creating implementation challenges.

## C) ALTERNATIVE SCENARIO

24. Program Summary: To capitalize on their long-lasting support to African and Asian countries' efforts on biodiversity conservation, the Global Environment Facility, the World Bank Group (WBG), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), World Wildlife Fund (WWF), International Union for the Conservation of Nature (IUCN), and the Asian Development Bank (ADB) launched a collaboration on a Global Wildlife Program (GWP). These GEF implementing/project agencies joined forces with developing country governments, and various donors and conservation partners, including the CITES Secretariat, WCS, Traffic and WildAid to address the wildlife crisis while contributing to poverty reduction and sustainable development. In June 2015, the GEF Council approved the program framework document for the GWP with an initial investment value of US\$ 90 million GEF funding for 12 projects - eleven national projects in Africa and Asia and one global project executed by the WBG/UNDP. Each of these projects will be leveraging from other donors co-financing of US\$ 513 million in kind/cash and other grants or loans.

25. The national projects tailored to specific country needs and investments will ensure optimization of economic benefits from natural resources management, strengthening protected areas, support to anti-poaching, tourism development, training on park management and reinforcement of criminal intelligence, livelihood development compatible to conservation and landscape planning and biological corridor development. The WBG will lead the global coordination and knowledge exchange components of the GWP (this TA), to enhance the individual results achieved by national projects. UNDP will lead a coordination and learning effort to promote best practice ports & collaboration between African and Asian countries and agencies involved in efforts to reduce maritime transport of illegal wildlife products, especially ivory. The global project will enhance coordination among stakeholders, monitor outcomes of national projects, support preparation, develop a knowledge management platform, and strengthen key institutions involved in wildlife law enforcement through support to ICCWC. Below are additional details on the GWP national projects. The WBG coordination activities will help maximize the potential national project impacts.

26. National governments, in partnership with NGOs, CSOs, will execute each national project. The initial countries included in the program are Botswana, Cameroon, Congo (two projects), Ethiopia, Gabon, India, Indonesia, Mozambique, Tanzania, and Zambia. Nine additional countries have been added to this revised PFD. Once the nine new projects included in this revised PFD are approved by the GEF council, the Program will include 21 child projects. This will represent a GEF investment of US \$131 million, leveraging \$704 million in co-financing. Co-financing will be provided from various sources, including GEF agencies, recipient governments, donor agencies, CSOs, and the private sector. It has been estimated to a total of US \$704 million in co-financing. The type of co-financing will include in-kind, grants, loans, and cash. The list of child Projects under the Program Framework is included in Annex A.

27. The program recognizes that CITES provides the international legal framework for regulating international trade in wildlife. The program will be delivered within this legal framework and will contribute towards the full and effective implementation of relevant CITES Resolutions and Decisions on illegal trade in wildlife.

28. Global Environment Objective and Theory of Change: The Global Environment Objective of the Program is to promote wildlife conservation, wildlife crime prevention and sustainable development to reduce impacts to known threatened species from poaching and illegal trade.

29. The key outcomes /performance indicators for the Program are shown in the indicative program results framework section on page two of this document. These indicators may be enhanced further during project preparation.

30. In order to have a significant impact in preventing the extinction of known threatened species by curtailing poaching and the illegal wildlife trade, and promoting the sustainable use of wildlife resources, the Program was designed following a theory of change that would address key distortions and weaknesses across the illegal wildlife

value chain. This theory of change addresses the key root causes and barriers discussed earlier. It prioritizes investments in emergency short-term interventions to combat wildlife crime, and in ensuring that the real value of wildlife is reflected in land use planning and incentives in the longer term. Thus, emergency interventions focus on reducing poaching, reducing trafficking and reducing illegal trade. Longer-term intervention focus on promoting sustainability, community benefits, effective governance by communities including through land use zonation and natural resource rules and practices. These interventions are designed to act collectively to shift the cost-benefit calculus in relation to the participation by a wide range of actors across the illegal supply chain – both increasing the costs of participation in the illegal trade, and increasing and more equitably sharing the benefits of tightly enforced sustainable management and use of wildlife resources, under the framework of CITES and other multilateral environmental agreements. This builds on the current thinking of the organizations represented on the Program Steering Committee, and simultaneously seeks to promote innovative thinking on interventions to address the escalating challenges more effectively. The alternative scenario involves promoting dialogue in the countries in which the child projects are taking place on how to best ensure that communities benefit from land and natural resources, consistent with national priorities and legislation, in order to create the fundamental socio-economic conditions necessary for the long-term persistence of biodiversity, which is consistent with the objectives of the CBD. Figure 1 depicts the theory of change of the alternative scenario.

31. The TOC of the IWT Program can be summarize by a series of interventions along the value chain from source to transit to demand. Illegal Wildlife Trade will come to an end, if there is concerted effort to reduce poaching and empower local communities to be the stewards and beneficiaries of wildlife, combined with controlling crime and trafficking at higher levels, and reducing demand for illegal wildlife and at the same time promoting the legal trade to provide incentives for wildlife-based land use and protection by the local communities. These series of interventions should, in the long term, result in healthy wildlife populations sustainably management by the landholders and local communities on the ground for the benefit of those along the legal value chain of the products currently traded illegally.

ALTERNATIVE SCENARIO: THEORY OF CHANGE

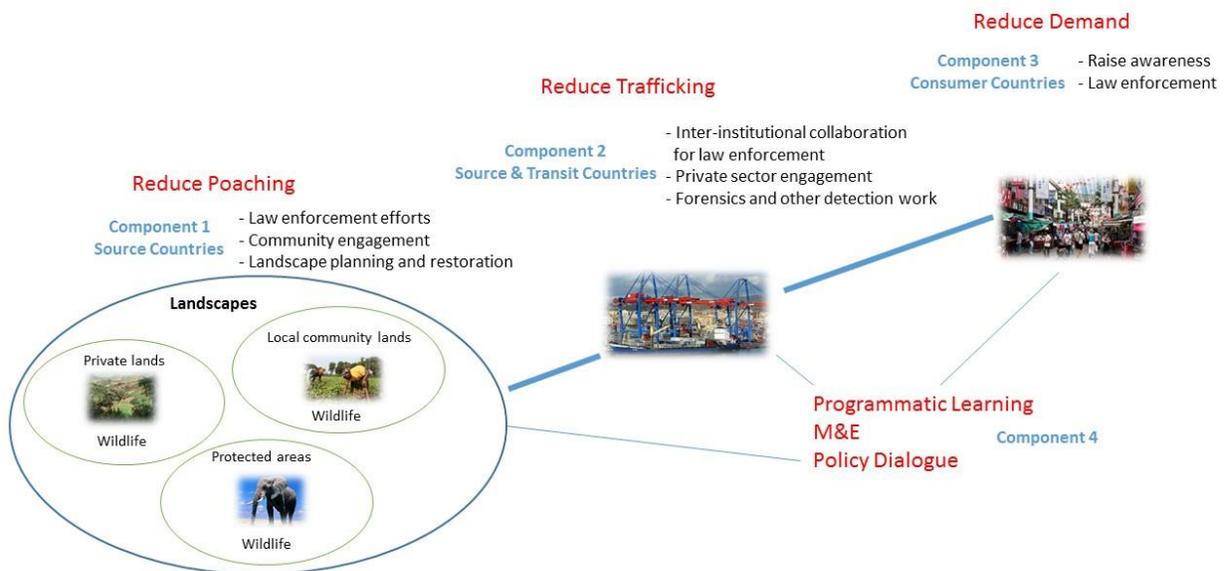


Figure 1: Representation of the Three Levels of the Wildlife Program Operations

**32. Reduce poaching in source countries:** The program aims at addressing poaching of wildlife by means of a three pronged approaches: reducing poaching, empowering local communities and promoting integrated landscape planning. Reducing poaching, is urgently needed to ensure that viable populations of species are maintained. The largest investment of this program will be to reduce poaching through government led projects supporting field-based activities. Reducing poaching will require enhancing anti-poaching tracking and intelligence operations, through the development, training and education of tactical tracker and intelligence units in all protected area landscapes where much important biodiversity and known threatened species are found. Criminals need to be punished and poaching needs to become very difficult and costly. Empowering local communities is critical to the success of the program. While reducing poaching is important, there is also a need to increase the value of wildlife and associated ecosystem services by providing opportunities for development through nature-based tourism and other agriculture, forestry and natural resources projects that bring direct benefits to local communities. It is central to the long term success of the program to empower local communities so they become direct beneficiaries of the monetary and non-monetary benefits derived from the sustainable use of wildlife. As the lack of ownership has been identified as an important root cause of the problem, it is imperative to search for solutions for the local proprietorship and ownership of the resources they live with. Interventions may promote the devolution of rights to use, manage and benefit from (and in some cases own) land and natural resources, and the development of community monitoring and survey land systems. As communities should try to avoid being armed to confront poachers, local communities will require police support in dealing with arrests, prosecution, and sentencing of criminals. Integrated landscape planning, will support strategic and longer term efforts to ensure that viable wildlife populations are thriving. This will require increasing the extent of conservation areas, ensure the effective protection of species, help reduce habitat loss and consequent loss of range and improve connectivity in the landscape. This also requires prioritized land use planning to conserve connectivity for the species to survive, particularly critical for regions with very high human population densities and growing agricultural pressures. This, in turn, will help mitigate and reduce human-wildlife conflict such as that arising from elephant damage to croplands.

**33. Reduce trafficking along the supply chain:** Reduce trafficking requires strengthening anti-smuggling, customs control and container customs search programs, and especially control of small airstrips, and boats in ports and where rivers enter the sea, along with the use of controlled deliveries<sup>17</sup> and DNA and other isotope markers to identify the source of wildlife, the criminal networks and buyers. It also requires strengthened efforts against corruption at all levels, including in the military, the police, the wildlife enforcement communities and other governmental agencies, using trans-boundary criminal intelligence units and further improving training and organization of specialized, well-paid and strongly-mandated anti-poaching units working inside and outside protected areas with both intelligence and enforcement operations. Other interventions include strengthening international interagency collaboration to fight organized wildlife crime by supporting programs that target the enforcement along the entire supply chain. For example, interventions can include efforts implemented through ICCWC (International consortium to combat wildlife crime comprised of CITES, UNODC, WCO, WBG and INTERPOL), regional criminal intelligence units, judiciary training and the practical application of the full range of intelligence, experience, and methodologies.

**34. Reduce demand in Consumer countries:** This requires a combination of strict enforcement for those trafficking wildlife and wildlife products at the end of the value chain, and conducting targeted awareness raising campaigns among end-users across the world, but particularly in relation to rhino and elephant products in East and Southeast Asia, of the devastating impacts of their present demand. The campaigns would need to dissuade

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<sup>17</sup> A controlled delivery is a tool used by law enforcement agencies to identify persons connected with criminal activities and to gather evidence against them. It is a technique that has been employed extensively in relation, for example, to combating illicit trafficking in narcotics but it can be used equally effectively with regard to illegal trade in wildlife. Although it is usually associated with controlled importations, transit and (to a lesser extent) exportation and is, thus, primarily used in relation to transnational crime, there will also be circumstances when it could be employed nationally, i.e. solely in-country. The primary focus will be upon transnational crimes, where wildlife of an illegal origin is being smuggled across international borders. Particular responsibilities are required of agencies that engage in controlled delivery operations. These differ, depending upon the stage at which an agency is involved, and it is vital that all those involved are aware of what will be expected of them. One break in what may be a complex law enforcement chain, which may stretch for thousands of miles, can spell disaster for a successful operation.”.

consumers from purchasing illegally traded wildlife. Such campaigns, though often expensive and time-consuming, can be successful, as demonstrated by the significant shift in consumer opinion in Asia on the shark fin trade. It is important to note that this intervention by itself has not been sufficient to stem illegal killing of sharks. Criminals will continue to kill wildlife and traffic in contraband as long as the potential profits remain so high. It is critical to engage individual consumers in key consuming nations in this fight by educating them about the impacts of wildlife trafficking, on people as well as wildlife, and encouraging them to examine their purchasing patterns. It is also important to recognize the complexity of the supply-demand relationship, since effective anti-poaching work in some areas may curb overall supply and drive prices up, increasing the pay-off for remaining poachers, pointing to the centrality of simultaneous demand reduction in key markets. In spite of a recent market survey indicating reduced prices in ivory in China<sup>18</sup>, support to demand reduction activities is still critical to drive down consumption of illegal wildlife products in China and other major consumer countries. As long as there is market demand for illegal wildlife products, and it is economically viable to trade such products (i.e. market participants realize greater rewards than their costs and perceived risks), poaching of threatened species will continue. The recent market survey likely reflects a real drop in prices. Nevertheless, it is a snap shot of lower prices rather than a prolonged trend and prices can rise as experienced previously.

35. This Program will coordinate investments to reduce poaching, strengthen community-based wildlife management and tourism development, improve protected area management, curtail trafficking and reduce demand for illegal wildlife and wildlife products. The child projects under this program collectively include elements of work across all of these areas.

36. The Program will work with the GEF Secretariat and other GEF agencies to ensure coordination and synergies are realized at national level with all GEF investments within each country. It will target Program three of the GEF-6 (2014-2018) Biodiversity Strategy, “Preventing the Extinction of Known Threatened Species”, a newly designed program that acknowledges that, while many GEF programs actively address many of the threats driving species extinction, additional efforts are required to address hunting, poaching, and illegal trade of endangered species. The proposed Program also aims to target other focal areas and strategic objectives of GEF-6, including Biodiversity, Land Degradation, Climate Change and Sustainable Forest Management.

37. A multifocal program is the best approach to respond to the wildlife crisis. Wildlife crime is a symptom of deeper problems faced by many developing nations and may not just result in the loss of iconic species such as the elephant, rhino, gorilla, and chimpanzee, tiger, leopard, pangolin, etc. The root cause of wildlife crime is the poverty of local communities, lack of valuation of ecosystems and natural resources management, undeveloped tourism potential, weakened governance and institutions, increased land and water use conflicts, increased human and wildlife conflicts, and increased illegal logging and land degradation and associated loss of wildlife and its habitat. To address this crisis, an integrated and more ambitious program is required that uses a landscape planning approach and alliances with multiple sectors and funding sources.

38. Additional levels of investments and collaboration between development and conservation partners can bring together in an integrated approach biodiversity conservation and natural resources management, tourism development and poverty reduction. This combined approach can create stronger incentives for local communities to engage in protecting wildlife and habitats and reduce their poverty levels and for public-private partnerships to support sustainable local development at a landscape level. With respect to wildlife crime, new approaches are needed to target site interventions alongside controlling trafficking and awareness raising; innovative technologies to detect and prevent crime; and real disincentives to illegal actions. Innovation, communication, and partnerships

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<sup>18</sup> The survey was conducted by Vigne and Martin and reported on December 2015. It is believed that recent price decline may be due to a combination of the Chinese government’s stated intent to close down their domestic ivory trade, growing awareness in China about the impacts of buying ivory and the slowdown of the Chinese economy. <http://wildnet.org/updates/price-ivory-china-falls-sharply>. Accessed on March 22, 2016.

between governments, financial institutions, companies, communities, conservation organization, civil society, and all key stakeholders is necessary to successfully combat wildlife crime.

39. This will be achieved by interventions across the source-transit-demand country nexus (referred in Para. 31), as follows:

### Component 1. Reduce Poaching and Improve Community Benefits and Co-management

40. This component aims at reducing the threats to endangered species that are bringing them to unviable populations due to poaching, overharvesting and habitat reduction. Preliminary priority species identified by national projects to help reduce impact from either poaching, trafficking, or consumption is shown in Table 1. Projects may help conserve other species not listed, even those not directly affected by poaching. Other species may be monitored if targeted by national projects.

**Table 1: List of project sites and priorities species**

Child Project Description			Priority Species			
#	Country	Sites	Elephant	Rhino	Big Cat	Other Species/Comments
1	Afghanistan (UNDP)	<b><u>Wakhan Corridor</u></b> (Pamirs, Karakoram, Himalayas, Altai, Kunlun, and Tien Shans)			X	Marco Polo sheep Ovis ammon polii, wolves, lynx, brown bears, stone martens, Pallas's cat, ibex, red foxes
2	Botswana (UNDP)	Kalahari Savannah – <b><u>Central Kalahari Game Reserve (CKGR) and the Kalahari Transfrontier Park (KTP)</u></b> ; Kgalagadi/ Ghanzi drylands in western and south-western Botswana; Orange-Senqu Transboundary River Basin; Ngamiland	X		X	Lion, African Wildlife Dog, Hyena, Cheetah, Buffalo, Giraffe
3	Cameroon (UNDP)	<b><u>Dja, Boumba Bek and Nki Protected Areas, Megame, Ngoyla Wildlife Reserve and Lobeke Gorilla Sanctuary</u></b>	X			Pangolins, Gorillas, Chimpanzees, Fisheries
4	Congo (WB)	<b><u>Nouabale-Ndoki National Park; Ntokou Pikounda; Yengo-Moali (WB)</u></b>	X		X	Gorillas, Chimpanzees, Leopards, Bongo, Buffalo, Antelope
5	Congo (UNDP)	<b><u>Odzala-Kokoua National Park; the Ngombe concession, Messok Dja, and the Sembe panhandle</u></b>	X			Buffalo, Pangolins, Gorilla, Chimpanzee
6	Ethiopia (UNDP)	<b><u>Gambela National Park, Omo National Park and Babilie Elephant Sanctuary</u></b> ; Gambela, the Southern Nations, Nationalities, and Peoples' Regions	X	X		Zebra, African Wild Dog, important wild plants
7	Gabon (WB)	<b><u>Moukalaba Doudou, Loango, Mavumba and Waka National Parks</u></b>	X			Gorillas, Hippopotamus, Chimpanzees, Leopards
8	India (UNDP)	Indian states of the Ladakh autonomous region of <b><u>Jammu &amp; Kashmir, Himachal Pradesh, Uttarakhand, Sikkim and Arunachal Pradesh</u></b>			X	Snow Leopard

Child Project Description			Priority Species			
9	Indonesia (UNDP)	National level; key transportation hubs	X	X	X	Pangolins
10	Mozambique (UNDP)	<b><u>Gorongosa National Park (Gorongosa-Marrromeu Complex); Niassa Reserve;</u></b> Pungue - DinguéDingué Community Conservancy; Northern Rift Valley Community Conservancy; Cheringoma Sub-Complex of Conservancies	X	X	X	Leopard, Pangolins
11	Tanzania (UNDP)	<b><u>Katavi, Selous, Greater Ruaha ecosystem</u></b>	X	X	X	Lion, Cheetah, Leopard
12	Zambia (WB)	<b><u>Lukusuzi National Park;</u></b> Eastern Province; Nyika Transfrontier Conservation Area; (corridor with Kasungu National Park in Malawi)	X	X	X	African Wild Dogs, Lions
13	Kenya (UNDP)	<b><u>Maasai Mara and Tsavo</u></b> landscapes (as well as the Greater Amboseli and the Laikipia-Samburu landscapes)	X	X		
14	Malawi (WB)	<b><u>Kasungu National Park and Lukusuzi Forest Reserve</u></b> (Zambia); Mwabvi Wildlife Reserve; Matandwe Forest Reserve; Lengwe National Park; and Majete Wildlife Reserve	X			Wild Dog, Fisheries
15	Mali (UNDP)	Lake Banzena protected area; <b><u>Gourma Reserve</u></b>	X			
16	Philippines (ADB)	<b><u>Palawan</u></b> (including Tubbataha Reef) and the <b><u>Sulu Archipelago</u></b> (centered around Zamboanga City); General Santos, Davao and Butuan Cities; Cebu; Metro Manila	X (demand)			Birds, Pangolins, Turtles, Reptiles
17	South Africa (UNEP)	<b><u>Kruger National Park</u></b> (cadre training)	X	X	X	Lion, Pangolin
18	Thailand (UNDP)	<b><u>Thun Yai and Huay Kha Kaeng</u></b> World Heritage Site; Key land and sea ports	X	X	X	Tiger, Pangolins
19	Vietnam	Country-wide; Key land and sea ports	X	X	X	Tiger, Pangolins
20	Zimbabwe (UNDP)	<b><u>Mbire, Hurungwe and Dande; Mana Pools, Chewore and Sapi,</u></b> and contiguous wildlife areas of Hurungwe, Dande and Doma, Manyame and Mazowe catchments	X		X	Lions, Hippos

41. The goal of this component is to improve wildlife populations at site level so that those local and global extinctions are prevented. This will be done by investing in activities that: i) reduce the rates of poaching (through enforcement and anti-poaching measures and capacity building of enforcement agencies) (sub-component 1.1); ii) improve wildlife management and enhance wildlife-related community livelihood benefits (sub-component 1.2) and; iii) promote integrated landscape management practices and restoration plans to maintain forest ecosystem services

and wildlife management (sub-component 1.3). In designing the interventions under this component and its sub-components, it will be important to strengthen the disincentives for illegal behavior, increase the incentives for good wildlife stewardship and decrease the costs of living with wildlife. Landscape level planning can help support protected areas management, reduce habitat loss and consequent loss of wildlife range and improve connectivity in the landscape. This requires prioritized land use planning to conserve connectivity for the species to survive, particularly critical for regions with very high human population densities and growing agricultural pressures. This, in turn, will help mitigate and reduce human-elephant conflicts on croplands. To increase the value of wildlife and associated ecosystem services, it will be important to provide opportunities for development through nature-based tourism and other agriculture, forestry and natural resources projects that provide direct benefits to local communities. To decrease the costs of living with wildlife the most successful experiences of human wildlife co-existence and successful reduction of conflicts will be used in designing the interventions.

42. Sub-component 1.1: To reduce poaching levels, interventions will be based on solid problem diagnosis, a well-articulated theory of change and supported by application of the ICCWC wildlife crime toolkit, broad and active stakeholder engagement, a focus on criminalizing kingpins rather than local communities, and best international practice across the prevention, detection, deterrence, and recovery agendas in law enforcement. This component on improving law enforcement will work primarily with government agencies and invest in five types of interventions: (i) developing good policies and laws that criminalize industrial poaching and strengthening the capacity to detect and prosecute criminals; (ii) building credible institutions and broad constituencies to act against wildlife crime (across Ministries of Environment, Natural Resources, Justice and Planning and also engaging communities and the private sector, for example); (iii) strengthening site-level surveillance and patrol efforts, through training and equipping rangers and developing monitoring and intelligence systems that involve communities and link to investments in managing human-wildlife conflict; (iv) supporting direct law enforcement efforts from crime scene to court house; and (v) developing anti-money laundering tools and techniques to increase the risk of asset seizure for criminal kingpins.

43. Sub-component 1.2: The second sub-component – enhancing community pathways away from poaching and to receive benefits from economic activities– will focus on a set of interventions and that promote the devolution of rights to use, manage and benefit from (and in some cases own) land and natural resources, providing economic incentives to participate in conservation and sustainable use rather than in illegal activities. This includes codifying community (co-) decision-making over natural resource and protected area management to ensure species are adequately guarded, relative to their commercial value, as the first step in reducing their perceived availability for theft. It may also include: (i) improving participation by all community members (including women, youth and socially marginalized groups) in governance structures and co-management arrangements, e.g. in communally owned land in the buffer zone of protected areas; (ii) supporting the enabling conditions for sustainable management of natural resources by local communities through the provision of technical advisory services and equipment to conduct community land zoning and natural resource mappings, (iii) facilitating negotiation between community structures and parks authorities to ensure a better share of revenue e.g. from sport hunting; (iv) involving communities in managing human-wildlife conflict, and in monitoring of wildlife and enforcement of sustainable off-take rates of resources, including legal hunting for community use and sale of meat, or live animal sales (where legal in terms of CITES) in buffer zones; and (v) developing public-private-community partnerships for tourism enterprise development such as lodges, and facilitating creation of small community-based enterprises servicing the industry, e.g. guiding and crafts.

44. Sub-component 1.3: This sub-component will base its investments in integrated landscape management and planning, implemented by government, private sector and local community actors to maintain healthy, functioning ecosystems that can support wildlife and wildlife-based economic activities, as well as providing downstream ecosystem services to communities. This includes protected areas and forest frontiers that are harboring the few remaining forest elephant populations and many other endangered species such as great apes, tigers, etc. Deforestation, especially when conducted illegally and in the absence of good forest management practices, is increasingly associated with elephant and other wildlife poaching. Illegal logging of valuable hardwoods and

unsustainable firewood collection for domestic use and the charcoal industry are contributing to widespread deforestation, land degradation, and loss of biodiversity. Unsustainable farming practices such as ‘slash-and-burn’ agriculture are contributing to land degradation, which in turn has had a significant economic impact, with reduced agricultural productivity from eroded and depleted soils. Unplanned clearing of natural vegetation in the landscapes surrounding protected areas, as well as uncontrolled fires, also contribute to greenhouse gas emission and diminish local resilience to the effects of climate change. Under this sub-component, interventions will include land use planning, protected management, improving forest management practices and protecting carbon stocks, carrying out forest restoration practices, using integrated land management practices and intensive conservation agriculture methods combined with improved access to markets for agricultural produce.

## **Component 2. Reduce Wildlife Trafficking**

45. The Program will complement existing efforts to reduce illegal wildlife trade, such as those mentioned earlier. In particular it will work with non-traditional stakeholders – including the private sector (i.e. private transport or custom companies), as well as customs and port authorities – to build a constituency primed to uptake the guidance from this Program and from the other initiatives. It will invest in breaking the trade and transportation links that enable the trafficking of illegal wildlife. Interventions will work across the trade chain, from where a species is first poached, to where it is finally laundered into markets, and will focus on (i) creating and/or strengthening the networks between countries and across agencies within countries to ensure the effective criminalization and prosecution of poaching, trafficking, trade and other forms of illegal wildlife crime; (ii) working with state enforcement agencies, trade and customs organizations to raise their interest in combating wildlife crime and to introduce techniques and tools for combating it; (iii) working with the private sector – both the transportation industry and the financing sector that underwrites it – to mobilize their expertise and interest in removing wildlife contraband from their transport chains and increasing the cost of capital to those transport companies who aid and abet illegal wildlife trade; and (iv) supporting technological and forensic advances – from DNA to spatial mapping – to improve the deterrence, detection and prosecution of wildlife crime along the entire value/trade chain. This component will leverage ICCWC and other relevant partners, and will contribute to developing and disseminating policies and regulations to ban real and virtual illegal markets and remove contraband from legal trade flows and increase public awareness of punitive deterrents to illegal wildlife consumption.

## **Component 3. Reduce Demand**

46. The Program will coordinate investments to reduce international demand for illegal wildlife products in key markets. Interventions will focus on (i) raising awareness about the costs and realities of wildlife crime to deter innocent and ignorant buying, especially of secondary products that may appear far removed from the slaughter killing (e.g. finished carvings, or art or ingredients in tonics and medicines); (ii) outreach in key markets to increase public understanding and visibility of the scale and impacts of illegal wildlife trade on biodiversity, livelihoods, human health, links to organized crime, and availability of sustainable alternatives, (iii) strengthened capacity of governments to deliver existing demand reduction commitments, (iv) increased legal deterrents for purchase and general public awareness of legal consequences and (v) changing the behavior of target consumer groups, based on understanding the motivations and drivers for purchase and use, and through social, cultural, political and other key opinion leaders and champions of change. These activities will be precisely targeted, evidence-based and be preceded by a sound analysis during the project preparation phase of what drives behavioral change in a particular cultural setting, and of global lessons from work attempting to reduce demand for other illegal products. In addition, during preparation, an assessment of ongoing initiatives by many NGOs and governments in demand reduction will be done to determine which initiatives become an integral part of the Program. Only three national projects (Vietnam, Thailand and Philippines) include small components to reduce the demand for illegal wildlife products. This small investment will not address the problem. The program partners continue to evaluate how they can best incorporate demand reduction strategies as part of their broader efforts. Also the donor coordination efforts (described in the next section) will discuss how to address this gap.

#### **Component 4: Knowledge, Policy Dialogue and Coordination**

47. The fourth component will focus on Knowledge, Policy Dialogue and Coordination. A global child project has been prepared by WBG/UNDP to implement this component. The goal of this child project is to combat wildlife crime by coordinating investments across the public and private sectors, accelerating learning and investing in direct action to disrupt trafficking infrastructure. The component will enhance the learning uptake from each child project and strengthen the evidence base to underpin more effective and informed policymaking and interventions on illegal wildlife trade. This component will coordinate and maintain extensive and continued stakeholder engagement at national and international level to support all components of the project and to strengthen the impact of national, regional and international processes committed to reducing wildlife crime. This will be done through the establishment of a formal consultative mechanism, the Program Steering Committee (discussed below). Some of the ideas proposed in this Program will require exchanges with other donors, NGOs and development agencies (EU, USAID, USFWS, WWF, AWF, ADB, AFD, IUCN, GRASP and others) that would be promoted through conferences or workshops. It will also strengthen stakeholder engagement and coordination to enable civil society, private sector and academia to have a greater voice in the collaborative management of wildlife and in community livelihood development. These shared investments will ensure lessons from individual project interventions from within and outside the Program will be shared widely to scale up successes and avoid failures and will support the national implementation of international agreements on wildlife crime.

48. Investments in knowledge generation and innovation at the global scale – including and especially in information and communications technology – will spawn results that will be cascaded down into each project. This will exploit economies of scale and ensure rapid and correct uptake of results. This component would be designed to complement the national projects and maximize the efficiency of the broader Program and to provide opportunities for south-south learning, foster intergovernmental cooperation, use M&E tools and geospatial services, apply best practices and peer review and develop portfolio-wide training and communication strategies.

49. This component is also designed to strengthen inter-institutional cooperation. For example it will leverage the work from ICCWC and its individual agencies. Many countries are applying the ICCWC diagnostic tool kit that will assess and reinforce the need for stronger cooperation among all involved in combating IWT. The global child project also builds on the large set of national child projects to provide a framework for international cooperation in combating IWT, through a specific focus on Reducing Maritime Trafficking between Africa and Asia, and on Disrupting Trafficking Infrastructure. This involves work to ensure effective coordination and learning between African and Asian countries and agencies involved in efforts to reduce maritime transport of illegal wildlife products, including through a potential “tusk-free ports’ self-regulation scheme. It also includes work to enhance the capacity of police and trade and customs authorities to prevent, deter and interdict wildlife crime, with transnational investigations of money laundering and smuggling operations, arrests and prosecutions of criminal networks including kingpin individuals.

50. Since the approval of the PFD in June 2015, the Program has carried out a series of activities including: (i) formally established the Steering Committee in New York in September 2015 and worked regularly with two task force on M&E and on Knowledge Management; ii) delivered an in-person knowledge exchange session that brought together 47 national project partners and technical specialists in Gland, Switzerland in January 2016 ; (iii) delivered three virtual knowledge management sessions with national project partners to discuss IWT-related topic areas; (iv) engaged with species specialists groups to share information on the program and explore potential collaboration opportunities; and (v) the World Bank has led several activities to enhance donor coordination.

51. Donor coordination was initiated in July 2015, when a donor roundtable on combatting illicit trafficking in wildlife was organized by CITES, the World Bank, UNEP, UNODC, and hosted by UNDP in New York. At this meeting, the World Bank agreed to coordinate an assessment of donor funding to combat IWT. This would be the first step in enhancing donor coordination. On January 14, 2016, at the CITES SC66 meeting in Geneva, the WB organized a second donor roundtable to present the terms of reference for the study and receive feedback. At this

meeting, agreement was reached on the title “Donor Portfolio Review of International Funding to Tackle IWT”, scope and timetable of the study. Details of the portfolio review, including the participating institutions, are described below. The purpose of the analysis is to map the donor space to assess the current state of international funding to tackle illicit trafficking in wildlife. This current state assessment will create a baseline the donor community can build upon, which in consultation with recipient countries, can help establish the future state for IWT financing. This strategic effort will help enhance donor collaboration and fill financing gaps for priority geographical/IWT intervention areas. The Bank launch officially the study on February 10, 2016 in a conference call that was attended by 28 donors. During the conference call, the GWP provided instruction and templates on how to standardize the data collection. Since then, the WB has completed an initial analysis of its own portfolio, and conducted individual interviews with key donors to collect and review their portfolios. Upon completion of the data collection and review, the Bank will analyze, enhance, and report on the donor portfolio. Presentations related to this analysis will occur during major international meetings (i.e. United National Environment Assembly in Nairobi, the CITES COP 17, and Vietnam IWT High Level Meeting).

52. The World Bank, as the Lead Agency has been in close communication with STAP, to improve provide technical input to the program. STAP support and advice to GWP has consisted of the following: 1) Provided feedback on the KM approach and priority learning topic areas for the program (October 2015). 2) Provided guidance on specific program technical areas, including concept for community engagement activities to support national project preparation efforts (February 2016). 3) Periodically shares technical resources and relevant articles with the GWP team. 4) Provided feedback on M&E framework and held subsequent discussions with GWP team. 5) Contributed ideas and a theory of change for outcome Indicators related to direct beneficiaries (Oct-Nov 2015). 6) Arranged for members of the GWP team to present the Program and interact with a long standing community of practice present at the African Rhino Specialist Group (AfRSG) meeting at Kruger National Park in February 2016. 7) Shared information on relevant meetings and workshops for GWP stakeholders to participate in (i.e. “Beyond Communities” workshop held in Cameroon in February 2016). 8) Gained access to the Box Site that the GWP uses to share information on the program with the Program Steering Committee (PSC) and national project partners. 9) Provided significant input in the upcoming Naivasha, Kenya event agenda (to be held in Nairobi, Kenya). 10) Delivered a presentation on engaging communities to combat IWT in March at a GWP virtual KM event.

#### **D) INCREMENTAL REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF AND CO-FINANCING.**

53. The Program will provide incremental funding across the suite of project interventions that builds on the newfound availability of funds to fight wildlife crime at the domestic level, as well as on financing from development assistance that focuses on supporting stronger NRM in pursuit of ending wildlife crime. Governments will provide substantial and significant co-financing in cash and in kind for the projects related to the proposed interventions (including investments in the Protected Area system, law enforcement on site and along the criminal value chain), upcoming loans from MDBs, contributions from the UN Agencies country programs, development agencies (i.e. GIZ, USAID), and grants from other donors, including commitments resulting from the EU's "Larger than elephants: Inputs for the design of an EU strategic approach to Wildlife Conservation in Africa", the Clinton Global Initiative, and the US National Strategy for Combating Wildlife Trafficking.

54. The Program will promote a shared vision for change in the supply, trafficking and demand chain and a common objective by the participating partners whose anticipated results are more than the sum of its components. This Program allows for levels of interconnectivity across countries that are using their GEF STAR allocations that could not be achieved through small, isolated projects. Thus, the individual investments can achieve large-scale impact. The Program can also enhance internal cohesion and coherence amongst the GEF investments across the GEF implementing agencies. Lessons learned can be shared and applied more readily via south-south exchanges. Finally, coordination and outreach with all the potential partners and collaborators can be achieved to bring more efficiency to the investments and avoid duplication of efforts.

55. This program will contribute to the achievements of the CBD Aichi 2020 Biodiversity targets, particularly 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”.

## **E) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING-UP**

56. Innovation: While there have been many projects and initiatives to protect single species (i.e. tigers, 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, but rather on the mechanisms and underlying enabling conditions that provide the opportunities for criminal activity. The GWP is a Multifocal Area Program, which brings together financial resources from BD, LD, CC and SFM in support of activities leading to the conservation of endangered species. This is the first time that the GEF engages with partners to address issues of trafficking and demand reduction. In addition, close collaboration with ICCWC members (i.e. CITES, INTERPOL, UNODC, WCO, and the WB) will align GWP activities with various strategic global and regional efforts.

57. Sustainability: This Program will innovate across technology, finance and governance pillars to reduce the cost of combating wildlife crime. Using a coordinated approach, the GEF agencies will work together and in collaboration with other key donors and interventions to shift the baseline for wildlife crime such that the risks will outweigh potential rewards, especially as the supply and demand are both reduced. Building good policies, strong legislation and the capacity to implement and strong institutions across the criminal chain and in source-transit-demand countries, will establish the enabling environment for preventing IWT. The long-term sustainability of improved NRM that underlies successful prevention and deterrence will rest in the hands of the National Governments, the agencies in charge of the management of these areas, the local communities the private companies and NGOs that have partnered with the latter. Securing alternative development pathways that rely on a resilient and healthy wildlife stock – such as tourism – and that benefits communities will also reduce the opportunistic elements associated with this crime. The project will seek to create stable situations on the ground where there is proper enforcement along with local communities engaged in wildlife activities (i.e. tourism, trophy hunting, etc.) that generate local benefits while generating global environmental benefits.

58. Potential for scaling-up: The Program will catalyze different innovations across its child projects that can be deployed at speed and scale across all sites. A particular focus on identifying consensus indicators to measure success and allow for causality to be established will allow for smarter investment going forward, which in turn can tap new streams of finance that are results based. The policy and coordination platforms will leverage investment going forward and ensure that future interventions can be more effective, accelerate delivery and results, and avoid mistakes. This important GEF-6 funding will set the stage for the possibility to expand the Program in GEF-7 to add new threatened species and geographies not currently included in the GWP.

**2. Stakeholders. Will program design include the participation of relevant stakeholders from and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in program design/preparation:**

59. This Program will build on a far-reaching network of stakeholders at the local, national, regional and international levels. At the national level, government commitment is key to the success and sustainability of the Program, as described above. As a result, the Program will provide a platform to magnify its interventions across all branches of government including the Executive, the Legislative, the Judiciary and Ministries of Justice, Finance, Tourism, Defense, Planning and Natural Resource Management, to name just a few. Working with law enforcement and protected area agencies with jurisdiction over the species and their habitats, rural communities dependent on natural resources for their livelihoods, the transportation networks illegal wildlife travels within, the borders it crosses and the court systems the criminals are brought before, is critical.

60. Given the role of the private sector (often unwittingly) providing the means by which contraband is trafficked, their engagement is also critical to the success of the Program. So too is raising awareness among the financing sector who enables the transportation industry to thrive. Moreover, the Program will actively engage with other private sector actors, particularly in the tourism sector, to make links between the importance of thriving, live animals for their success and the role of rural communities in wildlife management (in the case of tourism).

61. The Program will also provide a single-platform to feed innovations and policy developed under its child projects into the myriad regional and global bodies working on wildlife crime, and to transfer knowledge from these bodies to the child projects. In particular, the Program will work closely with ICCWC and its constituent partners (UNODC, Interpol, CITES Secretariat, WCO and WBG), as well as United Nations agencies tackling illegal wildlife trade and the EU and US partners working to combat wildlife crime. For example, through the donor coordination activities, the GWP will explore collaboration opportunities related to the EU “Larger than Elephants” strategic approach to wildlife conservation in Africa. In addition, it will also explore collaboration opportunities as the US agencies leading the Presidential Task Force implement their plan to combat wildlife trafficking that is linked to the “National Strategy for Combating Wildlife Trafficking”.

62. Many of the national projects will also work closely with community-based organizations and local communities, who are invested in the sustainable management of biodiversity, including wildlife, and the income and job opportunities that it provides. This engagement will go beyond consultation to actively involve communities in the design and implementation of child projects and in the learning across the Program. Special attention will be given to ensure the participation of indigenous people at the site level.

63. The Program will also work with national and international non-governmental organizations (NGOs) and private actors who will be a key part of the delivery of Program activities. These entities include traditional environmental and conservation organizations, tourism entities, business leaders, religious leader, celebrities, marketing firms and advocacy organizations with established expertise in wildlife management, community development, and deterring wildlife crime.

**3. Gender Consideration. Are gender considerations taken into account? (yes  /no  ). If yes, briefly describe how gender considerations will be mainstreamed into program preparation, taking into account the differences, needs, roles and priorities of men and women.**

64. The Program will focus on gender in two areas: firstly, in developing the pathways out of poaching for local communities. In particular, the focus on tourism enhances job opportunities for women. Tourism relies on charismatic species to attract visitors and so is one among several important antidotes to poaching. Moreover, it employs a large segment of the services sector across poor countries, whose ranks are largely peopled by women. Secondly, the Program will work with women and women’s groups to reduce the demand for wildlife. Many wildlife products are used in the health sector, as spurious catchall cures. As women are the primary procurers and managers of family healthcare across the developing world, they are an integral constituency to convince in order to reduce demand. The Program will monitor the impact of economic and other incentives and changes in governance on women

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

65. This Program focuses on disrupting wildlife crime across the supply-transit-demand nexus. Doing this will have immediate and longer term socio-economic benefits for local communities, local and national revenues, and international trade. Combating wildlife crime saves species but it also curbs corruption. This directly benefits local people often kept poor by the bevy of corrupt practices that forestall development and progress. Moreover, combating wildlife crime reduces insecurity and crime in rural areas and creates the infrastructure for effective law enforcement

that can spill over from wildlife crime to other crimes that affect rural communities. It will also ensure species and their habitats are better managed and more resilient, thus creating the conditions for communities to continue to use nature as a social safety net, particularly as climate change uncertainty exacerbates already tenuous lives.

66. Local and national treasuries benefit in two ways: first, increased revenues from legal trade in natural resources are assured as the risk of contraband entering trade chains is reduced, and legal businesses that benefit from reduced corruption and a better and safer business environment, can provide improved tax revenues. Governments and communities can also legally exploit natural resources in a sustainable way rather than simply watch as that asset is strip-mined, robbed and ruined.

67. International trade benefits from removing illegal contraband from trade flows, which in turn reduces the cost of surveillance and detection. Removing contraband also speeds up trade flows and reduces the risk of shipments being seized or stopped at borders when legal goods as well as contraband can be held up indefinitely.

68. The Program is designed to provide support to local communities living in rural areas where endangered wildlife lives. The program will provide benefits to these local communities through capacity building, trainings, equipment, jobs, revenue and income, products such as sustainably harvested meat, income, meat, wildlife conflict measures, etc.). These benefits will be generated at the local and community level from wildlife management, sustainable livelihoods and economic development (i.e. tourism and other natural resources management and conservation activities).

**5. *Risks.* Indicate risks, including climate change risks, potential social and environmental future risks that might prevent the program objectives from being achieved, and if possible, propose measures that address these risks to be further developed during the program design:**

69. Stakeholder risk: A myriad of government agencies are involved in combating wildlife crime. In many countries, many of these agencies have low capacity and/or suffer from corruption. To mitigate this risk, the Program will work to build credible institutions with transparent and inclusive governance oversight to implement wildlife laws. It will also involve local communities in decision-making to mitigate against elite capture or corruption.

70. Coordination: Outside of government agencies, there are approximately 80 partners working towards improving wildlife conservation and preventing wildlife crime. Likewise, many more organizations are working to help communities living with wildlife improve their livelihoods. All the groups have different approaches and focus on what are the best options to address the problems mentioned in this Program. The Program recognizes that there is a risk that without effective coordination and communications amongst these entities, there is the potential for overlap or ineffective use of limited resources. The donor coordination effort described in the global coordinating grant, the various global and regional KM activities (including interaction with various technical groups), and the stakeholder coordination efforts that will be done at the national project level will help mitigate this risk. In addition, the online knowledge platforms that will support the KM activities will also support information sharing and dissemination of project activities, lessons learned, and key contacts in the countries and regions.

71. Social safeguards: The issue of reducing wildlife poaching and illegal trafficking will require interventions that strengthen the capacity of governments to enforce the laws and pursue individuals that break the law. Experience has shown that there is a risk that anti-poaching operations can be handled poorly by enforcement agents in the countries, resulting in human right abuses. The Program recognizes this risk, however all the GEF agencies that will serve as implementing agencies have social safeguards policies that would preclude this from occurring in the context of a GEF project.

72. Design risk: The problem of reducing wildlife poaching, and illegal trade and demand for endangered wildlife products is very complex. The involvement of militia and highly organized crime result in serious cases of heavily armed men killing or terrorizing communities and park guards, in highly sophisticated smuggling and use of

corruption and money laundering for the ivory trade. The involvement of corrupt park rangers and law enforcement officials, as well as of political elites is becoming more apparent as actions are being taken on the ground. . The lack of international coordination and data exchange between Law Enforcement agencies is also an obstacle to a successful program design. While many groups such as the UN Office of Drugs and Crime, the World Customs Organization, the CITES Secretariat and Interpol will be involved in project execution in some manner, coming up with a design that can tackle such a large threat without introducing added terror will be challenging. Addressing the demand of illegal wildlife products is a complex task as there is a tremendous complexity in the drivers of demand and the cultural differences of consumer behavior. The project is being designed using the best intelligence and experience to date to address this risk and will be very explicit about all the risk in the final design. By taking an analytical approach to diagnosing specific problems, and, by building constituencies and co-designing custom solutions, this risk is minimized.

73. Climate Change risk: Climate change is a risk that can affect produce drastic changes to ecosystems, habitats, water availability, producing epidemics, etc... Both, the species that are being address might drop down to unviable population densities. In addition, communities dependent on the land and other resources might suffer adverse climate change conditions putting them in even more extreme levels of poverty. The program plans to address this risk by supporting a landscape planning tools to design interventions that are climate-proof. In addition, some of the child projects will be co-financed by climate change funding from the FCPF, REDD, FIP and Biocarbon fund and receive valuable technical capacity to mitigate the climate change risks.

74. The overall rating is Substantial. The complexity of the problem and coordinating key partners and at the same time delivering effective results in a timely manner makes the overall risk substantial. Lowering this risk will require that this program defines activities and interventions that can, in fact, be implemented on relatively short timeframes as well as very clear and concrete indicators that can be monitored easily. During preparation, the monitoring tools and timeliness of the reports will be fully designed with engagement from all partners. The project's success will depend on the level of leadership that the Bank can show and the incorporation of the opinion of experts as well as the political commitment by national governments. There will not be this level of funding to combat wildlife crime in many years to come. This is the opportunity to make the difference.

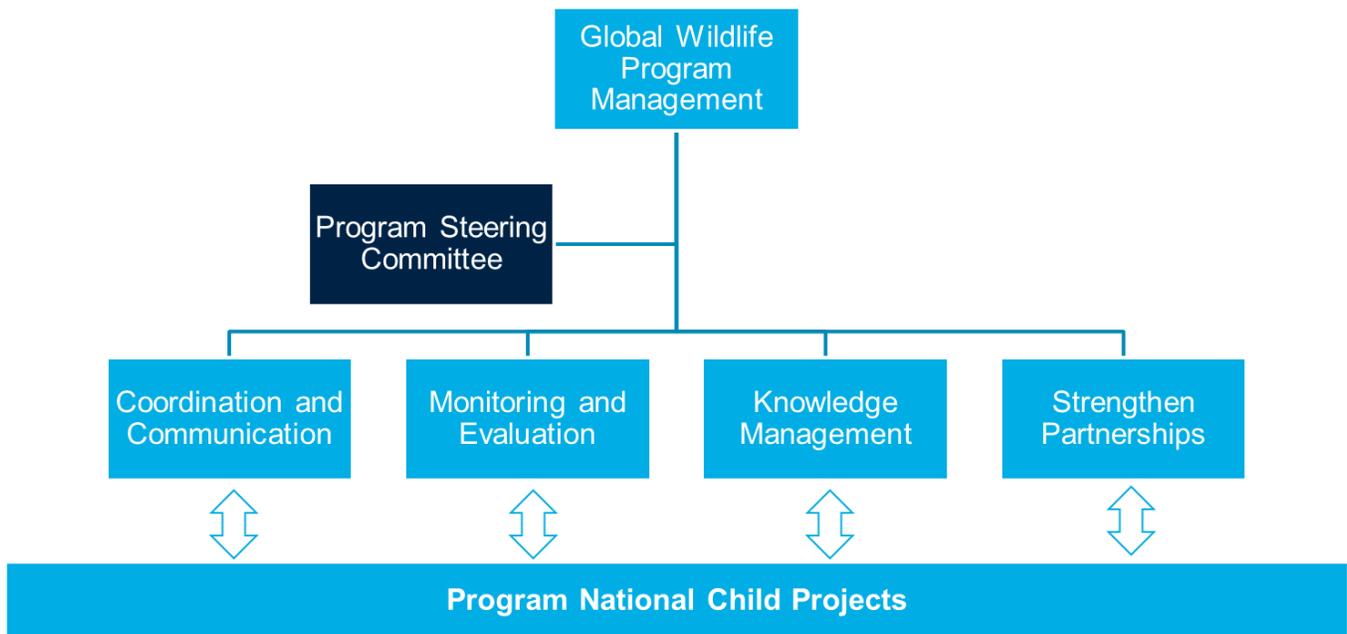
**6. Coordination. Outline the institutional structure of the program including monitoring and evaluation coordination at the program level. Describe possible coordination with other relevant GEF-financed projects and other initiatives.**

75. In pursuit of meeting the aims of the GEF Council document "IMPROVING THE GEF PROJECT CYCLE" (GEF/C.47/07), a lead agency has been appointed that will "ensure coherence of the Program and will be responsible for coordinating all aspects of the Program implementation". The Lead Agency – the World Bank Group – will thus play a close coordination and liaison role with any additional participating Agencies and the GEF Secretariat for the Program. The Lead Agency will also be responsible for all enquiries regarding Program implementation progress and Program-level reporting, mid-term evaluation, final Program completion and the achievement of Program-level higher impact on the global environment. The Lead Agency will be in charge of coordinating activities with on-going GEF projects related to Program 3, and with investments and initiatives funded by other donors. The lead agency in close communication with the other agencies will make use of the Coordination Grant to accompany this PFD, to invest financial and technical resources in achieving coordination and exchange of experiences, especially when there is more than one country-based project and when regional and global activities complement the investments at the national level.

76. A Program Steering Committee (PSC), chaired by the World Bank as lead agency and comprising the Global Environmental Facility Secretariat and relevant Implementing/Project Agencies (UNDP, UNEP, IUCN, WWF, ADB), and key partners who are leaders in the field (CITES, TRAFFIC, WCS, and WildAid). The PSC was established in September 2015 as an advisory mechanism to maximize synergies and support the successful design and implementation of the Program. The main role of the PSC is to provide a coordination forum and a monitoring

platform during the preparation and implementation phases of the Program. It will also provide an overall, high-level, coordination of the technical alignment and synergy between the Program's components. It will meet virtually every quarter to track progress and provide opportunities for cross-fertilization. It will meet face-to-face once a year in a different project site to increase uptake of lessons and build synergies. Members of the PSC participated and played an active role in the Gland knowledge exchange event held in January 2016. PSC members also participated in task force activities to contribute to enhancements to the results framework and KM planning to priority virtual learning opportunities. The PSC will play an important role in ensuring that the child projects align with the Program's objectives, theory of change, and leverage opportunities to enhance capacity and project quality. **Annex 2 of the global coordinating project** includes the terms of reference (TOR) for the PSC.

**Figure 2: Organizational Diagram for the Global Wildlife Program**



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

77. The Program will apply a multi-pronged approach to knowledge management, as follows:
- A focus on testing approaches against clear impact criteria and a well-defined and agreed theory of change. This will involve building infrastructure upstream during project design to capture lessons across the portfolio and ensure take-up. The best initiatives will be scaled up.
  - A focus on collating lessons across the Program. This will involve capturing lessons across the portfolio through formal knowledge management platforms that will occur annually and will include representatives from each child project, and producing knowledge management products that will be disseminated through formal (e.g. Program website) and informal (e.g. at international fora on environment, crime, etc.) channels.
  - A focus on learning lessons from outside the Program. This will involve working with external partners to capture their lessons, creating the infrastructure to feed these lessons into project design and implementation, and incentivizing child projects to replicate and scale up best practice.

78. Since the approval of the Program in June 2015, the GWP has already organized various knowledge management activities, including virtual and in-person sessions. The table below highlights the KM activities conducted thus far and planned for the remainder of 2016

Activity	Location	Timeline
1. Knowledge Exchange to Combat Wildlife Crime – Program overview and introduction to M&E framework	Gland, Switzerland	January 2016 (completed)
2. Site-based Law Enforcement Management (LEM)	Virtual Meeting (KM)	February 2016 (completed)
3. Livelihoods and Conservation - The role of communities in combatting IWT	Virtual Meeting (KM)	March 2016
4. Enhance Legislative and Justice Systems	Virtual Meeting (KM)	April 2016
5. Coordination, Reporting, and M&E	Kenya (before/during UNEA) (In person/ virtual TBC)	May 2016
6. Guided Enforcement	Virtual Meeting (KM)	June 2016
7. Intelligence System Assessments	Virtual Meeting (KM)	July 2016
8. Anti-Trafficking Tools	Virtual Meeting (KM)	August 2016
9. Anti-corruption Strategies and Approaches	USA (before/during IUCN World Conservation Congress) (In person/ virtual TBC)	September 2016
10. Integrated landscape management practices	South Africa (CITES COP17) (In person/ virtual TBC)	October 2016
11. Demand Reduction Strategies and Tools	Vietnam (IWT Summit) (In person/ virtual TBC)	November 2016
12. Financial Management/Fundraising/Communications/Marketing	Virtual Meeting (KM)	December 2016

**8. National Priorities. Is the program consistent with the National strategies and plans or reports and assessments under relevant conventions? (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, NBSAPs, ASGM NAPs, MIAs, NCs, TNAs, NCSA, NIPs, PRSPs, NPFE, BURs, etc.**

79. This Program, open to GEF eligible countries and parties to the Convention of Biological Diversity, will contribute to achieving Target 12 of the Aichi Biodiversity Targets: “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.” Many countries participating in this Program have identified poaching and the illegal wildlife trade as a significant threat in their National Biodiversity Strategies (NBSAPs).

80. Indeed, the African elephant range States have already committed to address poaching and the illegal wildlife trade at the highest level of government in the “African Elephant Action Plan,” signed at the 15th meeting of the Conference of the Parties to CITES in 2010 to include Angola, Benin, Botswana, Burkina Faso, Cameroon, Central African Republic, Chad, Republic of Congo, The Democratic Republic of the Congo, Cote d’Ivoire, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Ghana, Guinea, Guinea-Bissau, Kenya, Liberia, Malawi, Mali, Mozambique, Namibia, Niger, Nigeria, Rwanda, Senegal, Sierra Leone, Somalia, South Africa, Sudan, Swaziland, United Republic of Tanzania, Togo, Uganda, Zambia, and Zimbabwe. Some governments have re-iterated their commitment in other international meetings and declarations including the 14 Urgent Measures agreed at the African Elephant Summit in Botswana in 2013; the “Elephant Protection Initiative” signed in London in 2014 to include Botswana, Chad, Ethiopia, Gabon, and Tanzania; the Gaborone Declaration to include Botswana, Niger, Somalia, Uganda, Zambia, and Zimbabwe and; the Yaounde Declaration to include Cameroon, Central African Republic, Chad, Congo, Democratic Republic of Congo, Equatorial New Guinea, and Gabon among others.

81. Governments have also committed to address the crisis in other species, including tigers (The St. Petersburg Tiger Declaration on Tiger Conservation, signed in November 2010), Asian Rhinos (Sumatran Rhino Crisis Summit, 2013 and the Bandar Lampung Declaration, 2013), and the Snow Leopard (The Bishkek Declaration on the Conservation of the Snow Leopard, 2013). The Program will reinforce the commitment of each of the participant countries to implement global, regional, and national frameworks, such as the Africa Union’s New Partnership for Africa’s Development’s Environment Action Plan (EAP), the Comprehensive African Agricultural Development Program (CAADP), and the United Nations Framework Convention on Climate Change (UNFCCC). The Program is also consistent with the Convention on the International Trade in Endangered Species of Flora and Fauna (CITES), an international agreement to ensure that the international trade in specimens of wild plants and animals does not threaten their survival.

82. The Program will strengthen the implementation of existing continental frameworks and plans addressing wildlife crime from the supply side to consistently work with the findings of ICCWC’s Wildlife and Forest Crime Analytic Toolkit, which has been applied in several range countries or is in the process of application in other participating countries. The results of the toolkit include comprehensive recommendations towards building capacity at the local and national level for all major governmental stakeholders involved with addressing wildlife crime issues.

83. At the regional level, the Program will also consider the regional sectoral policies and strategies. For example, activities surrounding regional and global conferences which have outlined high-level government support for a strategic approach to wildlife crime will be included in the Program, for example, events such as the International Conservation Caucus Foundation’s conference surrounding regional support and collaboration to reducing wildlife crime.

84. Country-level projects will also be in line with strategies and priority activities and needs identified in country-driven exercises such as action plans related to the Elephant Protection Initiative. For example, in Gabon, a new roadmap highlights the three pillars, ‘Gabon Industriel,’ ‘Gabon Vert,’ and ‘Gabon des Services,’ to turn Gabon into an emerging green economy which includes the institutionalization of sustainable forest management to transform Gabon into a global leader for certified tropical timber production.

**9. Child Selection Criteria. Outline the criteria used or to be used for child project selection and the contribution of each child projects to program impact.**

85. The criteria used for child project followed: A global coordinating project to focus on learning and providing a leadership platform to affect policy in areas critical to combating wildlife crime, such as trade and facilitation, and

anti-corruption. Country-based and regional projects focused on designing and implementing national strategies and approaches to improve wildlife and protected area management, enhance community livelihood benefits, reduce poaching, and curtail illegal wildlife trade and reduce demand. Individual country projects may address a single component or include activities that address more than one.

- Each child project will secure significant co-financing from Governments to apply the GEF incremental funding as a nudge to their investments towards disallowing wildlife crime. Co-financing will also include all grants and investments made by other donors, including bilateral, foundations, NGOs and CSOs that together strengthen the effectiveness, breadth and sustainability of the GEF investment.
- Each child project will agree to partake in sharing lessons and testing approaches for replication based on learning in other projects.
- Each IA will work through the PSC to share lessons and coordinate reporting.
- Each child project will apply indicators from an agreed suite of indicators against which the Program will be measured as a whole. Child projects will include explicit linkages to the Program’s theory of change.
- Child project will be submitted on a rolling basis and approved at each GEF council meeting with a revised PDF.
- The first group of Child Projects included 12 projects: Botswana, Cameroon, Congo (2), Ethiopia, Gabon, Global Coordinating, India, Indonesia, Mozambique, Tanzania and Zambia.
- The second group of Child Projects include nine proposed projects: Afghanistan, Kenya, Malawi, Mali, Philippines, South Africa, Thailand, Vietnam, and Zimbabwe.

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

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the Operational Focal Point endorsement letter with this template).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
1. Justin Nantchou Ngoko	Operational Focal Point - Director Ministry of Environment and Nature Protection MINEP - YAOUNDE	MINISTRY OF ENVIRONMENT, PROTECTION OR NATURE AND SUSTAINABLE DEVELOPMENT - CAMEROON	02/27/2015
2. Mr. Godwin Fishan Giondwe	Director/GEF Operational Focal Point Environment and Natural Resources Management Department for/ Permanent Secretary	MINISTRY OF LANDS, NATURAL RESOURCES AND ENVIRONMENTAL PROTECTION - ZAMBIA	03/05/2015
3. Ms. Marília Telma António Manjate	GEF Operational Focal Point	MINISTRY OF LAND, THE ENVIRONMENT AND RURAL DEVELOPMENT - MOZAMBIQUE	03/05/2015
4. Benjamin DZABA-BOUNGOU	Director General of the Environment	MINISTERE DU TOURISME ET DE L'ENVIRONNEMENT – CONGO REPUBLIC	03/10/2015 <sup>19</sup>
5. Khulekani Mpofu	Chief Natural Resources Officer / GEF Operational Focal point	MINISTRY OF ENVIRONMENT, WILDLIFE AND TOURISM – DEPARTMENT OF ENVIRONMENTAL AFFAIRS - BOTSWANA	03/12/2015

<sup>19</sup> Endorsement for the Project "Integrated and Transboundary Conservation of Biodiversity in the Basins in the Republic of Congo" –UNDP.

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
6. Ghirmawit Haile	GEF Operational Focal Point, Director, Strategic Planning and Resource Mobilization Directorate	MINISTRY OF ENVIRONMENT AND FOREST - ETHIOPIA	03/12/2015
7. Susheel Kumar	GEF Operational Focal Point, Additional Secretary	MINISTRY OF ENVIRONMENT, FORESTS AND CLIMATE CHANGE – INDIA	03/17/2015
8. Tuti Hendrawati	GEF Operational Focal Point, Assistant Advisor to the Minister on Law and Institutional Relations	MINISTRY OF ENVIRONMENT - INDONESIA	03/18/2015
9. Mr. Louis Leandre EBOBOLA TSIBAH	GEF Operational Focal Point, General Director of Environment and Nature Protection	MINISTERE DE LA FORET, DE L'ENVIRONNEMENT ET DE LA PROTECTION DES RESSOURCES NATURELLES - GABON	03/26/2015
10. Benjamin Dzaba-Boungou	GEF Operational Focal Point, Director General of Environment	MINISTRY OF TOURISM AND ENVIRONMENT - CONGO	04/02/2015 <sup>20</sup>
11. Julius Ning'u	GEF Operational Focal Point. Director of Environment Vice President's Office (For Permanent Secretary)	VICE PRESIDENT'S OFFICE - TANZANIA	04/20/2015
12. Richard Lesiyampe	Principal Secretary/GEF Operational Focal Point	MINISTRY OF ENVIRONMENT, WATER AND NATURAL RESOURCES - KENYA	07/28/2015
13. Shamiso Nandi Najira	GEF Operational Focal Point, Assistant Director for Environmental Affairs	ENVIRONMENTAL AFFAIRS DEPARTMENT - MALAWI	10/23/2015
14. Issa Fahiri KONE	GEF Operational Focal Point,	DEPARTMENT OF ENVIRONMENT SANITATION AND SUSTAINABLE DEVELOPMENT – REPUBLIC OF MALI	10/8/2015
15. Atty Analiza Rebuelta-THE	Undersecretary Chief of Staff GEF Operational Focal Point	DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES – REPUBLIC OF THE PHILIPPINES	10/30/2015
16. Zaheer Fakir	GEF Operational Focal Point	DEPARTMENT ENVIRONMENTAL AFFAIRS – REPUBLIC OF SOUTH AFRICA	10/27/2015
17. Dr. Kasemsun Chinnavaso	Permanent Secretary, Thailand GEF Operational Focal Point	MINISTRY OF NATURAL RESOURCES AND ENVIRONMENT - THAILAND	07/23/2015
18. Dr. Do Nam Thang	Deputy Director General of Department of International Cooperation, Ministry of Natural Resources and Environment	MINISTRY OF NATURAL RESOURCES AND ENVIRONMENT – SOCIALIST REPUBLIC OF VIETNAM	10/23/2015
19. I.D. Kunene	GEF Operational Focal Point	MINISTRY OF ENVIRONMENT WATER AND CLIMATE - ZIMBABWE	10/15/2015 <sup>B</sup>
20. Mostapha Zaher	Director General a.i.	National Environment Protection Agency, Member of Cabinet, GEF OFP	02/28/2016

## B. GEF AGENCY (ies) Certification

This request has been prepared in accordance with GEF policies<sup>21</sup> and procedures and meets the GEF criteria for program identification and preparation.

<sup>20</sup> Endorsement for “Strengthening the management of wildlife populations and improve livelihoods in northern Republic of Congo” –WB

<sup>21</sup> GEF policies encompass all GEF managed trust funds, namely: GEFTF, LDCF, and SCCF

Agency Coordinator, Agency name	Signature	DATE (mm/dd/yyyy)	Program Person	Telephone	Email Address
Karin Shepardson GEF Agency Executive Coordinator		03/30/2015	Paola Agostini	202-473- 7620	<a href="mailto:pagostini@worldbank.org">pagostini@worldbank.org</a>

**C. ADDITIONAL GEF PROJECT AGENCY CERTIFICATION** (*Applicable Only to newly accredited GEF Project Agencies*)

For newly accredited GEF Project Agencies, please download and fill up the required **GEF Project Agency Certification of Ceiling Information Template** to be attached as an annex to the PFD.

**PART IV: LIST OF ANNEXES (click on page number to go to bookmarked section)**

- Annex A: List Of Child Projects Under The Program Framework Page 45
- Annex B: Recent Wildlife Crime Prevention Work by Selected Institutions Page 46
- Annex C: Program Baseline Page 49
- Annex D: Child Project Concept Notes (Listed In Alphabetical Order):

<b>Child Project Name</b>	<b>Reference</b>
1. <b>Afghanistan:</b> Conservation of snow leopards and their critical ecosystem in Afghanistan	Page 64
2. <b>Botswana:</b> Managing the human-wildlife interface to sustain the flow of agro-ecosystem services and prevent illegal wildlife trafficking and in the Kgalagadi and Ghanzi drylands	Page 8585
3. <b>Cameroon:</b> Integrated and transboundary conservation of biodiversity in the basins of the Republic of Cameroon	Page 103 103
4. <b>Congo:</b> Strengthening the management of wildlife and improving livelihoods in northern Republic of Congo (WB)	Page 115
5. <b>Congo:</b> Integrated and transboundary conservation of biodiversity in the basins of the Republic of Congo (UNDP)	Page 127
6. <b>Ethiopia:</b> Enhanced management and enforcement of Ethiopia's protected areas estate	Page 138
7. <b>Gabon:</b> Wildlife and human-elephant conflicts management in Gabon	Page 154
8. <b>Global:</b> Coordinate action and learning to combat wildlife crime	Page 163
9. <b>India:</b> securing livelihoods, conservation, sustainable use and restoration of high range Himalayan ecosystems (secure-Himalayas)	Page 204204
10. <b>Indonesia:</b> Combatting illegal and unsustainable trade in endangered species in Indonesia	Page 223
11. <b>Kenya:</b> Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach	Page 233
12. <b>Malawi:</b> Strengthening Landscape Connectivity and Management to Improve Livelihoods and Conserve Key Biodiversity Areas in Malawi	Page 246
13. <b>Mali:</b> Community-based natural resource management that resolves conflict, improved livelihoods and restores ecosystems throughout the elephant range	Page 257
14. <b>Mozambique:</b> Strengthening the conservation of globally threatened species in Mozambique through improving biodiversity enforcement and expanding community conservancies around protected areas	Page 269
15. <b>Philippines:</b> Combating Environmental Organized Crime in the Philippines	Page 286
16. <b>South Africa:</b> Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa	Page 299
17. <b>Tanzania:</b> Combating poaching and the illegal wildlife trade in Tanzania through an integrated approach	Page 315
18. <b>Thailand:</b> Combatting Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand	Page 327
19. <b>Vietnam:</b> Strengthening partnerships to protect globally significant endangered species in Vietnam	Page 336
20. <b>Zambia:</b> Integrated forest and sustainable land management program	Page 357
21. <b>Zimbabwe:</b> Strengthening Biodiversity and Ecosystems Management and Climate-Smart Landscapes in the Mid to Lower Zambezi Region of Zimbabwe	Page 364

## ANNEX A: LIST OF CHILD PROJECTS UNDER THE PROGRAM FRAMEWORK

<u>Country</u>	<u>Project Title</u> <u>FSPs</u>	<u>GEF Agency</u>	<u>TOTAL</u> <u>Project</u>	<u>Agency Fee (\$)</u>	<u>Total (\$)</u>
1. Afghanistan FSP	Conservation of snow leopards and their critical ecosystem in Afghanistan	UNDP	2,704,862	243,438	2,948,300
2. Botswana FSP	Managing the human-wildlife interface to sustain the flow of agro-ecosystem services and prevent illegal wildlife trafficking and in the Kgalagadi and Ghanzi Drylands	UNDP	5,996,788	539,711	6,536,500
3. Cameroon FSP	Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Cameroon	UNDP	3,907,500	351,675	4,259,175
4. Congo Rep FSP	Strengthening the management of wildlife and improving livelihoods in northern Republic of Congo	WB	6,585,530	592,698	7,178,228
5. Congo Rep FSP	Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Congo	UNDP	3,125,250	281,273	3,406,523
6. Ethiopia FSP	Enhanced Management and Enforcement of Ethiopia's Protected Areas Estate	UNDP	7,294,495	656,505	7,951,000
7. Gabon FSP	Wildlife and human-elephant conflicts management in Gabon	WB	9,330,275	839,725	10,170,000
8. Global FSP	Coordinate action and learning to combat wildlife crime	World Bank, UNDP (fees split)	7,000,000	630,000	7,630,000
9. India FSP	Securing livelihoods, conservation, sustainable use and restoration of high range Himalayan Ecosystems (SECURE-Himalayas)	UNDP	11,544,192	1,038,977	12,583,169
10. Indonesia FSP	Combating illegal and unsustainable trade in endangered species in Indonesia	UNDP	6,988,853	628,997	7,617,850
11. Kenya FSP	Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach	UNDP	3,826,605	344,394	4,171,000

<u>Country</u>	<u>Project Title</u> <u>FSPs</u>	<u>GEF Agency</u>	<u>TOTAL</u> <u>Project</u>	<u>Agency Fee (\$)</u>	<u>Total (\$)</u>
12. Malawi FSP	Strengthening Landscape Connectivity and Management to Improve Livelihoods and Conserve Wildlife for Key Biodiversity Areas in Malawi	WB	5,587,156	502,844	6,090,000
13. Mali FSP	Conservation of the Mali elephants in the Gourma region and selected conversation areas with the participation of the local communities	UNDP	4,116,056	370,444	4,486,500
14. Mozambique FSP	Strengthening the conservation of globally threatened species in Mozambique through improving biodiversity enforcement and expanding community conservancies around protected areas	UNDP	15,750,000	1,417,500	17,167,500
15. Philippines FSP	Combating Environmental Organized Crime in the Philippines	AsDB	1,834,862	165,138	2,000,000
16. South Africa FSP	Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa	UNEP	4,886,009	439,741	5,325,750
17. Tanzania FSP	Combating poaching and the illegal wildlife trade in Tanzania through an integrated approach	UNDP	5,354,587	481,913	5,836,500
18. Thailand FSP	Combatting Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand	UNDP	4,018,440	361,660	4,380,100
19. Vietnam FSP	Strengthening partnerships to protect globally significant endangered species in Vietnam	WB	3,000,000	270,000	3,270,000
20. Zambia FSP	Integrated Forest and Sustainable Land Management Program (ZIFL-P)	WB	8,050,458	724,542	8,775,000
21. Zimbabwe FSP	Strengthening Biodiversity and Ecosystems Management and Climate-Smart Landscapes in the Mid to Lower Zambezi Region of Zimbabwe	UNDP	10,025,964	902,337	10,928,300
	<b>Total</b>		<b>130,927,882</b>	<b>11,783,512</b>	<b>142,711,394</b>

a/ Total amount of child project concepts should equal the GEF program financing requested and consistent with Tables A, B and D. Child projects highlighted in blue represent the second group of projects submitted to GEF in November 2015.

### **ANNEX B - Recent Wildlife Crime Prevention Work by Selected Institutions:**

In the past three years, various institutions highlighted the surge in environmental crime and particularly illegal trade in wildlife, as follows:

CITES is the principal international instrument for ensuring that international trade in specimens of wild animals and plants does not threaten their survival (UN ECOSOC; UNEA; UN CCPCJ). CITES' important role was also recognized by Heads of State and government in the outcomes document of Rio+20, *The Future We Want* (para 203). CITES provides the international legal framework for regulating international trade in wildlife, and trade in wildlife that contravenes the provisions of CITES is illegal. This is the case for elephant ivory and rhino horn, where commercial trade of both ivory and horn is prohibited by CITES. CITES has adopted key decisions on trade in elephant ivory and rhino horn, including the development of National Ivory Action Plans by the 19 countries most affected by the illegal trade, and CITES manages the program for the monitoring and analysis of the illegal killing of elephants and illegal trade in ivory, being MIKE and ETIS respectively. With its resolution 2012/19 the UN Economic and Social Council highlighted the importance of addressing violations against the environment and aimed to enhance international cooperation in combating transnational organized crime in all its forms and manifestations, which urges Member States to consider addressing transnational organized crimes that have a significant impact on the environment, including trafficking in endangered species of wild fauna and flora.

In April 2013 UNODC's Commission on Crime Prevention and Criminal Justice adopted a resolution on wildlife crime urging its seriousness and calling for increased international cooperation.

Wildlife crime has been linked to money laundering by criminal mafias. Many organizations (i.e. UNODC, WBG, and others) are using financial investigation and anti-money laundering techniques to tackle transnational organized crime involved in the trafficking of protected wild fauna and flora as well as to design specialized training programs.

The World Congress of Chief Justices, Attorneys General and Auditors General on environmental sustainability and related questions of justice, governance and rule of law, organized by UNEP and held in June 2012, brought together for the first time in history the three key groups of national stakeholders. In the outcome document, the Rio+20 Declaration on Justice, Governance and Law for Environmental Sustainability, they declared their unified commitment to cooperate to build and support the capacity of courts and tribunals as well as prosecutors, auditors and other related stakeholders at national, sub-regional and regional levels to implement environmental law, further the 'environmental rule of law' in general and to facilitate exchanges of best practices in order to achieve environmental sustainability.

Almost simultaneously to the World Congress the UN Conference on Sustainable Development was conducted in Rio de Janeiro and agreed on the outcome document "The Future We Want" which states in paragraph 203: "We recognize the economic, social and environmental impacts of illicit trafficking in wildlife, where firm and strengthened action needs to be taken on both the supply and demand sides. In this regard, we emphasize the importance of effective international cooperation among relevant multilateral environmental agreements and international organizations."

The decisions and resolutions above are underpinned and bolstered by the Resolution of the UN General Assembly on the Rule of Law (A/RES/67/1) adopted in September 2012 in which Heads of State and Government underlined the importance of fair, stable and predictable legal frameworks for generating inclusive, sustainable and equitable development and maintaining peace and security. They also pointed out the strong linkages between sustainable development and the rule of law, such as the negative effects of transnational organized crime, including environmental crime.

Through the GC Decision GC 27/9 on advancing justice, governance and law for environmental sustainability adopted at the 27th and first universal session of UNEP's Governing Council in February 2013 Governments emphasized that violations against the environment, in particular trafficking in hazardous waste, wildlife and illegal timber, are increasingly committed by organized criminal groups and recalled international cooperation at all levels in accordance with international law while respecting national jurisdictions contributes to combating those offenses more effectively.

Building on this momentum, a call for action was echoed in Nairobi in June 2014 when delegates from 157 countries addressed the issue in the first ever United Nations Environment Assembly (UNEA) of UNEP which placed wildlife crime prominently on the global environmental and sustainable development agenda. Building on and underpinning security and other concerns related to the illegal trade in wildlife, UNEA provided a landmark occasion in strengthening the political commitments within the context of the UN to address the issue of illegal trade in wildlife, including of timber and charcoal. UNEA-1 also adopted the first UN Resolution focused on illegal trade in wildlife (UNEA/1/3, available at [www.unep.org/unea/UNEA\\_Resolutions.asp](http://www.unep.org/unea/UNEA_Resolutions.asp)), which called upon UNGA to consider the issue in its 69th session and emphasized the priorities inter alia of Member States implementing existing commitments, of cooperation across agencies, of UNEP's contribution of addressing the issue of illegal wildlife trade.

A meeting of the UN Secretary General's Policy Committee on 'Illegal Trade in Wildlife and Forest Products' on 3 February 2015 adopted a set of recommendations, speaking to the need of a coherent response of the UN system to the security, political, economic, environmental and social aspects of IWT. UNEP with CITES was requested to convene the UN system to develop a robust evidence base, shared analysis and consequent recommendations for an effective and coherent UN response and to increase the UN's advocacy to combat IWT, and encouraging Member States to take action to implement CITES and relevant UNODC and other international commitments.

Most recently, a UN General Assembly resolution on combating the illegal wildlife trade was adopted. The related outcome report titled "Transforming Our World: the 2030 Agenda for Sustainable Development" was also issued. The report contains a number of Sustainable Development Goals (SDGs), which were formally adopted at the UN Sustainable Development Summit held from Sept. 25 through Sept. 27. The outcome document provides the world with a 15-year vision for guiding the protection of natural resources, including goals with targets for the conservation of wildlife and endangered species. It also includes specific targets to end poaching and trafficking of protected species of fauna and flora; to address supply and demand of illegal wildlife products; and enhance global support for efforts to combat poaching and trafficking of protected species by increasing the capacity of local communities to pursue sustainable livelihood opportunities.

## Annex C Program Baseline

### C1. Implementing Agencies Baseline

A number of agencies are conducting activities to combat wildlife crime, including WBG, CITES, UNODC, WCO, UNDP, UNEP, WWF, IUCN and INTERPOL. This section provides an overview of their IWT activities and various global and regional programs and related initiatives they support.

**The World Bank Group** (lead agency) mission is to end extreme poverty and increase shared prosperity in a sustainable manner. In summation, wildlife crime is a development issue. It is affecting a core part of the WBG investments to client countries. This WBG-led global program will foster new levels of investments and cooperation between development and conservation partners to bring together an integrated approach to biodiversity conservation, natural resources and watershed management, tourism development, and poverty reduction. The WBG has also been involved in combatting environmental and natural resources law enforcement. For example, in 2014, the WBG completed “the Environmental and Natural Resources Law Enforcement road map” which outlines the Bank’s unique position and portfolio of investment of a committed US\$50million per year towards combatting wildlife crime. Globally, WBG staff in many regions have led diverse and ongoing work towards the increase in capacity of forest law enforcement and governance, especially in Eastern Europe and Southeast Asia. Additionally, WBG has joined and provided funding through the Development Grant Facility to the International Consortium to Combat Wildlife Crime (ICWC). WBG is actively working on anti-corruption and governance issues and has piloted the use on follow-the-money and anti-money laundering approaches to the investigation and prosecution of environmental and natural resource crimes. WBG collaborated with the U.S. Department of State on developing the research agenda for conservation criminology. WBG has also been successfully implementing the GEF MSP entitled, “African Elephant Poaching and the Illicit Ivory Trade: The Case for the African Elephant,” to support new partnerships and approaches to address the African Elephant poaching crisis. An “Ivory Economics” concept note has been drafted and peer reviewed and discussed by key stakeholders to understand the entire supply chain of African elephant poaching and the illicit ivory trafficking.

**The United Nations Development Program (UNDP)** works in over 170 countries and territories, helping to eradicate poverty and advance sustainable development that leads to transformational change and real improvements in people’s lives. UNDP promotes an integrated approach that tackles the connected issues of multidimensional poverty, inequality and exclusion, resilience and sustainability, while enhancing knowledge, skills, governance and production technologies needed to reduce risks and sustain development gains. UNDP efforts to combat the illegal trade in wildlife draw on this integrated approach, leveraging expertise, partnerships, and global networks to support countries eradicate poverty, protect the environment, empower women, and build strong institutions, all of which support the rule of law. Through its biodiversity and ecosystems programme, UNDP has helped establish over 2,000 protected areas in 85 countries around the world, covering 272 million hectares of land. Building on this portfolio of work, UNDP is exploring new and innovative partnerships that help countries and communities tackle illegal wildlife trafficking and poaching. These include partnerships with governments, other UN agencies such as UNEP and UNODC, the World Bank, the United for Wildlife coalition of wildlife conservation organizations, and other civil society groups to tackle poaching and illegal wildlife trafficking, and reduce the global demand for wildlife and wildlife products. UNDP facilitates the coordination of national level UN responses through the UN Resident Coordinator system, and supports countries to access the funding and technical support needed to tackle this issue, working across the supply chain that drives the trade, addressing illegal supply, transit, and demand. This includes efforts at all levels, focusing on communities where site-level enforcement is key, linking a range of national stakeholders for cohesive country-level action, and working with regional and international partners to ensure global cooperation and coordination of efforts. UNDP uses a three-pronged approach that focuses on: 1. Expanding economic opportunities and livelihood options, 2.

Strengthening governance, enforcement and coordination, and 3. Raising awareness and building cooperation.

**The United Nations Environment Programme (UNEP)**'s aim is to reduce illegal trade in wildlife and timber to levels such that all wildlife and timber trade is sustainable. Efforts under development include increased support for effective policies at national, regional and international levels; improved legislative, judicial, enforcement, and governance measures; development of capacity for environmental rule of law; enhanced understanding of the global problems and existing gaps on illegal wildlife trade; advancing international efforts to develop and catalyze demand reduction strategies for illegally-traded wildlife and timber products; outreach and communication tools to raise awareness on illegal wildlife trade at all levels; and the development of reliable and integrated indicators to help monitor the effectiveness of strategies aimed at reducing illegal wildlife trade (IWT).

UNEP's existing portfolio of IWT initiatives includes: Fostering and enhancing cross-border cooperation in the field of illegal wildlife trade, through support to regional and sub-regional processes; Policy support to member states through country-level interventions to facilitate policy interventions and implementation of existing commitments; and Capacity building to support national and international efforts on effective governance, and enforcement. The latter ongoing efforts build capacity of officials in select countries in Africa on IWT detection, investigation, prosecution and adjudication – including collaboration with INTERPOL, CITES, and other partners in the CPW and ICCWC. Extensive communications and awareness raising efforts are underway with high profile UNEP Goodwill Ambassadors on Public Service Announcement and other campaign strategies, and building on the Wild & Precious global airport exhibits. UNEP also provides technical support to CITES and the EU on species information and wildlife trade databases through UNEP-WCMC and GRID data centers. UNEP works together with ICCWC partners on specific initiatives such as the Green Customs Initiative --a partnership of international organizations including UNEP, UNODC, and WCO -- cooperating to facilitate legal trade and prevent illegal trade in environmentally sensitive commodities. Because of UNEP activities, significant progress has been made in garnering global high-level engagement in support of environmental governance, as well as mobilizing political will to achieve more impact at the national level.

The partnership with GEF is of great relevance for UNEP, which is stepping up its dialogue with Member States in support of the development of national projects to access GEF-6 financing to support addressing illegal wildlife trade. UNEP is currently implementing two GEF-5 projects directly tied to combatting illegal wildlife crime: "Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa (target: Rhinoceros)" and "Engaging policy makers and the judiciary to address poaching and illegal wildlife trade in Africa",

**The World Wildlife Fund (WWF) and the Wildlife Trade Monitoring Network (TRAFFIC)** work together through four approaches to combat wildlife crime – stopping the poaching, stopping wildlife trafficking, changing behavior to reduce consumer demand, and international policy. WWF is facilitating development of the Southern African Development Community (SADC) Law Enforcement and Anti-Poaching (LEAP) Strategy for its 13 member states, to be finalized in mid-2015 and is supporting the five-countries of the KAZA TFCA to prevent elephant poaching. Through a USAID \$5m grant, TRAFFIC and IUCN are countering trafficking from Africa to Asia (Wildlife TRAPS). WWF and TRAFFIC launched the Wildlife Crime Campaign in 2012 and demand reduction has focused on SE Asia. This includes Changing Consumer Behavior: Reducing demand for rhino horn in Vietnam, 2014-2017, with market research to inform targeted demand reduction for rhino horn in Vietnam, and the multi-donor Chor Chang (Saving Elephants) campaign launched in Thailand in January 2015, aimed at rallying public support against buying ivory. The joint Campaign has used traditional and social media, along with targeted policy and advocacy, to effectively shift the issue from a low priority 'environmental' issue to an issue of security, rule of

law and development. WWF facilitated the creation of the Friends of the Fight Group, led by Germany and Gabon under the United Nations General Assembly, advocating for a Security Council resolution on combatting wildlife crime.

TRAFFIC International - TRAPS: TRAFFIC, the wildlife trade-monitoring network, is a strategic alliance of World Wide Fund for Nature (WWF) and the International Union for Conservation of Nature (IUCN) and is an international network, organized into eight regional programs. TRAFFIC has been successful in securing a grant from the US Agency for International Development (USAID) to implement the 'Wildlife Trafficking, Response, Assessment, Priority Setting' initiative known as "Wildlife-TRAPS" or "TRAPS". TRAPS is a three year initiative has approximately ca. USD \$5m of funding available to tackle the illegal trade of terrestrial and marine wildlife between Africa and Asia. Wildlife TRAPS is likely to focus on a group of species products (i.e. including ivory and rhino horn) traded between Central and East & Southern Africa and East and South East Asia. Activities will be delivered through a three Phase 'Framework Approach': Phase I will focus on 'Assessment and Priority Setting'; activities will include scoping studies, desk based research, semi-structured interviews and stakeholder mapping. Phase II will focus on 'Collaborative Action Planning' with Wildlife TRAPS stakeholders in order to identify the trade routes and species products that will be tackled through a suite of 'non-traditional approaches' delivered during Phase III.

**The International Union for the Conservation of Nature (IUCN)** brings governments, NGOs and scientists together to develop policies, laws and best practices on biodiversity conservation and sustainable development. Regarding addressing illegal wildlife trade, IUCN plays a unique and important role by convening stakeholders, acting as a specialist advisor, and supporting conservation on the ground through its vast global network of experts and scientists. Regarding IUCN's convening role, in February 2015 IUCN organized a symposium called 'Beyond enforcement: communities, governance, incentives and sustainable use in combatting wildlife crime' in South Africa, which was attended by over 70 community representatives, researchers, government officials, UN agencies and NGOs from five continents. It resulted in a set of recommendations for engaging communities in combating illegal wildlife trade, which will be taken forward to CITES, CBD and the high level IWT conference in Kasane, Botswana that will take place in March 2015.

In their specialist advisory role, species experts in IUCN's Species Survival Commission (SSC) provide independent, objective scientific information to conventions such as CITES as well as to governments and NGOs. More than 130 Specialist Groups in the SSC provide us with the most current information on species affected by illegal wildlife trade, including elephants, rhinos and cats but also pangolins, plants, fish, birds, invertebrates, amphibians and reptiles. IUCN also brings this knowledge and expertise to a wider variety of fora. For example, IUCN recently participated in the "Towards an EU strategic approach to wildlife conservation in Africa" meeting that took place on 9-10th February 2015 in Brussels and focused on the development of an EU Strategy for Wildlife Conservation in Africa. IUCN will also participate in a follow up meeting to the 2013 African Elephant Summit to be held on the 23rd of March, 2015 in Kasane, Botswana. Following that, IUCN will participate in the Kasane Conference on Illegal Wildlife Trade that will take place 25th of March, 2015 in Botswana. TRAFFIC, IUCN's joint programme with WWF on wildlife trade monitoring, also works with governments across the globe to enhance our understanding of the dynamics of illegal wildlife trade. IUCN is also a partner in the United for Wildlife coalition, convened by the Royal Foundation, and which has agreed on five urgent areas of activity to address illegal wildlife trade.

Regarding on-the-ground conservation work, IUCN manages the Save Our Species (SOS) Fund, which provides funding to field-based conservation projects. The SOS Fund has, to date, committed over 3 million USD through 25 projects to support anti-poaching activities, with projects on elephants and rhinos in priority sites for conservation, as well as other species. In addition, IUCN's Integrated Tiger and Habitat

Conservation Programme (ITHCP), modelled on SOS, has mobilized approximately €20 million to fund projects on tiger conservation in a number of key tiger range States.

**The Asian Development Bank (AsDB)** is implementing a regional Technical Assistance (TA) program on Combatting Illegal Wildlife Trade under ADB's Law, Justice and Development Program. It is led by ADB's Office of General Council and links to initiatives such as the Asian Judges Network on Environment and two sub-regional roundtables: the ASEAN Chief Justices Roundtable on Environment, and the South Asian Chief Justices Roundtable. The TA aims to support participating countries to undertake comprehensive policy and legal reform to address wildlife crime, while supporting the adoption of enforcement tools and improvements in enforcement chain cooperation, coordination and implementation capabilities. Requests for support under the TA have been received and are being supported in China, Lao PDR, Myanmar, Philippines and Viet Nam. The first phase of work is focused on undertaking needs assessments for legal reform processes.

**ICCWC:** The International Consortium on Combating Wildlife Crime (ICCWC), is a collaboration between the CITES Secretariat, INTERPOL, UNODC, WBG and the World Customs Organization. Each member organization conducts a number of anti-wildlife crime activities under their specific mandate, collaborating on certain projects. The WBG and UNODC led development of the Wildlife and Forest Crime Analytic Toolkit in 2012. This toolkit is a technical resource to assist government officials in wildlife and forestry administration and customs. It also helps agencies conduct a comprehensive analysis of the strengths and weaknesses of preventive and criminal justice responses and other measures related to the protection and monitoring of wildlife and forest products, which are crucial to curtailing wildlife and forest crime both nationally and internationally. The Toolkit is available for all Governments interested in undertaking a national analysis mission with regard to wildlife and forest crime in their country. ICCWC will support requesting countries during the entire implementing process - including mobilizing funds, hiring experts, analysing the results, designing and delivering technical assistance. Based on the results, ICCWC and relevant government authorities will design a work plan for national capacity-building programs and technical assistance delivery. The toolkit analysis has been conducted in a number of countries in Asia and Africa, and continues to be conducted during 2015.

**INTERPOL:** Facilitates and supports collaboration between police agencies in different countries around the world. It has an established and growing environmental crime program, has organized, and executed some of the largest operations against wildlife smugglers. INTERPOL's General Assembly has recognized the significance of environmental crime and the organizations ability to network and communicate at the highest levels of national law enforcement around the world makes it a natural partner in this program. INTERPOL cooperation with the WBG covers areas of anti-money laundering, as well as analytic work on illegal logging and capacity building and awareness on tiger crime and other wildlife issues.

**UNODC:** In 2014, UNODC formally launched the Global Program for Combating Wildlife and Forest Crime (GP). The GP is a four-year program aimed to link existing regional efforts in a global system, enhancing capacity-building and wildlife law enforcement networks at regional and sub-regional levels. The GP is working for and with the wildlife law enforcement community to ensure that wildlife crime, illegal logging, and related crimes are treated as serious transnational organized crimes. The GP aims to deliver through specific technical assistance activities designed to strengthen the capacity of Member States to prevent, investigate, prosecute and adjudicate crimes against protected species of wild flora and fauna. The Global Program for Combating Wildlife and Forest Crime/Sustainable Livelihoods Unit (GP/SLU) is the focal point for this work, which already embraces capacity-building activities in South East Asia, South Asia, East Africa and Latin America and coordinates the implementation of the Wildlife and Forest Crime Analytic Toolkit.

**CITES:** The Convention on International Trade in Endangered Species of Wild Fauna and Flora, (CITES), is the principal international instrument to control and regulate the international trade in protected species and suppress any illicit dealings in wild fauna and flora, aiming to ensure that international trade in specimens of wild animals and plants does not threaten their survival. The CITES Secretariat which has been working since 1975 is administered by United Nations Environmental Program (UNEP) and is located in Geneva. CITES is the single most important international instrument dealing with the illicit trade in fauna and flora being the only convention requiring State Parties to penalize some aspects of the illicit trade in protected species and enabling importing countries to seize illegally sourced fauna and flora.

CITES manages several important programs for IWT, including MIKE, ETIS, national legislation project, and the national ivory action plans. MIKE was established in 1997, with the overall goal to provide information needed for elephant range States to make appropriate management and enforcement decisions, and to build institutional capacity within the range States for the long-term management of their elephant populations. The primary mandate of the MIKE programme is to monitor levels of illegal killing of elephants at a sample of sites spread across the range of African and Asian elephants. There are 60 sites currently, across 30 countries in Africa and 13 in Asia. ETIS is a comprehensive information system to track illegal trade in ivory and other elephant products. It shares the same objectives as those set out for MIKE in Resolution Conf. 10.10 (Rev. CoP16), with the difference that its aim is to record and analyse levels and trends in illegal trade, rather than the illegal killing of elephants. The central component of ETIS is a database on seizures of elephant specimens that have occurred anywhere in the world since 1989. The seizure database is supported by a series of subsidiary database components that assess law enforcement effort and efficiency, rates of reporting, domestic ivory markets and background economic variables. These database components are time-based and country-specific and are used to mitigate factors that cause bias in the data and might otherwise distort the analytical results. The subsidiary database components also assist in interpreting and understanding the results of the ETIS analyses. Since its inception, ETIS has been managed by TRAFFIC on behalf of the CITES Parties and is currently housed at the TRAFFIC East/Southern Africa office in Harare, Zimbabwe. CITES has adopted key decisions on trade in elephant ivory and rhino horn, including the development of National Ivory Action Plans by the 19 countries most affected by the illegal trade, and CITES manages the program for the monitoring and analysis of the illegal killing of elephants and illegal trade in ivory, being MIKE and ETIS respectively.

**World Customs Organization – UNODC - Container Control Programme (CCP):** More than 420 million containers move around the globe by sea every year, transporting 90 per cent of the world's cargo. Most carry licit goods, but some used to smuggle drugs, weapons, even people. The sheer volume of this international maritime container traffic, the sophisticated and often ingenious concealment methods, along with the diverse routings adopted by illicit drug traffickers and other smugglers, invariably makes successful interdiction difficult. As a response, UNODC and the World Customs Organization (WCO) jointly developed and launched the Container Control Program (CCP) in 2003. The CCP was implemented in Benin, Cape Verde, Costa Rica, Ecuador, Guatemala, Ghana, Pakistan, Panama, Senegal, Togo and Turkmenistan. The CCP aims to assist Governments to create sustainable enforcement structures in selected sea/dry ports in order to minimize the risk of shipping containers' use for illicit drug trafficking, transnational organized crime and other forms of black market activity. At the heart of the CCP is the creation and training of port control units (PCUs) at selected container terminals. These units are located in a secure environment, preferably inside the ports, and staffed by front line personnel who will be trained and equipped to systematically target high-risk containers whilst facilitating the free flow of legitimate trade. Training is also a component, as is the exchange of information with counterparts in other countries using a secure communication application developed by WCO called Container.

## **C2. Baseline for Countries:**

**Afghanistan:** The Afghanistan Constitution, Environment Law, Hunting and Wildlife Management Law, Pasture Law, Forest Law, Land Management Law, Interim Protected Area Tarzulamal (IPAT), National Biodiversity Strategy and Action Plan, and National Protected Area System Plan are central to its biodiversity conservation and sustainable land and forest management efforts. Environmental conservation is recognized as an important concern of the Government of Afghanistan. Article 15 of the Constitution calls for the State to “adopt necessary measures for... proper exploitation of natural resources and improvement of ecological conditions.” Article 7 directs the State to abide by the UN Charter and international conventions that Afghanistan has signed (CBD, CITES, UNCCD). Afghanistan’s National Biodiversity Strategy Action Plan (NBSAP) calls for the establishment of legally recognized, adequately funded and effectively managed protected areas as one of the most important actions. In addition, the Environment Law of 2007, Articles 38 and 39, directs NEPA to develop a National Protected Area System Plan (NPASP). The NPASP has been in force since November 2010 and sets a goal “to establish a national legacy of exceptional areas, preserving in perpetuity representatives of the nation’s biodiversity, and natural and cultural features managed sustainably in cooperation with, and to the benefit of, local peoples”. While the country continues to face many pressing security and development concerns, some progress has been made in improved security, economic development, increased confidence in the rule of law, and coordinated support for sustainable progress in Afghanistan. Moreover, there is a growing recognition that natural resource management is the foundation for reconstruction in the country, and men and women in rural areas have a vital role to play. A UNDP-GEF protected areas project, executed by WCS, is currently under implementation in the Wakhan corridor and is focused on building relationships and capacities with local communities on the ground. Relative to other parts of the country, the Wakhan corridor is seen as less prone to violence, with local people being very receptive to the ongoing UNDP-GEF protected areas project. WCS has a long established project in Kabul and in the field based on multiyear USAID backed program. That program has included ongoing evaluation of the security and viability of the project since program inception in 2005.

**Botswana:** Botswana recently approved a National Anti-Poaching Strategy to be implemented in 2015, and a revised Wildlife Conservation and National Parks Act. A Financial Intelligence Agency has recently become operational. The Agency works with other parts of government including the Department for Wildlife and National Parks to counteract money-laundering activities. Botswana has also established a National Anti-Poaching Task Team to enhance cooperation among law enforcement agencies. Through the Elephant Protection Initiative (EPI), Botswana, Chad, Ethiopia, Gabon and Tanzania have committed to a further moratorium on trade in elephant ivory by taking ivory out of economic use for ten years. Botswana has applied to the CITES Secretariat for assistance to implement the [ICWC] Wildlife and Forest Crime Analytical Toolkit. The recommendations of the implementation mission will inform future measures that Botswana will take to counter wildlife crime. A collaboration between the Netherlands Forensic Institute (NFI) and the Government of Botswana has been established to build forensic capability within the Department for Wildlife and National Parks and enhance capacity at Botswana Police. Rangers are trained by the NFI to improve their skills in gathering crime scene evidence, analyzing this evidence and reporting their findings to police. Further support is available through the International Law Enforcement Academy. To that effect, Botswana is one of the countries are recruiting, deploying, training and equipping new wildlife rangers and scouts to boost capacity, with plans to recruit further rangers. Botswana is developing a web-based database with the assistance of USAID –SAREP that will allow communities and concessionaires to share data about wildlife and the tracking of illegal activities. The concern about declines in some species has led to the declaration of a hunting moratorium to allow authorities to understand the causes and institute measures to reverse declines. Communities are being assisted to make a smooth transition from consumptive to non-consumptive utilization. Communities benefiting from Community Based Natural Resource Management (CBNRM) policies are encouraged to use some of their revenues to engage community guides who patrol their concessions to reduce poaching. A Management Oriented Monitoring System (MOMS) has been rolled out which allows communities to monitor natural resources in their areas. This has been supported through the CBNRM Forum. The Special Wildlife Scout Programme, which has seen community wildlife scouts being engaged to assist in law

enforcement, has enjoyed a high level of success and will continue to be rolled out to other areas (funds permitting) during 2015.

**Cameroon:** In Cameroon, Germany is implementing a technical and financial cooperation project to support work in a trans-boundary conservation area between Cameroon and Chad, focusing on buffer zone development, livelihoods, and benefits for local communities and wildlife monitoring. UNDP has been involved in a project promoting alternatives to bushmeat hunting. This community wildlife management project was started through a collaboration between the UNDP-managed GEF Small Grants Programme, the NGO Community Action for Development, and local communities. Local communities were dependent on an unsustainable bushmeat market, which was threatening populations of endemic wildlife and doing little to alleviate local poverty concerns. The project has used awareness-raising, new regulations, and alternative livelihoods strategies including agriculture and horticulture to reduce pressure on wildlife.

**Congo (Republic Of Congo):** The Congolese government has made significant contributions towards protecting the forests through the creation of national parks and other PAs. As member of COMIFAC and signatory of the Yaoundé Declaration, the Republic of Congo defined implementation strategies in the “Plan de Convergence”. This plan established priorities for protection of twelve trans-boundary conservation areas. Under the auspices of the World Bank, Cameroon, Gabon and Congo are developing and implementing Sectoral Forest and Environment Programs (Programme Sectoriel Forêt et Environnement, FESP). The objective of the Forest and Economic Diversification Project in Congo is to increase the capacity of the Republic of Congo to: (i) promote better implementation of its forestry legislation; and (ii) enhance the policy environment for participation of local communities and the private sector in sustainable forest management and reforestation. Forest Law Enforcement, Governance and Trade (FLEGT). The Congolese government and the European Union signed on May 17, 2010 a Voluntary Agreement of Partnership (APV) on the Forest Law Enforcement, Governance and Trade (FLEGT). The purpose of this trade agreement, come into effect on March 1, 2013, is to improve the forest governance in Congo and to make sure that wood and wood products of Congo fulfill the legal requirements of the country. The Wildlife Conservation Society (WCS) is working with the Government to protect its elephants, gorillas, and other threatened species. Since the early 1990s, WCS has assisted the Republic of Congo in managing the wildlife and habitat of its protected areas, including Nouabalé-Ndoki National Park, Conkouati-Douli National Park, and Odzala-Kokoua National Park. In addition, WCS is partnering with both government and communities to create and manage the Lac Tele Community Reserve, and with logging companies to protect wildlife in timber concessions that surround national parks.

**Ethiopia:** Ethiopia has developed a NIAP to combat the illegal wildlife trade and elephant poaching effectively and efficiently across the country. The national wildlife legislation is under review with particular attention to the provisions related to wildlife crimes and the effect of the existing penalty framework on deterrence. The Wildlife Conservation Authority has been addressing areas that are vulnerable to corruption. Additional labor is being recruited, the existing organizational structure is being reviewed, robust and transparent working systems have been put in place and training on good governance and corruption has been offered. Training has been given to police and custom officers, prosecutors and members of the judiciary to increase their awareness of wildlife laws and associated international conventions. Ethiopia is disseminating information to the general public using national and regional media to increase awareness about wildlife laws about the negative impacts and seriousness of wildlife crimes on wildlife resources, the environment, the economy and national security. Stakeholders have been consulted about how to support effective law enforcement to reduce elephant poaching in Babilie Elephant Sanctuary and Omo National Park. This consultation paved way to establish a special elephant security taskforce drawn from adjacent villages including elders, local authorities and religious leaders.

**Gabon:** The President of Gabon has mandated a special investigation into the role of corruption in ivory smuggling. UNODC conducted comprehensive national assessments to develop evidence-based recommendations and actions for law enforcement, prosecution, judiciary and legislative using the ICCWC Wildlife and Forest Crime Analytic Toolkit. In support of Gabon, the French Agency for Development

approved a €10 million project against serious wildlife crime and ivory trade in December 2014. Gabon has also received significant technical and financial support from the US Government for anti-poaching and fisheries protection and the government of the United Arab Emirates for fisheries protection in the form of a donation of equipment. Gabon has submitted a National Ivory Action Plan (NIAP) and is writing recognition of CITES into new Forestry Law. A new ivory storage facility has been established pending a subsequent destruction of stocks accumulated since the last burn. Gabon co-hosted a high-level event on “Poaching and illicit wildlife trafficking – towards joint action by the international community” on 26 September 2014, in the margins of the General Debate of the 69th UN General Assembly. Being co-chairs of the UN Group of Friends on Poaching and Illicit Wildlife Trafficking, Germany and Gabon have been active in drafting a UN General Assembly Resolution on Wildlife Crime. Gabon will host the “Kasane Conference on Illegal Wildlife Trade” in March 2015, to review the progress on the commitments made at the “London Declaration on the Illegal Wildlife Trade”. A pilot project has been initiated with local communities around Waka and Lopé National Parks. Tourism investment in National Parks is expected to create about 500 jobs for rural people in 2015.

**India:** The National Biodiversity Strategy and Action Plan (NBSAP) and the Addendum to the NBSAP 2008 prepared in 2014 are indicative of the strong commitment of the Government of India to biodiversity conservation. The NBSAP Addendum (2014) also promulgated 12 NBTs in line with the 20 Aichi Global Targets. To achieve these goals, the Government expends large sums of money every year through both central and state level investments. For instance in 2013-2014, the Government of India invested around US\$ 1,482.68 million on biodiversity conservation related efforts and actions. Specifically, an important and large baseline is the proposed National Mission on Himalayan Studies (NMHS). This broad programme covering all the Himalayan region of the country has a total budget allocation of around US\$ 50 million during the current 5-year plan (2012-2017) with proposal to allocate an additional US \$16.6 million during the next 5-year plan (2017-2022). The overall vision of NMHS is to launch and support innovative studies and related knowledge interventions towards the sustenance and enhancement of the ecological, natural cultural, and socio-economic capital assets and values of the Indian Himalayan Region. Further, India’s commitment to conservation is also reflected in a network of more than 700 protected areas across different ecosystems and bioregions of the country. Another highly relevant baseline project is India’s Recovery Programme for 16 Critically Endangered Species, which includes Hangul, Markhor, and Snow Leopard launched in 2009 by the MoEFCC<sup>22</sup>. The Snow Leopard is protected in India under the national Wild Life (Protection) Act, 1972 as well as under the Jammu and Kashmir Wildlife (Protection) Act, 1978. The species is listed on Schedule I of both laws; with the effect that hunting is generally forbidden. The maximum penalty for offences concerning animals listed in Schedule I of the Act is seven years’ imprisonment and a fine of INR25 000 (USD516) – significant legal deterrent exists. However, poaching and illegal trade in wildlife continues unabated. Despite strong legal protection and prohibitions, weak wildlife law enforcement is a problem across the snow leopard’s range including low levels of prosecution even when offenders are apprehended. The *Global Snow Leopard and Ecosystem Conservation Program* (GSLEP) unites Governments, UN Agencies, NGOs and Researches of the SL range in the effort to conserve this species.

**Indonesia:** Indonesia was a signatory to the Declaration agreed upon at the London Conference on the Illegal Wildlife Trade in February 2014. Ministry of Environment and Forestry (MoEF) is the focal agency for wildlife crime via the Directorate General of Forest Protection and Nature Conservation (PHKA). Investments from bilateral and multilateral agencies, and international NGOs over the past years have complemented government efforts in recent years. Since 2003, the Wildlife Conservation Society (WCS) has pioneered an innovative approach to working with law enforcement agencies across local, regional and national scales to combat illegal wildlife trade in Indonesia, called the “Wildlife Crime Unit” (WCU). Over 290 test cases have been prosecuted by government law enforcement agencies based upon information provided by the WCU, with a successful

<sup>22</sup> Other species include Bustard (including Floricans), Dolphin, Hangul, Nilgiri Tahr, Marine Turtles, Dugongs, Edible Nest Swiftlet, Asian Wild Buffalo, Nicobar Megapode, Manipur Brow-antlered Deer, Vultures, Malabar Civet, Indian Rhinoceros, Asiatic Lion, Swamp Deer and Jerdon’s Courser

prosecution rate of >90% and including the 10 largest wildlife crime cases ever prosecuted in Indonesia. This is unparalleled in the Southeast Asian context, and the WCU is the most successful example of an approach to combat illegal wildlife crime in the region. WCS currently invests c.\$250,000/year in work on illegal wildlife trade in Indonesia. Under a 2014 MoU between the Government of Indonesia and the United States Government (USG), US Government agencies are providing capacity-building assistance to law enforcement agencies on environmental crimes (including wildlife trafficking) and are facilitating regional dialogues of action to reduce illegal wildlife trade. Regional initiatives include USAID-ARREST (Asia's Regional Response to Endangered Species Trafficking, 2010-2016); The Association of Southeast Asian Nations' Wildlife Enforcement Network (ASEAN-WEN); efforts by the ICCWC partners, including the CITES secretariat, Interpol, World Customs Organization, United Nations Office on Drugs and Crime and the World Bank. In December 2012, Indonesia and Vietnam also signed a MoU on Wildlife Law Enforcement, which is driving bilateral cooperation within the region. The baseline activities, although significant, fall short of the proposed long-term solution: to conserve key wildlife species in Indonesia, by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country.

**Kenya:** Kenya's Wildlife Policy (1975) provides guidelines for the protection, conservation and management of wildlife and stresses the need for an integrated approach to wildlife conservation and management to minimize human-wildlife conflict. The Environmental Management and Coordination Act (1999) has served as the main framework of environmental law in the absence of a National Environmental policy. It was enacted to provide an appropriate legal and institutional framework for the management of the environment. Vision 2030 Plan (2005) places emphasis on the need for provision of appropriate labor training on environmental management. The plan focuses on four sectors for sustainable development: the conservation of natural resource, pollution and waste management, ASALs and high-risk disaster zones and environmental planning and governance. Kenya is a member of the Convention on Biological Diversity (CBD), the Ramsar Convention, the United Nations Convention to Combat Desertification (UNCCD), CITES, United Nations Framework Convention on Climate Change (UNFCCC), the World Heritage Convention (WHC) and the World Conservation Union (IUCN). Kenya's First Lady Margaret Kenyatta, has also been active in the spearheading the campaign against elephant poaching. She launched and spearheaded the "#HandsOffOurElephants" online campaign in late 2013 and has helped raise awareness, both nationally and internationally, about the plight facing Kenya's wildlife. The commitment shown by the First Lady is a powerful expression of Kenya's stance against wildlife crime. During the past twelve months, the Government of Kenya has invested to improve anti-poaching on the ground and will invest over the coming years in the creation and operation of an elite anti-poaching unit with the Administrative Police and General Service Unit (GSU). On the legal front, both the Judiciary and the Office of the Director of Public Prosecutions (ODPP) have also committed to far-reaching reforms, training and cooperation with civil society. An increasing number of communities are engaging in tourism through the conservancy model, where conservancies are being set up across Kenya on both private ranches and in communal lands, such as Maasai and Samburu group ranches. They are organized under the Kenya Wildlife Conservancies Association (KWCA). It is estimated that the Conservancies in Kenya will invest an estimated several million in the management of the conservancies targeted by this project over the next three years. Kenya has a MIKE/MIKES site that is also a target project site for the child project. The ICCWC toolkit assessment is currently underway. It is a participating state in the CITES Rhino enforcement task force and associated strategies and actions.

**Malawi:** The Government of Malawi is promoting efforts to combat the poaching crisis and address illegal wildlife trafficking as outlined in the NBSAP. It is committed to address conservation issues and sustainable use of natural resources in the face of rapid population growth, extreme poverty, high illiteracy levels, and HIV/AIDS is one of the Malawi's greatest challenges. However, efforts are constrained by weak capacity and awareness and lack of experience in working with other enforcement agencies both domestically and regionally to tackle this growing problem. It has a National Wildlife Crimes Investigation Unit, and various protected areas and landscape initiatives underway. Malawi is committed to implement measures to promote access and

benefit sharing in the utilization of its genetic resources. Since its accession to the Convention on Biological Diversity in 1992 and ratification to the Nagoya Protocol on Access and Benefit Sharing in 2014, it has taken great strides to promote various wildlife conservation measures. The Environmental Management Act 1996 protects the country's genetic resources in the interest of future generations, requiring the prior informed consent of the Ministry of Environment before any collection or export. The Genetic Resources and Biotechnology Committee (GRBC) of the National Research Council of Malawi (NCRM) was empowered to grant approvals for the collection and exportation of genetic resources by local and foreign researchers. New ABS regulations and guidelines which when developed and adopted will be amongst the first ABS implementing measures developed since the 2014 entry in force of the Nagoya Protocol. The undertaking is ambitious, with support needed to raise legal awareness, build an effective legal and institution framework, build capacity of national lawyers and ABS institutions, and share expenses to foster further ABS innovation across the country. Malawi has recently joined the Elephant Protection Initiative (EPI), which is a regional approach that requires partner states and organisations to work towards closing domestic ivory markets and to put all stockpiles beyond economic use. An important program underway is the Shire River Basin Management Program (SRBMP) is a 15-year Malawi Government program, in three phases, that has the objective of improving living standards and reducing poverty throughout the Shire River Basin. It is funded by the International Development Association (IDA) of the World Bank with additional financial support from the Global Environmental Facility (GEF) and the Least Developed Countries Fund (LDCF). The coordinating agency is the Ministry of Water Development and Irrigation supported by most government departments including EAD, DNPW, DoF, and Fisheries Department under the guidance of the World Bank. GEF funding is currently secured for the first phase of the SRBMP only, which ends on 31 January 2018. The SRBMP is establishing an integrated catchment management regime for the Shire Basin and replacing the Liwonde Barrage within phase 1. Malawi has a MIKE site that is also a target project site for the child project.

**Mali:** The protection of the environment is rooted in the Constitution of Mali of 1992. The policy framework is provided by the National Policy for Environmental Protection (NEPP) adopted in 1998. The Gourma is mentioned in the National Biodiversity Strategy (adopted in 2001) as one of the four natural regions of highest biodiversity value in Mali, and this project addresses four of its five specific programmes of work. It also addresses the key stated challenge (in the fourth and fifth national reports published in 2009 and 2014) of taking into account land-use rights of local communities. The project contributes to Mali's obligations under the Convention on Biological Diversity (CBD), CITES and the Convention on Migratory Species (CMS). The African elephant is listed in Appendix II of the CMS and the West African elephant population is the subject of a MoU. The Mali Elephant Project (MEP) has been in existence since 2002 and works closely with the government and local communities. After three years of scientific studies, a period of stakeholder engagement and outreach followed to understand the social context and build a shared vision for human-elephant co-existence. This has been achieved on the basis of a project that, since 2009, empowers local communities to reverse the degradation of natural resources at the same time as protecting elephants, their habitats (and associated biodiversity) and the elephant migration route. A successful "war-tested" model has been developed and this now needs scaling up and applied across the whole of the elephant range (40,000km<sup>2</sup>). The model uses the decentralization legislation of Mali to address the anarchic over-exploitation of natural resources through bringing the diverse ethnicities and clans together to agree a common system of resource management that improves local livelihoods, reverses environmental degradation, and thereby increases the resilience of the ecosystem to cope with environmental variability. In all, the MEP has invested approximately \$ 4.5 - \$5 million since its inception in 2002. The MEP has continued working in the area throughout the conflict. Future investment is expected from government, to some extent, as well as from grants submitted to UK, US and Canadian sources of donor funds. The government has provided salaries, uniforms, arms and ammunition as co-finance. The MEP has also raised money and liaised with the Malian army and MINUSMA (United Nations Multidimensional Integrated Stabilization Mission in Mali) to conduct military patrols until the foresters are ready for deployment. Mali has a MIKE site that is also a target project site for the child project.

**Mozambique:** The National Assembly ratified the Conservation Law in April 2014, which includes prison sentences for offenders and stiffer fines and recognizes the international treaties and conventions, which Mozambique has ratified. Mozambique has approved a new Law for Conservation Areas, which includes criminalization of wildlife offences. In 2015-16, Mozambique plans to design subsidiary domestic legislation and an approach to operationalization, which is appropriate for money laundering and wildlife crimes. It will also design a legal mechanism to harmonize wildlife legislation and the key domestic legislation for prevention of organized crime, financial crime and corruption. The Government of Mozambique approved a National Program for the protection of natural resources. To that effect, the Government approved the establishment of an anti-poaching Taskforce to support implementation of its Program for combating illegal exploitation of natural resources in February 2014. The Taskforce includes representatives from the Agriculture, Tourism, Defense, Interior, Mine Resources, Finance and Fisheries Ministries. Action on law enforcement and capacity building includes training a special force to deal with poaching and illegal wildlife products in protected areas and enhanced approaches to detection of wildlife products in hotspot sites like airports, ports and major border posts. Mozambique and South Africa are implementing a MoU for joint actions on trans-boundary environmental protection, including law enforcement, information sharing, capacity building and international cooperation to coordinate the anti-poaching efforts targeting the Great Limpopo Trans-frontier Park. The French GEF project on the rehabilitation of the Gilé National Reserve and its buffer zone (phases I and II) contributes to the fight against poaching, involves local communities and improves livelihood conditions. Mozambique and Tanzania are recruiting, deploying, training and equipping new wildlife rangers and scouts to boost capacity, with plans to recruit further rangers.

**Philippines:** The Philippines Biodiversity Strategic Action Plan (PBSAP) 2015-2028 outlines a framework for interventions to address threats to biodiversity in order to achieve national targets, which correspond with target obligations under multilateral environmental agreements such as the CBD. In an effort to introduce more effective adjudication of cases, the country has taken steps to establish “green benches” that would handle environmental cases in order to advance more effective resolution of environmental disputes in the country. In January 2008, the Supreme Court designated 117 municipal and regional trial courts across the country as environmental courts. The Philippines have been leading partners in the ADB supported Asian Judges Network, which seeks to strengthen judicial adjudication of environmental cases. A number of other initiatives have been introduced to address different aspects of the trade. DENR-Biodiversity Management Bureau (BMB) developed a law enforcement manual of operations, training modules for forestry wildlife and fisheries law enforcement, and training of trainers in partnership with USAID/DOI-ITAP and Tanggol Kalikasan. The Philippines conducted two national environmental law enforcement summits, with support from USAID/DOI-ITAP. It has conducted over 20 multisectoral trainings on environmental laws and rules of procedure (in collaboration with the Philippines Judicial Academy, DENR, DA-BFAR, USAID/DOI-ITAP and UNDP). It has developed a training manual for prosecutors of environmental cases, with five trainings conducted by the Department of Justice in partnership with USAID/DOI-ITAP. It established a wildlife forensic laboratory at the University of the Philippines (Diliman). In addition, it anticipates receiving support from the USAID-supported PROTECT Wildlife Philippines project. In June 2013, authorities in the Philippines crushed five (5) tons of ivory seized, valued at around USD 9.6 million. It has launched a national ivory action plan, which serves as the basis of the work of the Philippines Operations Group on Ivory (POGI).

**South Africa:** 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 the South African 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. In South Africa, under the National Environmental Management: Biodiversity Act 2004, which was updated in 2013, the illegal hunting of rhinoceros can result in penalties of up to R10 m (USD870,000) and/or 10 years’ imprisonment. South Africa is part of the Southern African Development Community (SADC) Regional Programme for Rhinoceros Conservation, SADC Rhinoceros Management

Group and Rhinoceros and Elephant Security Group/Interpol Environmental Crime Working Group. It has created national and organizational rhinoceros plans, harnessing a wide range of local expert rhinoceros conservation knowledge, experience and input. South Africa has several rhinoceros conservation strategies and plans in place. The South African Black Rhinoceros Biodiversity Management Plan 2011-2020 (approved by the Minister of Water and Environmental Affairs under the National Environmental Management: Biodiversity Act 2004) includes a number of proposed actions and strategies to minimize losses of rhinoceros through illegal activity. The South African White Rhinoceros Biodiversity Management Plan 2014-2019 details similar strategies. South Africa's Department of Environmental Affairs has also produced a National Strategy for the Safety and Security of Rhinoceros Populations in South Africa. Wildlife trade is managed through a permit system. In terms of both CITES agreements and local legislation, the South African Scientific Authority (SASA) must determine that trade is not detrimental to wild populations and provide scientific oversight for all wildlife trade. The SASA has made considerable progress over the past 5 years in improving oversight of trade. Analyses and interventions for leopard, lion, cheetah, cycads, and pachypodium have all resulted in better management of these species and reduced opportunities for illegal trade. The proposed project supports the existing South African Rhino Protection Programme, which is a South African component of the broader Strategic Bilateral Biodiversity Conservation Programme. The SA Rhino Protection Programme (which is a partnership programme launched by DEA and PPF) has already secured \$22.6 million from various donors and anticipates additional support from other international donors such as the German government through KfW. South Africa has a MIKE site that is also a target project site for the child project.

**Tanzania:** The Government of Tanzania is committed to strengthening its national capacity to combat poaching and illegal wildlife trafficking. Tanzania's Development Vision 2025 acknowledges that the sustainable use of its resources is crucial for the long-term development of Tanzania's economy and citizenry. Tanzania's National Biodiversity Strategy and Action Plan, formulated in 2001, identifies policy, regulatory issues and international cooperation; facilitate economic growth through the enforcement of appropriate policies and regulator services for biodiversity management; and greater involvement of local communities in the sustainable management of natural resources. The Ministry of Natural Resources and Tourism (MNRT)'s Medium Term Strategic Plan July 2013-June 2016 includes several core focal areas for developing the natural resources and tourism sectors, law enforcement; stakeholder involvement; regional and international cooperation; institutional capacity building; and informed management decision making. Tanzania's National and Transnational Serious Crime Unit (National Task Force, NTF) was established within the Criminal Investigation Department (CID) in 1998 to address serious national crime, including terrorism, armed robbery, human trafficking, poaching, albino murders, drugs trafficking and piracy. In order to tackle rural poverty in Tanzania, the formal implementation of Wildlife Management Areas (WMAs) began in 2003. The 19 WMAs now in existence cover roughly 3% of land in Tanzania. WMA regulations, updated in 2012, promote transparent governance, clear community ownership of resources, and sharing of benefits accrued from wildlife utilization. Some of the successes achieved by these WMAs include increased protection of important dispersal areas and wildlife corridors; greater power devolved to communities; greater benefits received by the communities and improvement in social infrastructure; a clearer framework for private sector investments in wildlife areas; and improved biodiversity conservation in some areas. The Tanzania Wildlife Protection Fund (TWPF) was established in 1978 under an Act of Parliament. The Fund is supported by the parliament, with funds sourced through the following means: 25% of proceeds of sale of every animal, trophy, weapon, vehicle, vessel, aircraft, tent or other article forfeited pursuant to WCA no. 5 of 2009. In addition, any sum or property which may in any manner become payable into the fund; and any sum or donation, bequest, gift, grant given by other agencies, institutions, persons or government/international organisations. The Tanzania Wildlife Management Authority (TAWA) is currently being established, under WCA no. 5 of 2009, in order to help manage wildlife in areas outside jurisdiction of the Ngorongoro Conservation Area Authority and Tanzania National Parks Authority (TANAPA). More recently, Tanzania has placed a strong focus on national plans to combat poaching and illegal trafficking of threatened species specifically. The Project will directly support implementation of Tanzania's National Strategy to Combat Poaching and Illegal Wildlife Trade (launched in October 2014) and will contribute significantly towards Tanzania's Elephant Management Plan 2010-2015. Similarly, the Project will

support the implementation of the Tanzania Elephant Protection Strategy (TEPS) as well as the actions decided upon during the Tanzania Wildlife Summit to Stop Wildlife Crime and Advance Wildlife Conservation, held in May 2014. Most importantly, the Project forms an integral part of Tanzania's Anti-Poaching and Illegal Wildlife Trade Strategy. For example, much of the law enforcement component of the Strategy is built around the creation of a coordinated wildlife crime unit, which is a major focus of this Project. Likewise, all other outputs of the Project form key parts of this national Strategy. Tanzania has a MIKE site that is also a target project site for the child project. The ICCWC toolkit assessment is currently underway.

**Thailand:** Thailand has recently announced its Action Plan on Ivory 2014 – 2020. Thailand will make an investment of approximately US\$ 20 million in addressing the illegal wildlife trade in Thailand during the project period. The Government has allocated US\$ 2 million towards this Action Plan. The Royal Thai Police (RTP) has earmarked an investment of approximately \$ 3 million in investigation and arrest of wildlife trade criminals over the project period. The Customs Department will make an investment of approximately \$ 2 million in undertaking custom duties over the project period. The government's effort has been complemented by investments from bilateral and multilateral agencies, and international NGOs over the past years. Key efforts in this area include: (i) Critical Ecosystem Partnership Fund (CEPF) which is a five year investment for the conservation of globally important biodiversity (Phase II, 2013-2018), regionally coordinated by IUCN. Several projects under CEPF are addressing illegal wildlife trade, such as TRAFFIC's 'Starving the Supply – Interventions to Curb Illegal Wildlife Trade from Southeast Asia into southern China', Freeland's 'iTHINK, A Joint Campaign Platform to Tackle Wildlife Consumption', and Wildlife Conservation Society's 'Breaking the Chain: Building a Civil Society-Government Transnational Partnership to Combat Major Wildlife Trade Networks in Lao PDR, Vietnam and China'; (ii) Wildlife Trafficking Response, Assessment and Priority Setting (W-TRAPS) project - which is a collaboration between TRAFFIC and IUCN, is implementing the Wildlife TRAPS project to develop and deliver a suite of partnerships and pioneering approaches to tackle wildlife crime between Africa and Asia. The project, with financial support from USAID, is building a collective understanding of the true character and scale of the response required, setting priorities, identifying intervention points, and testing non-traditional approaches. In addition to helping to protect some of the planet's most desired species, this project is combating the trends undermining wider development efforts, as well as revealing the linkages to other types of illegal trade; (iii) IUCN Member Freeland is implementing a number of initiatives to combat illegal wildlife trade in Thailand, including the USAID-funded Asia's Regional Response to Endangered Species Trafficking (ARREST) programme; (iv) TRACE, which is an international NGO that aims to promote the use of forensic science in biodiversity conservation and the investigation of wildlife crimes, has provided support to DNP under the ASEAN-WEN Wildlife Forensics Project (WIFOS); and (v) WWF in Thailand has been working in support of the Royal Thai Government in the National Ivory Action Plan, especially on the demand reduction for illegal ivory. There is also an initiative in the pipeline on "Wildlife for the Future" which IUCN is working with a number of partners, including TRAFFIC and CITES, on a proposed trans-regional initiative to address illegal wildlife trade between Asia and Africa and within Asia. The project will work in close synergy with the UNDP/GEF project on 'Strengthening Capacity and Incentive for Wildlife Conservation in the Western Forest Complex', of which DNP is the implementing partner. The project is designed to support Thailand to implement the National Tiger Action Plan. One of the components of the project will also focus on improving the DNA registry of captive and wild tigers, which will be complementary with the forensic component of this project. The project is in line with the 4th National Biodiversity Strategy and Action Plan (NBSAP) in the area of preventing extinctions and improving status of threatened species. The project will work in support of the Thailand's Action Plan on Ivory (2014-2020).

**Vietnam:** The Government of Vietnam has issued a large number of laws, decrees, regulations, and other legal instruments to address illegal wildlife trade and consumption. The overriding policy originates from the Penal Code (amended in 2009), the Law on Biodiversity (2008) and the Law on Forest Protection and Development (2004). Vietnam has been a member of both CBD and CITES since 1994; and operates a relatively large Interpol NCB with officers working on wildlife crime issues and participating in Wildlife Crime working group operations and intelligence-sharing tools. The Government of Vietnam has approved national action plans on

biodiversity protection such as the "National Biodiversity Strategy to 2020, Vision to 2030, in which one of the three specific targets is to improve the quality and populations of endangered, rare and precious species, ensuring that no new case of species extinction is reported, and to significantly improve the status of endangered, rare and threatened species. In February 2014, Vietnam was one of more than 40 countries to sign the London Declaration on Illegal Wildlife Trade, committing to greater efforts and coordination to strengthen policies and enforcement, and reduce consumer demand for wildlife products. Vietnam also participates in the ASEAN-Wildlife Enforcement Network with national focal points in CITES Management Authority, National Environmental Police and the General Department of Customs Anti-smuggling Unit. During 2014-2015, Vietnam also holds a leadership position in chairing the ASEAN-WEN. In April 2014, the Prime Minister approved Vietnam's National Tiger Recovery Program for the period 2014-2022, which contributes to Vietnam's commitments to the Global Tiger Initiative, and aims to protect and conserve tigers, their habitat and prey, reduce the decline in wild populations, and investigate and tighten control on tiger farming operations. In addition, the issuance of the Biodiversity Law (2008) highlighted the increasing attention from the Government on wildlife conservation and the importance of changing public attitudes and behaviours towards preserving wildlife species and the use of their products. The project supports the Prime Minister's Directive 03/CT-TTg issued in February 2014, on prioritising enforcement to combat illegal poaching and wildlife trafficking, and the Communist Party's Central Committee for Propaganda and Education (CCPE) issuance of Guideline 98-HD/BTGTW in December 2013, on enhancing communication to reduce consumption and trade of wildlife products. The project is designed to continue developing and scaling up the work begun under the project "Wildlife Consumption in Vietnam: Reforming policies and practices to strengthen biodiversity conservation" (WLC Project). The WLC Project was funded by the Global Environment Facility via the World Bank, and implemented by the Ministry of Natural Resources and Environment from 2012 up to May 2015. There are also many NGOs working on various aspects of the demand reduction issue in Vietnam, including ENV, TRAFFIC, WWF, Humane Society International, Animals Asia Foundation, Wildlife Conservation Society, etc., but these efforts have not been well linked despite BCA's coordination efforts.

**Zambia:** The Zambia Wildlife Authority will review the CITES national legislation taking into consideration the recommendations from the revision of legislation done in July 2008. The Government has improved its law enforcement ability to track, apprehend and prevent wildlife crimes and has improved relations with other Governmental and Non-Governmental Organizations, within and outside the country to eradicate such crimes. Joint cross border law enforcement operations have been conducted between Zambia and Tanzania, Zambia and Zimbabwe and also Zambia and Malawi. Zambia also recognizes the emergence of Regional Wildlife Enforcement Networks in parts of Africa and in particular, the Wildlife Enforcement Network of Southern Africa (WENSA) and the importance they play in combating illegal wildlife trade across borders. The Zambia Wildlife Authority has an ivory stockpile at its central ivory strong room and consistently carried out ivory stock count of all government –held stocks and has submitted an inventory to the CITES Secretariat. The Government recognizes the negative impacts that illegal wildlife trade has on local community livelihoods and economic development in most impoverished rural communities living in Game Management Areas. To this effect, and with the support of a GEF-UNDP project, Zambia is supporting the strengthening of management and generating multiple environmental benefits within and around the Greater Kafue National Park and West Lunga National Parks.

**Zimbabwe:** In 2013, Zimbabwe launched the development of its second-generation National Biodiversity Strategy and Action Plan (NBSAP II) to address some of the threats facing biodiversity in the country as well as fulfilling its obligations under the United Nations Convention on Biological Diversity (UNCBD) and the Aichi Biodiversity Targets. Zimbabwe developed its second-generation National Biodiversity Strategy and Action Plan (NBSAP) in 2015. Various recently completed or ongoing projects support Zimbabwe's biodiversity conservation efforts. The World Bank-implemented, GEF-financed 'Hwange-Sanyati Biological Corridor (HSBC) Environment Management and Conservation' project is under implementation. The ongoing CAMPFIRE Programme, implemented by the Ministry of Local Government, Rural and Urban Development, aims to help rural communities to manage their resources, especially wildlife, for their own local development.

The ongoing 'Community Biodiversity Monitoring Project', funded by a grant from the Rufford Foundation, aims to train community volunteers to effectively record and monitor key species in the Matobo area during their daily activities. The Ministry of Environment Water and Climate, in partnership with OXFAM, is implementing a project on 'Scaling-Up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods' in three districts. The Kariba REDD+ Programme was initiated in 2009 through investment by a private developer, Carbon Green Africa. Zimbabwe is involved in six Transfrontier Conservation Areas (TFCAs), namely: the Great Limpopo Transfrontier Park and Great Limpopo Transfrontier Conservation Area that includes Zimbabwe, South Africa and Botswana, whose treaty was signed in 2002; Chimanimani TFCA, which covers Mozambique and Zimbabwe, signed in 2001; the Greater Mapungubwe TFCA, which encompasses Botswana, South Africa and Zimbabwe, the Kavango- Zambezi (KAZA) TFCA, which includes Angola, Botswana, Namibia, Zambia and Zimbabwe, signed in 2011; the ZIMOZA TFCA; and the Lower Zambezi-Mana Pools TFCA. These provide an opportunity for transfrontier conservation efforts, including collaboration in addressing illegal wildlife trade. Sustainable Agriculture Technology (SAT) is implementing the European Union-funded 'Wildlife in Livelihood Development (WILD) Programme' (2013-2017), focusing on a variety of hardware, software, training and policy inputs for expansion of protected area networks through development and organisation of Community Wildlife Conservancies (CWCs), promoting more efficient and sustainable CBNRMU for long-term viability of tourism, wildlife, crop and livestock production in communal areas surrounding National Parks and other protected areas. The WILD Programme is currently involved in establishment of three medium- to large-scale Community Wildlife Conservancies (CWCs) owned and co-managed by the communities in three project areas. The Global Environment Facility Small Grants Programme is working with Biohub Trust on a project aimed at reversing land degradation through diversifying energy sources for household use and sustainable forest management under Hurungwe District in Mashonaland West Province. Zimbabwe has a MIKE/MIKES site that is also a target project site for the child project.

**Annex D**  
**CHILD PROJECT CONCEPT NOTES**

**NAME OF PROGRAM:**  
**GLOBAL PARTNERSHIP ON WILDLIFE CONSERVATION AND CRIME PREVENTION FOR SUSTAINABLE DEVELOPMENT**

**1. CONSERVATION OF SNOW LEOPARDS AND THEIR CRITICAL ECOSYSTEM IN AFGHANISTAN**

Project Title:	Conservation of snow leopards and their critical ecosystem in Afghanistan		
Country:	Afghanistan	GEF Project ID: <sup>23</sup>	tbd
GEF Agency:	UNDP	GEF Agency Project ID:	5844
Other Executing Partner:	Wildlife Conservation Society	Submission Date:	29/02/2016
GEF Focal Area(s):	Multi-focal area	Project Duration (Months)	36
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>		Corporate Program: SGP <input type="checkbox"/>
Name of parent program:		Agency Fee (\$)	243,438

**A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>24</sup>

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
Biodiversity (BD 2 – Program 3; BD 4 - Program 9)	GEFTF	1,187,706	3,976,570
Land degradation (LD-2, Program 3)*	GEFTF	612,202	2,046,764
Sustainable Forest Management (SFM-3)	GEFTF	904,954	3,011,667
<b>Total Project Cost</b>		<b>2,704,862</b>	<b>9,035,000</b>

\* USD 700,000 of CCM funds are being programmed as LD using the marginal adjustment facility

**B. INDICATIVE PROJECT DESCRIPTION SUMMARY**

<b>Project Objective:</b> To strengthen conservation of the snow leopard and its critical ecosystem in Afghanistan through a holistic and sustainable landscape approach that addresses existing and emerging threats.						
Project Component	Type <sup>25</sup>	Project Outcomes	Project Outputs <sup>26</sup>	Trust Fund	Financing (in \$)	
					GEF	Co-financing
Component 1: Illegal take and trade of snow leopards and human-wildlife conflict reduced through greater	TA	Capacity of community rangers and government officials raised (50%) to implement long-term monitoring program.  Knowledge of wildlife trade increased by 50%; communities and consumers educated on poaching and wildlife trade (25%); rangers and government agency	1.1 Assess and monitor illegal wildlife trade through: full assessment of wildlife trade in markets; system for monitoring trends (harvest, market consumers) in trade established 1.2 Range of trade reduction interventions implemented: education and outreach to local communities to reduce poaching of snow leopards and other wildlife; education and outreach to principle wildlife product purchasers/consumers	GEFTF	1,158,750	3,388,125

<sup>23</sup> Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.

<sup>24</sup> When completing Table A, refer to the excerpts on GEF 6 Results Frameworks for GETF, LDCF and SCCF.

<sup>25</sup> Financing type can be either investment or technical assistance.

<sup>26</sup> Details of outcomes and outputs are described further in the text. Ecological indicators of incremental values are described in the section on Global Benefits.

Project Component	Type <sup>25</sup>	Project Outcomes	Project Outputs <sup>26</sup>	Trust Fund	Financing (in \$)	
					GEF	Co-financing
community involvement		<p>personnel better informed about duties in relation to wildlife crime (30%).</p> <p>12 predator-proof corrals built; human-wildlife conflict decreases by 20%; decline in retaliatory killing of snow leopards by 50%.</p> <p>Knowledge of epidemiology and ecology of diseases in livestock and wildlife, including snow leopards, increased by 50%; monitoring of diseases increased by 50%.</p>	<p>1.3 Improved government capacity to combat illegal wildlife trade: improve landscape-level government capacity of rangers and border police to combat illegal trade; improve national government capacity through training of Afghan National Police, Customs and Judiciary; deployment of mobile app to enable government staff and others to assess wildlife trade products in the field</p> <p>1.4 Human-snow leopard conflict assessed and mitigated: community rangers trained to investigate and identify livestock predation events to inform targeted responses; conflict mitigation activities implemented (e.g., predator-proof corral construction); livestock-wildlife disease transmission assessed and mitigated; integrated approach to disease research and management implemented to understand the epidemiology and ecology of diseases in livestock, wildlife and human populations; creation of an information and reporting network based on veterinary auxiliaries, communities, and landscape managers to monitor and mitigate disease transmission and improve health at the livestock/ wildlife/ human interface</p>			
Component 2: Landscape approach to conservation of snow leopards and their ecosystem that takes into account drivers of forest loss, degradation and climate change impacts	TA	<p>Reduction in grazing pressure and fuelwood collection in riparian forests by 50% over baseline levels</p> <p>1,000 ha of degraded alluvial fans reforested in Wakhan region improving connectivity across PAs and resulting in carbon sequestration of 548,187 /per 10 year; 20 community representatives trained to manage plantations</p>	<p>2.1 Reduce unsustainable grazing and fuelwood collection in riparian forests through sustainable land use plans that promote conservation compatible land uses and livelihoods: data collection and analysis related to snow leopard and prey species to inform development of conservation-compatible land uses at the landscape level; sustainable fuelwood collection plan and grazing management plan developed and implemented; land use plans coordinated and aligned with the zoning requirements and conservation priorities of the Wakhan National Park; governance systems strengthened, rules and regulations developed, training and equipment provided to key actors; reforestation of alluvial fans in Wakhan</p>	GEFTF	1,417,312	5,195,125

Project Component	Type <sup>25</sup>	Project Outcomes	Project Outputs <sup>26</sup>	Trust Fund	Financing (in \$)	
					GEF	Co-financing
		First-ever models created for Wakhan-specific climate change impacts derived from a combination of remote and field-based data  Land-use and wildlife management plans incorporate climate resilient measures and approaches based on robust models and field data	Corridor through identification of appropriate sites and establishment of tree plantations; communities trained in tree husbandry for sustainable forestry practices; 2.2 Land use planning addresses the impacts of climate change on snow leopards and their ecosystem: environmental and social indicators for climate change impacts modeled to develop a baseline for assessing socio-ecological consequences of climate change in the region; on-the-ground monitoring systems of indicators (e.g., glacial retreat, lake expansion, water flow) created based on the active community ranger data collection system currently in place in the Afghan Wakhan; data on assessed climate-induced changes and impacts incorporated into adaptive land-use planning processes across snow leopard landscape			
Subtotal				GEFTF	2,576,062	8,583,250
Project management cost				GEFTF	128,800	451,750
Total project costs				GEFTF	2,704,862	9,035,000

### C. INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	National Environmental Protection Agency	In-kind	1,000,000
Recipient Government	Ministry of Agriculture, Irrigation & Livestock	In-kind	3,000,000
Recipient Government	Ministry of Rural Rehabilitation & Development	In-kind	1,000,000
GEF Agency	UNDP Afghanistan	In-kind	2,000,000
International NGO	Aga Khan Development Network	In-kind	2,000,000
International NGO	Wildlife Conservation Society	Cash	30,000
CSO	Wakhan Pamir Association	In-kind	5,000
Total Co-financing			9,035,000

### D. INDICATIVE TRUST FUND RESOURCES REQUESTED BY AGENCY, COUNTRY AND THE PROGRAMMING OF FUNDS<sup>a)</sup>

GEF Agency	Trust Fund	Country	Focal Area	Programmng of funds	(in \$)		
					GEF Financing (a)	Agency Fee (b)	Total (c)=a+b
UNDP	GEFTF	Afghanistan	Biodiversity		1,187,706	106,894	1,294,600
UNDP	GEFTF	Afghanistan	Climate Change*		612,202	55,098	667,300
UNDP	GEFTF	Afghanistan		SFM	904,954	81,446	986,400

Total GEF resources	2,704,862	243,438	2,948,300
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\* USD 700,000 of CCM funds are being programmed as LD using the marginal adjustment facility

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

## E. PROJECT PREPARATION GRANT (PPG)<sup>27</sup>

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

### PPG AMOUNT REQUESTED BY AGENCY, TRUST FUND, COUNTRY AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$) 130,000		
					PPG (a)	Agency Fee (b)	Total c = a + b
UNDP	GEFTF	Afghanistan	Biodiversity		60,000	5,400	65,400
UNDP	GEFTF	Afghanistan	Climate Change*		30,000	2,700	32,700
UNDP	GEFTF	Afghanistan		SFM	40,000	3,600	43,600
Total PPG Amount					130,000	11,700	141,700

\* USD 700,000 of CCM funds are being programmed as LD using the marginal adjustment facility

## F. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>28</sup>

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	1,950,000 Hectares
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	1,950,000 Hectares
3. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO <sub>2e</sub> mitigated (include both direct and indirect)	548,187 tCO <sub>2</sub> -eq

## PART II: Project Justification

### 1. Project Description

#### Global environmental problems, root causes and barriers that need to be addressed

Afghanistan is a land-locked country of sweeping plains and high mountains covering roughly 650,000 km<sup>2</sup>. Mountains make up over 65% of the landmass, with over 25% of the country above 2,500 m. The climate is continental in nature, with cold winters and hot summers, and most of the country is semi-arid or arid. Afghanistan has about 150 species of mammals, 515 birds, 112 reptiles, eight amphibians, 139 fish, 245 butterflies, and 3,500 to 4,000 vascular plant species native to the country. Unfortunately, many of these species are now considered globally or regionally threatened or near threatened. These include snow leopard, Persian leopard, Marco Polo sheep, urial, wild goat, markhor, Asiatic black bear, imperial eagle, greater spotted eagle, Pallas's sea eagle, lesser kestrel, white-headed duck, marbled teal, sociable lapwing, and large-billed reed warbler. The recent disappearance of the Asiatic cheetah (Afghanistan's tenth felid)

<sup>27</sup> PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$50k for PF up to \$2m (for MSP); up to \$100k for PF up to \$3m; \$150k for PF up to \$6m; \$200k for PF up to \$10m; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

<sup>28</sup> Provide those indicator values in this table to the extent applicable to your proposed project. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the GEF-6 Programming Directions, will be aggregated and reported during mid-term and at the conclusion of the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and/or SCCF.

and Siberian crane highlight the need for improved protection and management of Afghanistan's biodiversity.

The snow leopard (*Panthera uncia*) is the top predator of Asia's great mountain ranges. In spite of being a flagship for conservation, the snow leopard is threatened and listed as Endangered (C1) on the IUCN Red List. IUCN describes snow leopard populations as estimated to have declined by at least 20% over the past 16 years with the wild population currently assumed to be between 4,500 and 7,500 individuals and declining. Threats include poaching for the fur and for the traditional medicine trades, capture for the pet trade, retaliatory killing by livestock herders, and loss of their prey – primarily wild mountain sheep and goats – from over-hunting.

Afghanistan encompasses the far western range extent of the snow leopard's distribution. Included within Afghanistan's range is the Wakhan Corridor – recently designated as Wakhan National Park<sup>29</sup> – holding Afghanistan's only populations of Marco Polo sheep (*Ovis ammon polii*) and various other threatened species, including snow leopards. Wakhan is also the “corner” of Asia's great mountains, and is globally important as a corridor connecting snow leopard ranges in the east such as the Pamirs, Karakorams, and Himalayas with the Altai, Kunlun, Tien Shans and other ranges to the north. At an international snow leopard conservation conference in 2008, the Wakhan was identified by experts as a global priority Snow Leopard Conservation Unit; and the Global Snow Leopard Ecosystem Program (GSLEP) identified Wakhan as one of its 20 critical snow leopard landscapes in 2013.

Afghanistan remains a predominately rural nation with up to 80 percent of the population involved in farming or herding, or both. Increasing human population and other factors such as impacts of climate change are putting severe pressure on the country's natural resources. Thus, not only is it essential to protect the land and the systems it supports for biodiversity conservation but it is important for these natural resources to be restored and conserved so that the ecosystem services such as soil fertility, erosion control, crop pollination, and climatic stability, are sustained to secure the rural livelihood.

Unfortunately, Afghanistan's environment has been dramatically and negatively affected over the course of the last quarter century from near-constant conflict and associated pressures related to the destruction of infrastructure, movements of large numbers of internally displaced people, an influx of modern weaponry, extreme poverty, and an almost total lack of enforcement. The results have been that rangelands have deteriorated, forests have been felled, and wildlife populations have greatly diminished from uncontrolled hunting and habitat degradation.

**Hunting and wildlife trade** is a major threat to many economically important wildlife species in Afghanistan. The rapid increase in accurate, high-powered weapons due to the years of conflict, combined with a near-complete breakdown of enforcement mechanisms related to national and even local rules and regulations on hunting, has led to unsustainable take of most large and/or commercially exploitable species. A related threat is the illicit wildlife trade. The global trade in wildlife constitutes big business. In 2001, an estimated 350 million live animals were traded around the globe with a net worth of almost US\$20 billion. Around one quarter of this trade was thought to occur illegally, making wildlife trade the second most profitable form of illicit global trade – superseded only by drug trafficking. The immense value of wildlife trade markets creates a strong incentive for hunters and traders to continue to overharvest wildlife species even in the face of declining populations. Afghanistan appears to be following the global trend of increasing trade in the face of decreasing wildlife populations.

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<sup>29</sup> In 2014, the Afghanistan Government declared the entire Wakhan District, one of the most remote areas of Afghanistan, as the nation's second national park. The new park is just over 1 million hectares and is in Afghanistan's far northeast, bordering Tajikistan, Pakistan and China. Its narrow valley landscape is sandwiched between the Pamir and Hindu Kush Mountains. This huge new protected area is about 25 percent bigger than Yellowstone National Park. ([http://www.iucn.org/about/work/programmes/gpap\\_home/?14658/WCS-Appraises-Afghanistans-Declaration-Establishing-Entire-Wakhan-District-as-the-Country's-Second-National-Park](http://www.iucn.org/about/work/programmes/gpap_home/?14658/WCS-Appraises-Afghanistans-Declaration-Establishing-Entire-Wakhan-District-as-the-Country's-Second-National-Park))

**Human-wildlife conflict** is a major threat to wildlife in Afghanistan. Wakhan is occupied by two ethnic minorities: the Wakhi who number around 13,000, live in the western part of the landscape; and the Kyrgyz who total around 1,500, inhabit the higher-elevation eastern regions. These people are extremely disadvantaged: child mortality rates are one of the highest in the world and exceed 50% in some places; education levels are very low, basic services are non-existent across much of the landscape, there are very few paid employment opportunities, and external aid is required to achieve basic food security. Livestock are a central part of livelihoods in Wakhan – the communities have few other livelihood opportunities. Living at lower elevations, the Wakhi community is able to grow some crops; however, yields are very low and are usually insufficient to meet a family’s needs. The Kyrgyz communities are solely dependent on their livestock because their climate is too cold for any crops to grow. Given the dependence of people on livestock across this landscape, it is no surprise that retaliatory killing of snow leopards for real or perceived predation by snow leopards is prevalent.

Internationally, there is growing recognition of the importance of integrating the traditionally separate fields of livestock, wildlife, and human health management. Such an approach is urgently needed in the Wakhan of Afghanistan, where a large percentage of the populace is directly dependent on livestock for their livelihood. Disease is one of the greatest threats to this resource, and diseases in livestock can easily cross species boundaries and negatively affect wildlife populations, yet virtually nothing is presently known about transmission of disease between livestock and wildlife. There is little ability for the central government to provide modern livestock health care in this remote region. Therefore, there is an urgent need for a multi-disciplinary effort to improve the understanding of the livestock, wildlife, and human disease interface at the ecological and landscape level in the Afghan Wakhan through data collection, focused research, and capacity building aimed toward reducing the risk of disease transmission among and between domestic and wildlife species. Without such an initiative, livestock, wild ungulates, the snow leopard (which depends on wild ungulates for food), local livelihoods, and even human health (through the spread of zoonotic diseases) are all at risk.

**Overharvest of riparian forests and shrub lands** is having an adverse impact on Afghanistan’s economy and biodiversity. Across much of the country, unsustainable land use practices are causing moderate to severe deforestation, overgrazing, depleted ground water reserves, reduced surface water quantity and quality, erosion, salinity, lowered soil fertility, and the loss of biodiversity.

Riparian forests and alpine shrub lands are critical components of wildlife habitat in Wakhan. Aside from providing habitat and food for birds, plants such as *Artemisia*, buckthorn and wild rose are important food for wild ungulates. Wakhan’s ungulates – urial, ibex and Marco Polo sheep – are critical members of the ecosystem, and are the main prey for apex predators such as the endangered snow leopard. The woody plants provide critical summer and winter forage, as they provide browse when snow and ice cover grasses and other plants. Forests and shrub lands are also key to local, national, and regional watershed management as they help to stabilize soils and improve water quality; they help to reduce run-off and soil erosion, and they help mitigate natural disasters such as floods and landslides.

These riparian forests and dwarf alpine woodlands are also critical to local livelihoods as they are the primary source of plant-based fuel for cooking and heating at these high, cold elevations. Unfortunately, this region also contains the poorest rural communities who often have no choice but to overuse their areas (through shrub and wood collection for fuel and overgrazing their stock) in order for their families to survive. This unsustainable use not only threatens long-term survival for these communities, but also threatens wildlife and downstream watershed functionality.

However, Wakhan’s fuelwood problem does not only affect humans. Mountain ungulates such as Marco Polo sheep, ibex and urial feed heavily on fuelwood species such as *Artemisia*, especially in winter. The disappearance of these food sources negatively affects the wild ungulate populations, which in turn reduces

abundance of predator species such as snow leopard (and results in predation on livestock when wild prey is no longer easily available). The continued degradation of these woodlands threatens both the Wakhan's wildlife and human communities.

**Climate change** is another, overarching threat to biodiversity in Afghanistan. Global climate models project that the Pamirs, owing to its dual characteristics of aridity and extremely high elevation, is likely to experience an amplified response to climate change – the World Bank identifies this region as likely to have the strongest impacts in all of Europe and Central Asia combined. Afghanistan's characteristics of aridity and elevation also mean that the country's fragile ecosystem has an enhanced environmental susceptibility to even subtle changes in temperature and rainfall regimes. Climate change will amplify current stressors to species such as overgrazing and hunting, and small fragmented populations of species are unlikely to have the adaptive capacity to overcome climate change events. Climate change also enhances the potential for species currently existing at lower elevations to become established and propagate at higher elevations, including pathogens. Of particular concern is the potential for the distributional expansion of arthropod vectors to higher-elevation habitats, leading to the emergence of diseases only known at lower altitudes, threatening both wildlife and local livelihoods.

Observations from the past several decades identify that the Pamirs are already experiencing significant warming trends consistent with model projections. Climate change is causing glacial retreat in this region, which is affecting the hydrological processes in the Pamirs and surrounding regions. It is estimated that glaciers in the area have shrunk by nearly 20 percent in the last 30-35 years, and the long-term destabilizing effects of the melting of frozen upper slopes may alter critical grazing regions and alter watershed dynamics. Although there have been some studies looking at modelling likely regional climate change impacts, no projects have focused directly on Afghanistan's upper catchment areas (the Afghan Pamirs such as Wakhan District), despite being critical to the country's biodiversity management and to water management (as the source and "water tower" for major regional rivers such as the Amu Darya). There is clearly a serious need to investigate and document potential (and ongoing) climate change impacts to this area, as it likely will have serious repercussions to wildlife such as snow leopards and Marco Polo sheep (the majority of which are found in this part of the country) and to human livelihoods not just in the Afghan Wakhan but downriver for millions of people in the region.

There are two key barriers to conservation and sustainable management of snow leopard landscapes and prey habitats in Afghanistan, as described below.

*Barrier 1: Weak capacities for controlling illegal wildlife trade and human-wildlife conflict, underpinned by insufficient involvement of local communities in conservation solutions.* Afghanistan has struggled to regulate trade in wildlife populations as only a few studies have been conducted on the status of wildlife take and trade in the country since the 1970s. There is a need to update the available information to determine the status of trade in Afghanistan. Such surveys will be crucial for enhancing the current understanding of harvest patterns and trade markets in the country and will provide up-to-date information that will be important to Afghanistan as it proceeds to comply with international agreements like the Convention on International Trade in Endangered Species of Fauna and Flora (CITES) and the Convention on Migratory Species (CMS). Afghanistan already has various laws and regulations in place to manage and protect wildlife, including a Presidential Decree banning hunting, a Protected Species List (149 species) making it illegal to hunt specific species, and environmental legislation requiring a permit system for trade. However, enforcement in the field for any of these laws or regulations is almost non-existent. Although Afghanistan has been a member of CITES since 1986, significant gaps still exist in terms of implementation. Afghanistan only acceded to CMS in 2015, and enabling revision of legislation and implementation has not yet occurred.

The majority of the people in snow leopard habitat in Afghanistan are farmers and pastoralists, deriving their livelihoods out of the land. However, the ability of this land to support them – and to support snow leopards and their wild prey – has suffered from resource degradation, erosion, and poor management. There is a need to involve communities in co-management of snow leopard landscapes in Afghanistan, both inside and outside protected areas, in order to ensure the long-term survival of snow leopards and other wildlife. This is especially true in areas where snow leopards are found, as these high-elevation mountains are also the most remote and difficult-to-access areas in the country. The ability to build community level environmental governance institutions, and then link them with both the provincial and national government bodies, will be necessary to find and implement solutions to unsustainable practices and wildlife conflict issues that threaten snow leopards in Afghanistan.

*Barrier 2: Absence of a landscape-level approach to snow leopard habitat conservation.* Afghanistan's ability to manage and conserve its wildlife heritage has been greatly hampered by a lack of any holistic, landscape-level approach to management. Across snow leopard habitat, landscapes are characterized by moderate to severe overgrazing, depleted ground water reserves, reduced surface water quantity and quality, erosion, salinity, lowered soil fertility, and the loss of biodiversity. These are linked to unsustainable land use practices. The amount of productive land in Afghanistan, especially at higher elevations, is highly limited and under great pressure. The continued degradation of this land threatens both the wildlife and the human communities. Overgrazing is exacerbated by drought and feedback cycles that worsen the initial effects through soil erosion and desertification, which further increase pressures on remaining rangelands. Shrubs in these areas are the primary source of fuel for heating and cooking. Shrubs are also critical food for both livestock and wild ungulates, and protect the soil from erosion and shelter herbaceous plants from livestock grazing. The amount of time necessary for regrowth is so long that current harvests are unsustainable, leading to denuded landscapes near villages and the necessity to travel greater distances to gather shrubs. Any effort to conserve snow leopards will need to look at the multiple threats and impacts across the landscape to ensure adequate protection.

#### **Baseline scenario/ associated baseline projects**

The *Global Snow Leopard and Ecosystem Protection Program* (GSLEP) is the main international baseline framework for this project. It unites the snow leopard range states, UN agencies, and NGOs in the effort to conserve this species, based on the International Agreement signed in Bishkek in 2013. By being part of the GSLEP, Afghanistan will benefit from standards and models developed under the GSLEP. Range states are expected to develop Snow Leopard Ecosystem Protection Plans.

The strategic framework for this project is the four-year Afghanistan *National Snow Leopard Ecosystem Protection Plan* (NSLEP). The main goal of the strategy and action plan is to prevent the decline of the snow leopard population in Afghanistan. The plan defines the following critical areas for intervention: reducing habitat loss and degradation; reducing livestock impact on wild prey base; reducing retaliatory killing of snow leopard; improving institutional capacity; improving awareness; and addressing climate change. This project is designed to support these plans as outlined in the NSLEP. Although the GSLEP identifies costings for snow leopard conservation in Afghanistan at \$23,200,000, the NSLEP identifies costs at \$3,255,000 over four years.

Biodiversity conservation and sustainable land and forest management are covered in a range of legal and policy instruments including: the Afghanistan Constitution, Environment Law, Hunting and Wildlife Management Law, Pasture Law, Forest Law, Land Management Law, Interim Protected Area Tarzulamal (IPAT), National Biodiversity Strategy and Action Plan, and National Protected Area System Plan. Environmental conservation is recognized as an important concern of the Government of Afghanistan. Article 15 of the Constitution calls for the State to “adopt necessary measures for... proper exploitation of natural resources and improvement of ecological conditions.” Article 7 directs the State to abide by the UN

Charter and international conventions that Afghanistan has signed (CBD, CITES, UNCCD). Afghanistan's National Biodiversity Strategy Action Plan (NBSAP) calls for the establishment of legally recognized, adequately funded and effectively managed protected areas as one of the most important actions. The Afghanistan National Development Strategy (ANDS) released in 2008 placed environment as a "cross cutting issue" to the three main pillars of Afghanistan's National Strategy: (i) Security, (ii) Governance, Rule of Law, and Human Rights, (iii) Economic and Social Development. Under environmental management, the ANDS prioritizes restoration and sustainable use of rangelands and forests, conservation of biodiversity, preservation of Natural and Cultural Heritage sites or resources, community based natural resource management, reducing pollution, and improving environmental management, education and awareness. In addition, the Environment Law of 2007, Articles 38 and 39, directs NEPA to develop a National Protected Area System Plan (NPASP). The NPASP has been in force since November 2010 and sets a goal "to establish a national legacy of exceptional areas, preserving in perpetuity representatives of the nation's biodiversity, and natural and cultural features managed sustainably in cooperation with, and to the benefit of, local peoples".

While the country continues to face many pressing security and development concerns, some progress has been made in improved security, economic development, increased confidence in the rule of law, and coordinated support for sustainable progress in Afghanistan. Moreover, there is a growing recognition that natural resource management is the foundation for reconstruction in the country, and that men and women in rural areas have a vital role to play. Given the security situation and cultural complexities of Afghanistan, the co-management approach is likely to be the most cost-effective approach for furthering biodiversity conservation, and sustainable land and forest management in the country. There is already a UNDP-GEF protected areas project under implementation in the Wakhan corridor that is executed by WCS to build relationships and capacities with local communities on the ground. It is also important to note that relative to other parts of the country, the Wakhan corridor is seen as less prone to violence, with local people being very receptive to the ongoing UNDP-GEF protected areas project. Besides, WCS has a long established project in Kabul and in the field based on multiyear USAID backed program. That program has included ongoing evaluation of the security and viability of the project since program inception in 2005.

Government spending in the Wakhan region consists of support from the operational budget of the National Environmental Protection Agency (NEPA) and support for natural resource management projects mainly led by the Ministry of Agriculture, Irrigation and Livestock (MAIL). NEPA's regional budget is estimated at USD \$300,000 and MAIL's NRM regional budget is estimated at USD 750,000 over the life of the proposed project. Donor-funded initiatives in the baseline include the USAID funded MIAD (Multi-Input Area Development) that is being implemented by the Aga Khan Development Network (AKDN) estimated at USD 4,500,000 over the life of the proposed project. The baseline also includes investments from cross-sectoral donor-funded national programmes namely, the National Area Based Development Programme (NABDP) with an estimated regional budget of USD 3,000,000 over the life of the proposed project.

**Proposed alternative scenario, consistency with GEF focal area<sup>30</sup> strategies, with a brief description of expected outcomes and components of the project**

The alternative scenario will seek to address major threats to snow leopard survival in Afghanistan, while implementing priority snow leopard conservation activities identified in the national strategy and action plan. Two components have been designed to address the barriers described above.

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<sup>30</sup> For biodiversity projects, in addition to explaining the project's consistency with the biodiversity focal area strategy, objectives and programs, please also describe which Aichi Target(s) the project will directly contribute to achieving.

**COMPONENT 1: ILLEGAL TAKE AND TRADE OF SNOW LEOPARDS AND HUMAN-WILDLIFE  
CONFLICT ARE REDUCED THROUGH GREATER COMMUNITY INVOLVEMENT**

This component is designed to build on previous activities in Afghanistan to further the promotion of good governance and law enforcement measures related to wildlife crime and human-wildlife conflict in Afghanistan. In terms of illegal take and trade, there are three interrelated parts to this initiative – building an enhanced understanding of wildlife trafficking in Afghanistan to inform management and enforcement; activities to affect demand for illegal wildlife products; and improving enforcement. In terms of human-wildlife conflict, the three inter-related parts are – improve understanding of livestock predation events, identify effective local solutions, and mitigate disease transmission and improve health at the livestock/wildlife/ human interface.

**1.1 Collect data on wildlife trade in Afghanistan to inform management and enforcement.** This project will implement a full wildlife trade assessment to enhance the current understanding of harvest patterns and trade markets in the country. This information will be critical to Afghanistan as it proceeds to comply with international agreements such as the Convention on International Trade in Endangered Species of Fauna and Flora (CITES) and the Convention on Migratory Species (CMS), and it should help inform the development of harvest and trade regulations. Based on the results of the assessment, a system for monitoring trends (harvest, market consumers) in trade will be established. The objectives of this system will be to monitor and evaluate the activities of harvesters, markets, and consumers and identify trends in wildlife trade, including whether education and enforcement efforts are having an effect.

**1.2 Perform targeted outreach and training to impact wildlife trade in Afghanistan.** Based on the wildlife trade assessment, an outreach and education plan will be implemented that systematically addresses wildlife trade with communities (to reduce poaching at the source) and the principal wildlife product purchasers/ consumers.

Stopping wildlife crime at the source – the act of poaching – is a critical component of a comprehensive wildlife trafficking program. Outreach efforts will include meetings with adult members of every community in Wakhan, and education initiatives in all the schools in the district. The conservation education initiative will include tailored environmental curriculum materials focusing in particular on all 16 schools across Wakhan to build a better understanding of the need for snow leopard protection and conservation. Through these efforts the project will increase community understanding of why poaching is harmful to both the environment and local livelihoods, and enlist local support for coordinating and co-managing anti-poaching and anti-trafficking activities.

Previous studies have highlighted the importance of the international development community and the military as key drivers of this trade. Based on the assessment, focused outreach initiatives to inform development workers and military personnel will be implemented that will address the threat that wildlife trade holds for wildlife, rural communities, and the international community’s own safety and security as actors in an illegal activity.

**1.3 Improve governance capacity to combat illegal wildlife trade in Afghanistan.** In Afghanistan, government capacity and presence in rural areas is often minimal to non-existent. Thus, to impact wildlife trade in these areas, which is also where wildlife can still be found (and is poached), there is a need to involve local communities in the process. The Wildlife Conservation Society has trained and deployed over 51 community rangers in the Wakhan landscape, and this project will incorporate SMART (Spatial Monitoring And Reporting Tool) as a data collection and law enforcement management tool. SMART is a new technology that provides a platform to standardize the collection, management, evaluation, and

communication of patrol-based monitoring data through a user-friendly interface that bypasses the need for complex database skills and GIS software packages. SMART is a software program that collects, analyzes and displays over time data including geographic location, categories of threats and their location, and wildlife signs. It makes data collection better for several reasons; the systems are relatively simple to use, making it appropriate for community members in Afghanistan, many of whom have not had an opportunity for a high level of education and have had little or no experience with technology; and it displays information in an easy-to-understand, visually appealing manner, which is ideal for senior government officials who need to understand environmental issues in remote locations that they are unlikely to visit themselves.

The project will develop a system to encourage co-management of resources involving both government agencies and local communities in the Afghan Pamirs; develop best practice data collection, analysis and reporting methods and incorporate them into co-management planning; monitor a suite of indicators for evaluating environmental conditions and conservation effectiveness that are scientifically valid and sensitive to change; develop national mechanisms for aggregating and reporting SMART conservation effectiveness measures; improve national reporting to regional and international conventions on biodiversity; and populate a regional database for uploading and visualizing SMART conservation effectiveness measures with data from national conservation agencies. This co-management system is written into Afghanistan's legislation, for example as an important part of Afghanistan's Environment Law, the National Protected Area System Plan, and the Protected Area Tarzulamal; it has already been tested and proven in Afghanistan's first national park, Band-e-Amir through creation and operationalization of the Band-e-Amir Protected Area Committee.

Education for enforcement agencies is crucial to any effort to combat the illegal wildlife trade in any country. UNODC and Interpol recognize illegal wildlife trade as an organized criminal activity and allocated resources to combat it. The recent declaration by the United States Secretary of State also clearly identified illegal wildlife trade as a serious crime impacting not only biodiversity but also national security, and this has added to the impetus to have on-ground action to combat this trade. However, knowledge of the illegal wildlife trade among Afghan police, customs, and civil society is very limited. Therefore, without a program to raise awareness amongst enforcement officers the possibility of being successful in combating wildlife crime is near zero. The project will develop appropriate training materials for police and customs officers that can be incorporated in their basic training programs, and provide regular training workshops to incorporate this information and materials into their assigned duties and activities.

The project also will provide information on illegal wildlife trade and existing responsibilities to national government offices involved in the subject (Ministry of Agriculture, National Environmental Protection Agency, Ministry Of Justice, etc.) to help combat that trade. It will also work with these ministries and agencies to improve legislation as opportunities and requests for technical assistance arise (e.g., clarification of the search and seizure rules that presently exist under Afghan Law, particularly in relation to the Presidential Decree banning hunting in the country). This will include recommendations for regulatory improvements to align Afghanistan with their obligations to international conventions such as CITES and CMS.

Law enforcement officers lack access to resources for identifying species and products; this is particularly true for those with no formal expertise in biology, zoology or wildlife science training. Emerging technologies such as mobile applications are an easy-to-use tool for in situ identification. A mobile tool for species identification from wildlife products in the region has been developed for use on iOS and Android phones and tablets. A diagnostic key allows users to identify species, and the current version features ~75 species traded in the region. This tool will be rolled out to allow enforcement personnel to accurately

identify on-site illegally traded wildlife and wildlife products, which is critically important in the detection and suppression of wildlife crimes.

#### **1.4 Minimize conflict between local communities and snow leopards and associated prey species.**

Community ranger teams will be trained and mobilized to investigate livestock predation events. They will identify whether snow leopards were the cause and what the mitigating factors were (e.g., poor livestock management practices, an open corral design, etc.). The teams will also investigate wild prey predation events to learn more about the food habits of snow leopards. These sites will be identified both by information provided by community members and ‘real-time’ data received from satellite-collared snow leopards from Component 1. In addition, collaboration will be facilitated between the district government and the Wakhan-Pamir Association (a community governance institution), which together will investigate reports of hunting of snow leopards and prey species and uphold and enforce Afghanistan’s wildlife laws. To minimize human-snow leopard conflict, potentially vulnerable communities will be helped in designing and constructing predator-proof corrals to keep snow leopards from gaining access to livestock. This will be coupled with an outreach campaign aimed at improving livestock management practices and educating communities about the importance of snow leopards. Along with the construction of large-scale predator-proof corrals at key vulnerable sites, the effectiveness of existing household corrals will be improved at key locations to combat the potential of winter predation events (the season when snow leopards and wolves are most likely to attack livestock).

Along with livestock predation mitigation activities, a One-Health initiative will be implemented to research, monitor, and control diseases that may impact snow leopard and their prey, and that also potentially affect livestock and human health. Based on previous health work in the region, a livestock and wildlife disease surveillance and response system will be built and supported through training and mentoring on improved animal health services and national communication strategies. This includes identifying priorities for disease research (e.g., foot and mouth disease, brucellosis, bluetongue, anthrax, caprine contagious pleuropneumonia, nutritional deficiencies, etc.) of local and national concern in the Pamirs region. It will then foster an integrated approach, at both the agency and ministry levels, to disease research and management with an emphasis on understanding the epidemiology and ecology of diseases in livestock, wildlife and human populations. It will also train young scientists and future leaders in the agricultural, environmental and health sectors in an integrative and multi-disciplinary approach to study and manage diseases at the livestock/wildlife/human interface.

This component will develop an information network based on veterinary auxiliaries, communities and rangeland managers that will help monitor and mitigate disease transmission and improve health at the livestock/ wildlife/ human interface. These vertically integrated systems (from local herders to central agencies and back to communities) will advance the incorporation of disease management through collaborative research, the dissemination of tested approaches through new and established networks, and the collection and analysis of new data that constantly informs adaptive health strategies.

Snow leopards themselves are also susceptible to most if not all infectious diseases prevalent in domestic cats, and to canine distemper. This latter disease has been incriminated as a major factor in a recent Amur tiger population decline in Russia, as well as in a significant mass die-off affecting lions in the Serengeti ecosystem in Africa. Disease data will be collected on infectious agents that might affect snow leopards, including from domestic dogs in the Wakhan and from snow leopards themselves, to evaluate the prevalence and incidence of these disease vectors and assess the threat they may pose.

**COMPONENT 2: LANDSCAPE APPROACH TO CONSERVATION OF SNOW LEOPARDS AND THEIR ECOSYSTEM THAT TAKES INTO ACCOUNT DRIVERS OF FOREST LOSS, DEGRADATION AND CLIMATE CHANGE IMPACTS**

**2.1 Reduce unsustainable grazing and fuelwood collection in riparian forests through sustainable land use plans that promote conservation compatible land uses and livelihoods.** Riparian forests and alpine shrub lands are critical components of snow leopard habitat in Afghanistan. Aside from creating habitat and food for birds, these plants are important food for wild ungulates. Forests and shrub lands are also key to local, national, and regional watershed management as they help to stabilize soils and improve water quality, they help to reduce run-off and soil erosion, and they help mitigate natural disasters such as floods and landslides. They are also critical to improving local livelihoods, as they are the only source of plant-based fuel for cooking and heating at these high elevations. Unfortunately, these woodlands have been badly degraded through unsustainable harvest and grazing.

To combat this problem, sustainable land use plans covering the riparian forest and shrub land areas will be developed and implemented. These land use plans will be coordinated and aligned with the zoning requirements and conservation priorities of the Wakhan National Park. A reforestation initiative will be implemented, focusing on barren alluvial fans along the Wakhan Corridor adjacent to the Amu Darya River. Specific project sites will be selected through discussions with local communities. Sites will be prioritized based on the following criteria: (i) the presence of a barren alluvial fan that is suitable for forestry, (ii) presence of important wild ungulate habitat, and (iii) a demonstrated desire and ability by the village to successfully undertake the project. Species planted will be primarily native species such as buckthorn and willow. Community members and district agricultural officials will be trained in forestry practices to ensure long-term sustainability of the community forests. In addition, grazing management plans will be developed and implemented to mitigate the impact of overgrazing in these areas. Local governance systems will be strengthened, rules and regulations developed, and training and equipment provided to key actors.

To inform the development of conservation-compatible land uses at the landscape level, the project will support the collection and analyses of data on the snow leopard and its prey species. Satellite-collaring and monitoring snow leopards will provide information on home range sizes, daily and seasonal movements, and habitat use. Camera-trapping and non-invasive genetic sampling (fecal DNA) will be used along with mark-recapture models to estimate population size and trends. Taking a landscape approach, data will also be collected on the distribution and numbers of prey, humans and livestock, range conditions, and other biotic and abiotic factors that may influence snow leopard populations. GIS will be used to map these attributes and to aid in analyses. This will in turn help manage this species at the landscape level and enable the government to prioritize conservation activities, as well as balance those priorities with sustainable livelihoods for local communities. Increasing the capacity of Afghan rangers and government staff to undertake long-term monitoring to assess changes in these key indicators, will be critical. This will include training in data collection, analysis, and iterative adaptive management planning to ensure that conservation responses are timely and appropriately targeted.

**2.2 Improved understanding of socio-ecological consequences of climate change and incorporation into land use planning processes.** Little is known about climate change effects on the snow leopard and its prey species. However, given the likely strong and negative impacts of climate change on the snow leopard's environment in this region, there is a clear need to learn more in order to design efficacious conservation responses that focus on promoting climate-resilient land use, land management and forest management practices, which, in turn, will have positive impacts on this globally endangered species and its highly threatened landscape.

This component will include modelling of ecological and sociological indicators based on various climate change scenarios; and creating an on-the-ground monitoring system based on the existing community ranger data collection system. Current IPCC models will be modified to develop conservative-to-extreme predictions of regional climate change during the next 20 to 50 years in the Afghan Wakhan. These data will act a baseline for assessing the possible socio-ecological consequences of climate change in the region.

Then a system of on-the-ground monitoring systems will be created based on the active community ranger data collection system currently in place in the Afghan Wakhan. Finally, this project will work with all the Government and local communities to develop adaptive management scenarios, share data, and put in place systems designed to mitigate the negative effects of climate change on the region.

Modeling and monitoring climate change in the Afghan Pamirs is necessary but the final, critical step is to ensure that these data will be incorporated into land use planning processes across snow leopard landscape. The key to ensuring that these planning activities overcome the challenges climate change present is for the plans to be adaptive and iterative to develop an adaptive plan that stakeholders in the region can use to help plan for the impacts of climate change. Ecosystem-based planning approaches will be used that capture appropriate climate indicator data that feeds into planning in a way that local stakeholders can understand the consequences of both current and future actions. These data become an integral part of the conservation planning process and trigger actions when thresholds are crossed. This project will work with all stakeholders to make sure that the data and plans are made available to be included in a variety of planning processes, including the Wakhan National Park Management Plan's future revisions, along with community planning processes that are specific to local rangeland management.

**Alignment with GEF-6 Biodiversity, land Degradation and SFM Strategies:** The project addresses the issue of preventing the extinction of a known threatened species namely the snow leopard. Insofar as the snow leopard is threatened and listed as Endangered (C1) on the IUCN Red List, the project responds to BD 2 (Reduce threats to globally significant biodiversity) and Program 3 (Preventing the extinction of known threatened species) of the GEF-6 Biodiversity Strategy. Insofar as the project will promote conservation-compatible land use planning in the Wakhan corridor, it also conforms to BD 4 (Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors), Program 9 (Managing the Human-Biodiversity Interface). Component 2 of the PIF addresses sustainable management of riparian forests and in so doing responds to the GEF's SFM strategy. Specifically, it responds to SFM-3 (Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes; Outcome 5: Integrated landscape restoration plans to maintain forest ecosystem services are implemented at appropriate scales by government, private sector and local community actors, both women and men; Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors). By putting in place sustainable grazing management plans, the project will also generate benefits in the GEF's land degradation focal area, specifically in LD-2 (Generate sustainable flows of ecosystem services from forests, including in drylands; Program 3: Landscape, Management and Restoration).

**Alignment with the United Nations' Sustainable Development Goals:** The project is in line with Goal 15 that states: "Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss". More specifically, the project is likely to contribute to the following targets under Goal 15:

**15.5** Take urgent and significant action to reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species

**15.7** Take urgent action to end poaching and trafficking of protected species of flora and fauna and address both demand and supply of illegal wildlife products

#### **Incremental/ additional cost reasoning and global environmental benefits**

<b>Biodiversity</b>		
Uncontrolled poaching and wildlife trade threatens snow	Full assessment of wildlife trade provides baseline to define and implement monitoring	Capacity of community rangers and government officials raised

<p>leopards and other wildlife species.</p> <p>Absence of law enforcement mechanisms and capacity constrains effective responses to wildlife crime.</p> <p>Human-wildlife conflict provokes retaliatory killing of snow leopards, which impacts populations.</p> <p>Livestock-wildlife diseases present a major risk to snow leopards and prey populations.</p>	<p>program for trends; education program implemented to change attitude of consumers and communities on poaching and wildlife trade; training for wildlife rangers and border police, customs officials, and judiciary on their responsibility to enforce laws against wildlife crime; community rangers organized and trained to patrol and report illegal poaching activities; deployment of mobile app to improve identification of wildlife products. Community rangers trained to investigate and identify livestock predation events to inform targeted responses.</p> <p>Predator-proof corrals constructed in pasture areas prioritized for predator protection; effectiveness of existing household corrals improved to combat winter predation.</p> <p>Vets and para-vets operating in Wakhan trained to diagnose presence of diseases in livestock and wildlife, including snow leopards, and assess prevalence.</p> <p>Network established linking health experts in Wakhan with those at provincial and national level, enabling reporting of disease transmission, rapid decision making and allocation of mitigation resources.</p>	<p>(50%) to implement long-term monitoring program.</p> <p>Knowledge of wildlife trade increased by 50%; communities and consumers educated on poaching and wildlife trade (25%); rangers and government agency personnel better informed about duties in relation to wildlife crime (30%).</p> <p>12 predator-proof corrals built; human-wildlife conflict decreases by 20%; decline in retaliatory killing of snow leopards by 50%.</p> <p>Knowledge of epidemiology and ecology of diseases in livestock and wildlife, including snow leopards, increased by 50%; monitoring of diseases increased by 50%.</p>
<p><b>Land Degradation</b></p>		
<p>Overgrazing and fuelwood cutting in riparian forests leading to deforestation and erosion</p>	<p>Sustainable land use plans for riparian forests to control over grazing and unsustainable fuelwood collection</p>	<p>Stabilization of soils, improved water quality, reduced run-off and soil erosion</p>
<p><b>Sustainable Forest Management</b></p>		
<p>Overharvest of riparian forests and alpine shrublands is having an adverse impact on wildlife and human populations in Wakhan.</p> <p>The disappearance of this food source is affecting snow leopard prey species such as Marco Polo sheep, ibex and urial.</p> <p>Local people who depend on native wood fuel for heat and cooking are finding these resources dwindling.</p>	<p>Sustainable management plans for riparian forests to control over grazing and unsustainable fuelwood collection</p> <p>Plantations of willow and buckthorn established for selected communities on alluvial fans along the Wakhan Corridor; community members trained in managing them to ensure maximum levels of tree survival and sustainability.</p>	<p>Reduction in grazing and fuelwood collection pressures</p> <p>500,000 seedlings established in alluvial fans in Wakhan region; 20 community representatives trained to manage plantations.</p>
<p><b>Cross-cutting (affecting biodiversity, land degradation and sustainable forest management)</b></p>		

<p>Data on climate change specific to the Wakhan is extremely limited, despite regional studies and anecdotal evidence suggesting that impacts to Afghanistan will be considerable.</p> <p>No initiatives have been taken to begin to design and implement adaptive measures to address likely impacts of climate change.</p>	<p>Indicators for measuring the social and environmental impacts of climate change identified and community monitoring program (glacial retreat, lake emergence and expansion, rainfall seasonality, river flow rates) established.</p> <p>Baseline models devised against which subsequent changes will be measured.</p> <p>Land-use and wildlife management plans informed by results of indicator monitoring.</p>	<p>Climate change indicators identified; climate change field data collected; estimation of glacial retreat updated.</p> <p>First-ever models created for Wakhan-specific climate change impacts derived from a combination of remote and field-based data.</p> <p>Land-use and wildlife management plans include climate resilient measures and approaches based on robust models and field data.</p>
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## 1. Innovation, sustainability and potential for scaling up

**Innovativeness:** Project innovativeness comes in part from the comprehensive, and multi-faceted cohesive combination of initiatives and interventions that simultaneously and holistically deal with many of the threats facing snow leopards in the Afghanistan context – lack of knowledge, wildlife trafficking, conflict and disease, and climate change. Most projects attempt to mitigate one or two at most of these threats, disregarding the fact that real conservation success is unlikely without simultaneous interventions that address the full suite of threats. Innovation is also found in the focus on ensuring full community involvement and co-management systems in all components of the project. This project will also take advantage of and pilot new advances in technology to improve the efficiency and effectiveness of snow leopard and prey research as well as wildlife anti-poaching and enforcement efforts (i.e., SMART, app).

**Sustainability, replication and dissemination:** This project will promote environmental sustainability through interventions that reduce direct threats to snow leopards such as illegal hunting and trafficking, human-snow leopard conflict, disease transmission, and habitat degradation through the overharvesting of fuelwood. These positive outcomes will be secured in the long term by a combination of improved capacity for conservation management and a strengthened institutional and legislative framework.

The capacity of local communities and government agencies – both in the Wakhan landscape and at the national level – to appreciate the importance of biodiversity conservation, monitor the status of key species, and manage the landscapes on which they depend will be enhanced through formal training and skills-building and through direct participation in conservation interventions.

The project will promote the principles of co-management enshrined in national policy and legal instruments by actively integrating representative institutions such as the Wakhan Pamir Association and its constituent village development committees (all of which guarantee women’s participation) into the design and management of conservation activities. Governance of natural resources in the Wakhan will be strengthened by forging links between local communities and all tiers of government up to national level.

Gaps in existing legislation, especially pertaining to wildlife protection, will be addressed through the provision of technical guidance, best-practice information, and legislative recommendations. The project will specifically focus on supporting NEPA and MAIL to create the necessary mechanisms to implement Afghanistan’s obligations to CBD, CITES, and CMS. Lessons learned from the project will be shared with other snow leopard range countries involved in the GSLEP through regular reports to the secretariat and attendance by Afghan government snow leopard specialists at future GSLEP conferences.

## 2. Stakeholders

Key stakeholders are identified below, along with a brief description of how they will be engaged in project preparation.

Stakeholder	Role
<b>Government agencies</b>	
National Environmental Protection Agency	NEPA is the government body with overall responsibility for environmental issues in Afghanistan. It will be a close collaborator in this project. NEPA was established in 2005, the same year that Afghanistan's first Environmental Law was drafted and signed by President Hamid Karzai; this law defines the agency's function as well as its powers. NEPA serves as Afghanistan's environmental policy-making and regulatory institution. Its role is to regulate, coordinate, monitor and enforce environmental laws. NEPA plays a major role in environmental protection and is the central point in dealing with the management of Afghanistan's environment so that it benefits all the citizens of Afghanistan. In the context of this GEF project is NEPA's role to coordinate Afghanistan's international environmental affairs, additionally to its role of local and national coordination.
Ministry of Agriculture, Irrigation, and Livestock	MAIL is a partner with NEPA in environmental stewardship in Afghanistan. MAIL's mission is to restore Afghanistan's licit agricultural economy through increasing production and productivity, natural resource management, improved physical infrastructure and market development. The Department of Natural Resources Management of MAIL is partnering with NEPA in the development of protected areas in Afghanistan. As Central Management Authority (CMA), MAIL has the day-to-day management responsibility for activities related to protected area management, forestry and rangeland management.
<b>Communities and community institutions</b>	
Wakhan-Pamir Association	The local community based social organization representing communities across Wakhan on all matters related to natural resource management. WPA will be critical for community engagement and collaborative management in the project. They will have an important role to play in basically all project activities.
<b>Non-government organizations</b>	
Wildlife Conservation Society	WCS has been implementing environmental conservation projects in Afghanistan since 2006, with approximately \$24 million from USAID for two conservation and governance projects (2006-2014), and it is currently executing the GEF-UNDP GEF Full-Sized Project "Establishing integrated models for protected areas and their co-management in Afghanistan". WCS has over 60 staff in-country and has been working on conserving snow leopards and their habitat for the past 10 years.

### **3. Gender Equality and Women's Empowerment**

Gender equality will be mainstreamed into project preparation by taking into account the differences, needs, roles and priorities of women and men as follows.

In many parts of Afghanistan, the lives of men and women have historically been governed by deeply engrained gender roles. Because of this, special efforts will be made to ensure that women's voices and concerns are heard and acted upon at every stage of the project, including through the mechanism of women's representation on the executive board of WPA. In the Wakhan, the Wakhi cultures have much less divided gender roles than most other parts of the country, allowing for greater input, influence, and

participation from women. The project will build on an innovative environmental education program currently implemented in every school in the Wakhan that has proven its ability to attract and involve girls in local resource management. (This is a hands-on program that gets the students out in the communities conducting research and actively engaging in outreach activities.) At the national level, NEPA has already indicated its support for working to increase participation of women in many areas of natural resource management, including the hiring and deployment of the first four women rangers in Band-e-Amir National Park.

#### 4. Risks

At the stage of developing the PIF, potential risks that might prevent the project objectives from being achieved were identified at a broad level. During the PPG, as the logical framework for the project is developed, the risks will be further refined.

Risk	Level	Mitigation
Resurgence of conflict in Afghanistan and lessened internal security.	M	Choice of pilot sites in provinces with historically low security risk; complete integration with government entities; close contact with local security agencies and long-standing good relations with local communities. Strong security management put in place to meet changing circumstances during project implementation. Measures include: employment of staff with appropriate Afghan or conflict related experience, as well as trained security guards and drivers as necessary. Internal policies and strategies for minimizing risk and reacting to security incidents. Regular review and adaptation of security procedures.
Lack of government support due to prioritizing economic/ infrastructure development over environmental protection and management.	M	Full involvement of key government stakeholders in all aspects of project design and development will be ensured. Mobilisation of government project partners (NEPA/MAIL) to advocate for snow leopard and ecosystem management as a policy priority.
Communities might not buy in to the new approaches in conservation management procedures.	L	Strong collaboration and partnerships with local communities will assure that project activities are fully integrated into community planning and enable communities to assume ‘ownership’ over the project components.
Asymmetric power and gender relations in local communities lead to exclusion of some key stakeholders or internal conflict that impedes implementation.	L	The project will support strengthening of the existing community-based natural resource management institution (WPA), which has transparent and democratic rules and processes that constrain the capacity for local elites to dominate community discourse and decision-making. Reinforcement of women’s voices in community decision-making processes through increased representation in WPA will be ensured. Ongoing monitoring by project staff of gender representation and local power dynamics among project beneficiaries. Continued focus on and targeting of women’s groups and women’s participation in economic activities.

#### 5. Coordination

The project is coordinated with the GEF Full-Sized Project “Establishing integrated models for protected areas and their co-management in Afghanistan”, which is a four year project under implementation by UNDP and execution by the Wildlife Conservation Society (WCS). The project is due to end in December 2018. This \$7.24 million project, with another \$1 million of co-funding from UNDP, is designed to develop a national protected area system in Afghanistan to protect biodiversity and enhance ecosystem function and

resilience in ecologically important areas. This includes a number of protected areas in snow leopard range in Afghanistan, including the recently announced Wakhan National Park, which totals nearly 11,000 km<sup>2</sup> and covers the entire Wakhan District in north-eastern Badakhshan Province. Key achievements of this project in the Wakhan area will include: a National PA system is established with legal, planning, policy and institutional frameworks for expansion and management of the PA estate in the country; protected area coverage and protection status is improved to increase biodiversity representativeness and ecological resilience; and management effectiveness is enhanced within existing and new protected areas and climate resilient SLM applied to reduce threats in and around PAs. . The project proposed in this PIF will build on and complement this work by focusing specific conservation initiatives on the endangered flagship species of this region – the snow leopard – which is also a cultural icon and Afghanistan’s National Mammal. A focus on the snow leopard will also lead to effective conservation aimed at other large mammals as critical prey species (i.e., Marco Polo sheep, ibex, urial), and will also lead to effective conservation for other species due to the umbrella species effect (e.g., improved land management, anti-poaching initiatives, etc.). This project will be implemented in the core area for snow leopard conservation in Afghanistan and the primary focal area for implementation of the Afghanistan National Snow Leopard Ecosystem Protection Plan (NSLEP). WCS participated in the original drafting of the NSLEP for Afghanistan and has acted as primary technical adviser to the Afghan government in all matters relating to the execution of the plan and Afghanistan’s participation in the Global Snow Leopard Ecosystem Protection initiative into which all NSLEPs feed. Furthermore, components one and two of this proposal address directly five of the main activity areas outlined in the NSLEP (satellite telemetry, monitoring of snow leopards and habitats, monitoring of prey species, and awareness raising of the importance of snow leopard conservation). Coordination between the project and NSLEP will be enhanced by the excellent long-standing working relationship between WCS and NEPA which is the national focal point both for NSLEP and also GEF.

#### **6. Consistency with national priorities**

The project is consistent with the recommendations of the ‘Global Snow Leopard and Ecosystem Protection Programme’ and the ‘National Snow Leopard and Ecosystem Priority Protection for Afghanistan’, and it has been a direct response to the request of the Government of Afghanistan for assistance in the implementation of this document. By implementing these activities it is possible to create conditions for preservation and increase of snow leopard population in Afghanistan’s Wakhan region.

Environmental conservation is recognized as a pressing concern of the Government of Afghanistan. Article 15 of the Constitution calls for the State to “adopt necessary measures for... proper exploitation of natural resources and improvement of ecological conditions.” This project will contribute towards the National Priority Programs (NPP) 16, which contains specific actions on environmental conservation addressing forestry, protected areas and capacity development at all levels so that in the future citizens are trained and equipped to protect their environment and resources. Afghanistan has signed and ratified CBD, CITES, CMS, and the UNCCD, and this project will help the country achieve its international obligations in relation to these conventions.

The project is designed to implement portions of the *National Biodiversity Strategy and Action Plan of Afghanistan* since it is aimed at conservation of Afghanistan’s biodiversity and ensuring sustainable use of natural resources. This includes to perform assessments of Afghanistan’s wildlife; to improve understanding of Afghanistan’s biodiversity resources and their conservation requirements; to develop and implement the support mechanisms (including rules, regulations, education and awareness) necessary for effective biodiversity conservation; to prevent illegal or unsustainable use of biodiversity resources; to control impacts on biodiversity resources resulting from climate change; to develop and implement mechanisms and plans for maintaining critical ecosystems such as forest and woodland; to ensure that government organizations have sufficient capacity and resources to carry out Afghanistan’s obligations as a signatory to the CBD and other multilateral environmental agreements.

The project directly supports the achievement of all **Aichi Strategic Goals**:

Strategic Goal A: Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society;

Strategic Goal B: Reduce the direct pressures on biodiversity and promote sustainable use;

Strategic Goal C: To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity;

Strategic Goal D: Enhance the benefits to all from biodiversity and ecosystem services; and

Strategic Goal E: Enhance implementation through participatory planning, knowledge management and capacity building.

It also supports Aichi 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;

Target 5: By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced;

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,

Target 14: By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable;

And Target 15: By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification.

## 7. Knowledge Management

The project will follow UNDP's approach to learning and knowledge sharing as encapsulated in its M&E Strategy/ Approach. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus. In terms of being informed by lessons and experience of past projects, the dialogue with ongoing baseline initiatives has already begun in the preparation of this PIF (see baseline section for the list of baseline initiatives with which coordination is already underway).

PART III: Approval/ endorsement by GEF Operational Focal Point and GEF agency

### A. RECORD OF ENDORSEMENT<sup>31</sup> OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):

(Please attach the [Operational Focal Point endorsement letter](#)(s) with this template. For SGP, use this [SGP OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Mostapha Zaher	Director General a.i.	National Environment Protection Agency, Member of Cabinet, GEF OFP	02/28/2016

### B. GEF AGENCY CERTIFICATION

<sup>31</sup> For regional and/or global projects in which participating countries are identified, OFP endorsement letters from these countries are required even though there may not be a STAR allocation associated with the project.

**This request has been prepared in accordance with GEF policies<sup>32</sup> and procedures and meets the GEF criteria for project identification and preparation under GEF-6.**

<b>Agency Coordinator, Agency name</b>	<b>Signature</b>	<b>Date (MM/dd/yyyy)</b>	<b>Project Contact Person</b>	<b>Telephone</b>	<b>Email</b>
Adriana Dinu Executive Coordinator UNDP – GEF		02/29/2016	Doley Tshering Regional Technical Advisor, EBD	+66-2- 304-9100 Ext. 2600	doley.tshering@undp.org

<sup>32</sup> GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

## **2. Managing the human-wildlife interface to sustain the flow of agro-ecosystem services and prevent illegal wildlife trafficking in the Kgalagadi and Ghanzi Drylands (Botswana)**

### **PART I: PROJECT INFORMATION**<sup>33</sup>

Project Title:	Managing the human-wildlife interface to sustain the flow of agro-ecosystem services and prevent illegal wildlife trafficking in the Kgalagadi and Ghanzi Drylands
Country(ies):	Botswana
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Environment, Wildlife and Tourism (Departments of: Wildlife and National Parks; Environmental Affairs and Forestry and Range Resources); Ministry of Agriculture; Kgalagadi District Council; Ganzhi District Council; BirdLife Botswana
GEF Focal Area(s):	Multi-Focal Areas: Biodiversity and Land Degradation

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>34</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
LD-1 Programme 1	GEF TF	1,343,578	4,100,000
LD-3 Programme 4	GEF TF	2,850,000	12,000,000
BD-2 Programme 3	GEF TF	1,803,211	5,100,000
<b>Total Project Cost</b>		<b>5,996,789</b>	<b>21,200,000</b>

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

Project Objective: To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia

Project Components	Financing Type <sup>35</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Effective planning and range management in over 3 million hectares improves range condition, flow of ecosystem services and reduces human-wildlife conflict	TA	<ul style="list-style-type: none"> <li>• Sustainable land and livestock management in over 3,000,000 hectares improves range condition and flow of ecosystem services to support livelihoods of local communities and biodiversity</li> <li>• Institutional capacity to scale-up SLM and increase investments in landscape level planning and management to reduce land-use conflicts and promote dryland productivity</li> <li>• Integrated framework management plan developed for the western and south-western dryland ecosystem to facilitate sustainable management of natural resources in drylands, including wildlife management</li> </ul>	1,500,000	4,950,000

<sup>33</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>34</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>35</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>35</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
2. Integrated landscape management practices adopted at community and resource-use levels to reduce competition between land-uses and increase agro-ecosystem productivity	TA	<ul style="list-style-type: none"> <li>• Improved community rangeland management and pastoral production practices piloted</li> <li>• Improved agricultural land management near protected areas (KTP) to reduce human-wildlife conflict (<i>particularly addressing livestock predation by wildlife</i>)</li> <li>• Sustainable harvesting of Non-Timber Forest Products (NTFPs) and value addition promoted to increase household income and generate alternative livelihoods from NRM in drylands</li> <li>• Alternative/non-consumptive use of wildlife for income-generating eco-tourism piloted in communities adjacent to protected areas (<i>in Wildlife Management Areas</i>)</li> </ul>	2,350,000	9,500,000
3. Coordinated capacity for combating wildlife crime/trafficking and enforcement of wildlife policies and regulations at district, national and international levels	TA INV	<ul style="list-style-type: none"> <li>• National strategy for a Joint Operation Center for combating wildlife crime operationalized to facilitate coordinated control of wildlife crime at district, national and international levels</li> <li>• Increased institutional capacity of law enforcement agencies (<i>indicated by increased score in the UNDP capacity development scorecard</i>) to coordinate control of wildlife crime (including poaching, wildlife poisoning and illegal trafficking and trade)</li> <li>• Increased rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases</li> <li>• Increased participation of civil society in combating wildlife crimes (indicated by increased capacity scores in indicators on among others patrol effort, wildlife monitoring, numbers of trained wildlife wardens, within CBO assessments as part of Management Oriented Monitoring System [MOMS] module)</li> </ul>	1,664,278	4,750,000
4. Effective resource governance frameworks to facilitate rangeland monitoring and informed decision-making in land-use planning and management		<ul style="list-style-type: none"> <li>• Multi-stakeholder platform/forum to promote SLM dialogue established at district level</li> <li>• Community rangeland biodiversity monitoring and awareness-raising programme developed</li> </ul>	196,950	1,000,000
Subtotal			5,711,228	20,200,000

Project Components	Financing Type <sup>35</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		Project Management Cost (PMC) <sup>36</sup>	285,561	1,000,000
		<b>Total Project Cost</b>	<b>5,996,789</b>	<b>21,200,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	UNDP	Grants	1,000,000
Recipient Government	Ministry of Environment, Wildlife and Tourism	Grants	15,000,000
Recipient Government	Ministry of Agriculture	Grants	5,000,000
Recipient Government	Kgalagadi District Council	Grants	tbd
Recipient Government	Ghanzi District Council	Grants	tbd
CSO	Birdlife Botswana International	In-kind	200,000
<b>Total Co-financing</b>			<b>21,200,000</b>

### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEF TF	Botswana	Biodiversity	N/A	1,803,211	162,288	1,965,499
UNDP	GEF TF	Botswana	Land Degradation	N/A	4,193,578	377,422	4,571,000
<b>Total GEF Resources</b>					<b>5,996,789</b>	<b>539,710</b>	<b>6,536,499</b>

- a) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.  
b) Refer to the [Fee Policy for GEF Partner Agencies](#).  
c) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

## PART II: PROJECT JUSTIFICATION

### PROJECT OVERVIEW

#### A.1. Project Description

The goal of this project is to promote an integrated landscape approach to managing the Kgalagadi and Ghanzi drylands in western and south-western Botswana, a vast area spanning more than 220 000 square kilometres/22,000,000ha. This part of Botswana is classified as the Kalahari Savannah and is a desert environment, with little rainfall and virtually no surface water resources. There is therefore, heavy reliance on groundwater for

<sup>36</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

drinking and in particular for watering livestock and partly for wildlife. The area faces several challenges related to balancing the need to sustain rural livelihoods, which are heavily dependent on access to and use of natural resources in this poor part of the country, and that of sustaining these finite natural resources into the future. The main challenges to natural resource management in this area include land degradation as a result of overstocking of livestock; invasion by alien species of flora (e.g. *Acacia melifera* and *Cenchrus biflora*), over-pumping of groundwater and the resultant potential aquifer pollution, unsustainable harvesting of natural resources. Of key concern is human-wildlife conflict, which fuels retaliatory killing of predators following stock losses, in addition to providing an enabling environment for a trend observed in recent years of increased incidents of illegal live capture of animals, which are illegally trafficked to neighbouring countries.

The Ghanzi and Kgalagadi districts are home to some of Botswana's key protected areas: the Central Kalahari Game Reserve (CKGR) and the Kalahari Transfrontier Park (KTP). The CKGR covers an area of about 52,800 km<sup>2</sup> and the KTP occupies about 28,400 km<sup>2</sup>. These protected areas contain significant populations of key wildlife species, some of which are endangered or threatened. The Botswana part of the Orange-Senqu Transboundary River Basin, an international river shared with Namibia, South Africa and Lesotho, is also entirely located within the southern and southern-western part of Botswana. Even though the Orange-Senqu River in Botswana is dry, the management of groundwater resources in this area has significant implications of the rest of the river ecosystem.

Traditionally, the Kalahari was a wildlife-dominated system, including both browsers and grazers at low densities, with hunting and gathering activities occurring throughout. These activities were critical in terms of the sustenance they provided to communities in times of drought. Borehole-based cattle keeping changed this, and wildlife declines due to the establishment of veterinary cordon fences in the early 1980s led to the loss of half a million wildebeest and hartebeest. Selective grazing by cattle-dominated herds, combined with changes in the frequency and intensity of wild fires, perhaps aided by the effects of CO<sub>2</sub> fertilisation, eventually led to a shift towards less palatable grasses and bush encroachment.

Land use and the management of land and natural resources in the western and south-western part of Botswana is plagued with competition and conflict, and this has negative consequences for conservation and the livelihoods of the poor rural communities in this area. The major conflicts are between livestock production, which supports Botswana's large beef sector, and wildlife conservation, as these main land uses compete for the same resources (grass and water) in the wider landscape. Competition and conflict increases the pressure on the rangelands, water and wildlife resources, further reducing the ability of the ecosystem to provide the goods and services that the local communities depend on for their livelihoods.

This project therefore seeks to promote a landscape approach to managing the biodiversity resources found in this area so as to reduce the pressure that result from the competing land use and ensure that rural livelihoods benefit from this integrated natural resources management.

#### **a. Global environmental problems, root causes and barriers to be addressed**

The Kgalagadi Transfrontier Park spans across South Africa and Botswana and lies in the large sand-filled basin in the west of the southern African subcontinent, known as the Kalahari. It covers almost one third of the area and forms what may be the largest "sandveld" area in the world. The Park primarily aims to protect migratory game movements, through the absence of internal boundary fences between the Botswana and South African sections of the park. Animals are thus allowed to move freely through an expansive natural area of approximately 3.6 million hectares. The Kgalagadi is a semi-arid wilderness area that boasts vast open spaces. Despite frequent drought and an extreme climate the Kgalagadi provides habitat for an abundance of species, including megafauna such as gemsbok, springbok, wildebeest, eland, hartebeest, cheetah, hyena and the "Kalahari lion" (*Panthera leo krugeri*), the apex predator and considered to be a keystone ecological driver.

Botswana plays a vital role in the conservation of six of the seven large African carnivores. It is home to the second largest lion (*Panthera leo*) population, one of the three largest remaining populations of the endangered African wild dog, the second largest population of cheetahs, and one of the two largest populations of brown hyenas (*Hyaena brunnea*). It is also a core country for one of the five largest transboundary lion populations, the largest transboundary African wild dog population, and the largest known resident population of cheetahs in southern Africa.

As with much of Botswana, the Kalahari rangelands are plagued by land degradation of different forms, including bush encroachment as a result of overstocking of livestock, soil erosion, and infestation by invasive alien species. These have significant ecological effects, including loss of soil moisture, loss of biodiversity resulting in change in habitats (and even local extinction of species), provision of refuges for weeds, and damage to environmentally sensitive areas such as watercourses. Both human wildlife conflict and poaching are an increasing problem in Botswana, with impacts on known threatened species, including Lion, which, as the apex predator in the Kgalagadi, is vital to the ecosystem.

Subsistence poaching in Botswana of species such as Buffalo, Giraffe, Kudu, Gemsbok and Eland has been widespread for decades, escalating during winter and rainy seasons for most of the parts of the country. Hotspots include the Kgalagadi and Ghanzi drylands (Central Kalahari Game Reserve in particular), as well as Ngamiland, Central and Chobe Districts. Recent years have witnessed a rise in commercial poaching, with poachers increasingly hostile and well versed in military tactics (using assault rifles and sometimes sporting rifles). In the southern part of the country, in the project sites, poaching has diversified into killing of female adult wild cats, including Lion, and the capture of their live cubs. These cubs are then exported to neighbouring countries where there is a lucrative market, for example, supplying canned hunting operations as well as private game reserves in South Africa.

Recently the Lion population of the Kgalagadi has begun to exhibit an alarming trend, in that there are considerably more males than females in the population. Researchers believe that if this skewed sex ratio persists, it will lead to a decline in the population and may ultimately lead to their extinction in the area. As the top predator in the Kgalagadi ecosystem, a decline in lion numbers would have a direct effect on prey and smaller predator numbers. This in turn would have numerous negative effects on the ecosystem as a whole.

The Kgalagadi and Ghanzi dryland ecosystems are home to human communities, livestock and wildlife, co-existing in a delicate balance. In areas where natural prey is scarce, predators often resort to killing livestock, which is the most widespread cause of conflict with people. These competing land uses therefore require careful management and planning through integrated approaches that recognize the need to conserve and protect biodiversity in land use planning, management and utilization, while contributing to sustainable access and utilization by communities adjacent to sites of biodiversity management and protection such as parks and wildlife management areas.

The key barriers to integrated management of the dryland landscapes include:

*Barrier 1: Inadequate capacity and skills to integrate competing interests into land-use planning and management, resulting in minimal cross-sectoral integration of SLM into broader landscape planning;*

Improper land use planning has been identified as a major contributor to increased competition between different land uses and has exacerbated Human-Wildlife Conflict where protected areas are adjacent to human settlements. The main challenge to be addressed therefore is the fragmented land-use planning and management practices as they intensify competition for land and other natural resources, and create conflict among different users, with negative consequences on livelihoods and biodiversity. Although knowledge on how to effectively manage savannah ecosystems is increasing, very little of the currently available knowledge is being utilized to manage the livestock and livelihood support systems in the Kgalagadi and Ghanzi areas, and indeed other parts of Botswana.

This is mainly due to low levels of skills amongst the land and resource managers, and weak technical expertise within the institutions responsible for management of these resources.

The long term solution proposed by this project is to therefore instigate a paradigm shift towards a rangeland management model that encourages civil society, private sector and government to work in partnership to jointly plan for and manage rangelands (especially those subjected to different land-use demands), to diversify SLM income streams, and tap the commercial opportunities that rangelands provide, particularly through nature-based tourism.

*Barrier 2: Lack of practical knowledge and skills to adopt SLM approaches into local-level production practices and NRM*

Critically, local communities need to participate meaningfully in rangeland governance, and most importantly adopt integrated natural resources management. This requires that individuals, households, communities and local institutions are empowered with skills and technical knowledge and utilize them in their daily use and interaction with the environment as they pursue their livelihoods. This part of Botswana still lacks strong participation of local communities and institutions in NRM, and CBNRM as an approach, remains weak in these parts of Botswana.

Promoting local level adoption of INRM could therefore be the key to shifting the paradigm in land management towards a more sustainable approach at a wider landscape level.

*Barrier 3: Lack of systematic coordination of the various efforts between the different wildlife enforcement agencies at district, national and international levels to combat wildlife crime*

Although Botswana set up a National Anti-poaching Committee in 2012, and launched its National Anti-poaching Strategy in 2013, efforts remain uncoordinated and poaching is reported to be increasing nationally, with hotspots including Kgalagadi and Gantsi (CKGR in particular), where this project will be implemented. Poaching in this part of the country poaching has diversified into killing of female adult wild cats and the capture of their live cubs, which are illegally trafficked on southern Africa markets.

The Government of Botswana invests heavily in different wildlife conservation efforts through anti-poaching and other programmes, but these are scattered across several law enforcement agencies (about five nationally), with little collaboration in terms of budgeting, planning, joint operations and lesson sharing. This reduces the effectiveness of these efforts and increases the transaction costs of wildlife species protection. For instance, incidences of capturing and subsequent trafficking and illegal trading of wildlife species that predate over livestock are threatening the key wildlife species and jeopardizing conservation efforts in the Kalahari Transfrontier Park. The effectiveness of protected areas as management systems therefore diminishes in areas where pressure is mounting for access to resources such as grazing and water within the park, and because of migration and movement of wildlife outside such protected areas, and increasing interactions with humans and domestic animals.

Building the capacity of institutions to effectively coordinate their various efforts could therefore significantly reduce the barriers to combating wildlife crime in this part of Botswana and provide lessons for other parts of Botswana and beyond.

*Barrier 4: Lack of effective governance and monitoring frameworks to facilitate informed decision-making in NRM*

Monitoring and evaluation of the change in biodiversity status and ecosystem services, and economic returns from rangelands, including areas adjacent to protected areas, is weak or non-existent, and where done, lessons are not incorporated into planning. General under-valuation of rangeland and ecosystem benefits, and therefore the lack of capacity to maximize sustainable income generation activities from their use, also means that these values are not

fully integrated in planning and management decisions, including at household and community levels. Investing in monitoring systems at all levels of resource use and management is therefore key to ensuring that appropriate use practices are promoted to maintain the integrity of ecosystems so they continue to provide the goods and services they do to society.

Addressing these barriers could therefore reorient rangeland management pathways away from degradation and towards SLM, by valuing natural capital and maintaining it such that it continues to provide the rangeland ecosystems services that both humans and other species depend on.

#### **b. The baseline scenario and associated projects**

The baseline is characterized by inadequate emphasis on SLM; lack of legislation regulating pastoral farming and other economic activities in ecologically sensitive areas; haphazard and unsustainable land use patterns; lack of clarity in property rights and access related to natural resources; lack of integrated land policy and land use planning as a tool at national and local levels; and the dying out of community-level participation in resource conservation knowledge, regulations and practices.

Firstly, the land authorities find themselves continually mediating land-use conflicts (especially between tourism interests, livestock keeping, veld product harvesters, and wildlife managers), largely because of both perceived and real conflicts concerning where such enterprises should be located and practiced. There is therefore a need for an enhanced cross-sector enabling environment for integrated land management tools and methodologies to be developed, tested, and implemented, including the drafting of clear policies and strategies to support integration of domestic, industrial, arable, rangeland, tourism, mining and other land use types within Kgalagadi and Ghanzi districts.

Secondly, land degradation (bush encroachment, soil erosion, sand dune mobility, invasion of alien species of flora) is a serious problem in Botswana's drylands, and the southwestern part is most affected. The rangelands are severely affected by invasive species and by degradation in general, with significant consequences for livestock production and wildlife. Several analysts have observed a degree of political lock-in to ideas supporting unsustainable practices in land-use, such as fencing and privatization of rangeland areas. They argue that this is having an important impact on land degradation and the costs it brings due to the constraints it places on mobility and rangeland management decision-making.

Thirdly, while the local economy has benefited immensely from livestock, the current production systems are suspected to cause several environmental impacts, including the encroachment of woody vegetation and suspected depletion of groundwater supply (which would negatively impact rangelands and livelihoods). What is clear, however, is that human activities have resulted in large-scale changes to ecosystems; many of these have weakened nature's ability to deliver key ecosystem services (e.g. food, energy, flood regulation and health and social benefits) which are required by people for their well-being.

Despite the growing demand for assessments of status and trends in ecosystems and their services, the development of robust indicators is often impeded by a lack of consistent and robust data and information, resulting in the availability of only a few indicators. This means that often management decisions are not necessarily based on scientific understanding of the behaviour of the ecosystem itself nor the changes that result from human-environment interactions.

In order to determine the Kalahari dryland ecosystem functions and services, and to assess their value for the socio-economic system, additional models and knowledge are needed to better manage it. Thus, there is an urgent need for information about the status and changes in ecosystems and their services in order to facilitate effective protection. This project will fill this knowledge gap by building a knowledge base on especially protected areas

(PAs) and WMAs, to inform the different key stakeholders, including; policy makers, PA managers, NGOs, industry and citizens at large. Strong linkages will be made with ongoing resource monitoring programmes, such as the Management Oriented Monitoring System (MOMS) managed by the Department of Wildlife and National Parks (DWNP), and BirdLife Botswana's Bird Population Monitoring and Important Bird Area monitoring.

The complexity of challenges in managing drylands point to the need for more nuanced approaches to managing land and wildlife resources that do not fragment nature into separate parcels requiring sectoral approaches to their management. More integrated approaches that truly promote Sustainable Land Management (i.e. the use of land resources, including soils, water, animals, and plants, for the production of goods to meet changing human needs, while simultaneously ensuring the long-term productive potential of these resources and the maintenance of their environmental functions) are increasingly required.

### c. The proposed alternative and expected outcomes and components of the project

The Government of Botswana is requesting GEF incremental assistance to remove the barriers described above. The project objective is to promote an integrated landscape approach to managing the Kgalagadi and Ghanzi drylands for ecosystem resilience, improved livelihoods and reduced conflicts between wildlife conservation and livestock production.

The alternative scenario funded by GEF and co-financing resources is expected to result in key modifications to the baseline scenario that will generate global environmental benefits (through sustainable land management and effective protection of wildlife and other biodiversity species).

Baseline Situation	Alternative to be put in place by the project	Selected benefits
Competition between wildlife conservation and livestock production are increasing pressure on natural resources and are increasing human-wildlife conflicts	Cross-sectoral land-use and management planning mechanisms (between land and other resource management authorities, communities, park managers, farmers etc.) that facilitate an integrated approach to addressing the challenges that emerge from having competing resource uses within the same landscape	Reduced conflicts between protected area (Kalahari Transfrontier Park, Central Kalahari Game Reserve and Wildlife Management Areas) management institutions and livestock farmers and resulting declines in illegal killing and illegal capture and trafficking of wildlife species
Livestock management practices are not in line with SLM or improved range management principles and ignore range carrying capacities and stocking principles	District-wide land-use plan developed through a multi-stakeholder/sectoral approach to upscale SLM  Piloting of improved range management system on commercial ranches and communal rangelands, and promotion of a multiple livelihood system on the latter.  Multi-stakeholder mechanism established to lead district-level dialogue on mainstreaming SLM considerations in implementation of critical national and regional policies, plans and strategies. This includes policies on livestock production and marketing, and agricultural land use (Tribal Grazing Land Policy, National Policy on Agricultural Development). Particular emphasis will be placed on ensuring community participation in this forum as this has been identified as a weakness in resource governance.	Rangeland restoration and sustainable use in line with SLM principles:  Improvements in vegetative cover over 3 million ha of rangelands (with the potential for replication to 6 million ha)  Improvements in livestock productivity (one calf per cow per annum)

Baseline Situation	Alternative to be put in place by the project	Selected benefits
	Local natural resource management/ community-based management institutions such as community trusts, farmers' committees, village development committees, and Bogosi (local leadership) will be empowered, through a clear mandate and financial and technical resources, to lead the design and implementation of range management principles envisioned in SLM at the local level	
Bush encroachment and loss of grass/ forage is reducing ecological health and productivity of the rangelands	Bush encroachment reduced through mechanical and labor intensive removal linked to alternative livelihoods such as charcoal production and firewood harvesting to return current bush-encroached land into an ecologically healthier "wooded grasslands" with consequent increase in rangeland condition, carrying capacity and productivity	Bush reduction will lead to improvement in the ecological integrity of the wooded grassland savannah vegetation, increasing functionality and cover of dryland woodlands: Reduction in area affected by bush encroachment by 30% (baseline and target to be established at PPG)
Invasion of grasslands/pastures and watersheds by <i>Prosopis</i> and <i>Acacia melifera</i> is leading to reduced pasture and loss of production, reduced soil moisture, and degradation of watersheds.	Selective removal of <i>Prosopis</i> and <i>Acacia melifera</i> , with a focus on riverbeds and in areas used for communal grazing to return currently infested areas to return to productivity.	Reduction in area affected by bush encroachment and <i>Prosopis</i> by 30% (baseline and target to be established at PPG)

The project will contribute to the Land Degradation Focal Area Objective 1 (*Maintain or improve flow of agro-ecosystem services to sustain food production and livelihoods*), Program 1 (*Agro-cological intensification*), Outcome 1.1 (*Improved agricultural, rangeland and pastoral management*) and 1.3 (*Increased investments in SLM*), and Focal Area Objective 3 (*Reduce pressures on natural resources from competition land uses in the wider landscape*), Program 4 (*Scaling-up sustainable land management through the landscape approach*), Outcomes 3.1, 3.2 and 3.3 (*Support mechanisms for SLM in wider landscapes established; Integrated landscapes management practices adopted by local communities based on gender sensitive needs; Increased investments in integrated landscape management*). It will also contribute to the Biodiversity Focal Area Objective 2 (*Reduce threats to global significant biodiversity*), Program 3 (*Preventing the Extinction of Known Threatened Species*), and Outcome 3.1 (*reduction in rates of poaching and of rhinos and elephants and other threatened species and increase in arrests and convictions*).

The project will be organized around four components and pursue several outcomes as follows:

**Component 1:** Effective planning and range management in over 3 million hectares improves range condition, flow of ecosystem services and reduces human-wildlife conflict.

*Outcomes:*

- Sustainable land and livestock management in over 3,000,000 hectares improves range condition and flow of ecosystem services to support livelihoods of local communities and biodiversity
- Institutional capacity to scale-up SLM and increase investments in landscape level planning and management to reduce land-use conflicts and promote dryland productivity

**Component 2:** Integrated landscape management practices adopted at community and resource-use levels to reduce competition between land-uses and increase agro-ecosystem productivity

*Outcomes:*

- Improved community rangeland management and pastoral production practices piloted
- Improved agricultural land management near protected areas (KTP) to reduce human-wildlife conflict (particularly addressing livestock predation by wildlife)
- Sustainable harvesting of Non-Timber Forest Products (NTPFs) and value addition promoted to increase household income and generate alternative livelihoods from NRM in drylands
- Alternative/non-consumptive use of wildlife for income-generating eco-tourism pilot in communities adjacent to protected areas (in wildlife management areas)

**Component 3:** Coordinated capacity for combating wildlife crime/trafficking and enforcement of wildlife policies and regulations at district, national and international levels

*Outcomes:*

- National strategy for a Joint Operation Centre for combating wildlife crime operationalized to facilitate coordinated control of wildlife crime at district, national and international levels
- Increased institutional capacity of law enforcement agencies (*indicated by increased score in the UNDP capacity development scorecard*) to coordinate control of wildlife crime (including poaching, wildlife poisoning and illegal trafficking and trade)
- Increased rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases
- Increased participation of civil society in combating wildlife crimes (indicated by increased capacity scores in indicators on among others patrol effort, wildlife monitoring, numbers of trained wildlife wardens, within CBO assessments as part of Management Oriented Monitoring System [MOMS] module)

**Component 4:** Effective resource governance frameworks to facilitate rangeland monitoring and informed decision-making in land-use planning and management

*Outcomes:*

- Multi-stakeholder platform/forum to promote SLM dialogue established at district level
- Community rangeland biodiversity monitoring and awareness-raising programme developed

#### **d. Incremental cost reasoning**

The Government of Botswana is requesting GEF incremental assistance to remove the barriers currently hindering the government and the communities concerned from achieving the long-term solution to addressing rangeland degradation in Kgalagadi and Ghanzi area. As described in the foregoing section, the alternative scenario funded by GEF and co-financing resources is expected to result in key modifications to the baseline scenario that will generate global environmental benefits via sustainable land management. A comparison of the baseline project with GEF-project scenarios and associated global benefits are presented in table under (c) above.

#### **e. Global environmental benefits**

Botswana is considered one of the most decertified countries in sub-Saharan Africa, with the Kalahari drylands amongst the most affected in the country. These drylands are however, home to thousands of herds of cattle and small stock, as well as large populations of wildlife, in particular ungulates. Two of the country's main protected areas, the Kalahari Transfrontier Park (KTP) and the Central Kalahari Grime Reserve (CKGR) are also found in these drylands and together with the adjacent wildlife management areas, are refuges for the recovering and increasing numbers of mammalian herbivores such as wildebeest, eland and hartebeest, and carnivores such as Kalahari lion, leopards, cheetahs and spotted hyena. These wildlife species are increasingly being threatened by competition for resources inside protected areas, by both humans and livestock, as well as by poaching, poisoning, capture, trafficking and trading occurring along the protected areas. A lucrative market in South Africa for captured live animals is resulting in the killing of wild cats in order to capture their live cubs for trading across international borders.

The value of drylands is, however, often not well appreciated, and lack of investments in their management often points to this under-valuation. This is certainly the case in this part of Botswana, where conservation and sustainable management efforts have been concentrated in the more ‘glamorous’ ecosystems such as wetlands and salt pans in the central and northern parts of the country.

The Kgalagadi drylands are also host to one of southern Africa’s economically important river basins, the Orange-Senqu. The river basin is of critical importance for economic development and human wellbeing within this central portion of southern Africa and possibly one of the most significant in terms of its economic importance to the continent. The Orange River Basin is now seriously threatened at many levels and the capacity to address these levels has been eroded at national and regional level in the wake of tremendous social and political changes in southern Africa. Unsustainable groundwater pumping for livestock watering and the resultant acquirer pollution due to salt intrusion among others, overstocking of livestock, and the resultant land degradation as well as infestation by invasive alien species of flora, and their impacts on watersheds, pose the largest threat on the Botswana part of the basin.

Addressing these causes, and the threats presented by competing land uses is therefore of paramount importance in the Kgalagadi, if biodiversity conservation and maintenance of ecosystem integrity are to be ensured. The GEF funding will contribute towards the protection of these dryland ecosystems and biodiversity through improving the systemic and institutional capacity of national and local institutions to control poaching, poisoning, trafficking and trading of species of fauna, as well as the over-exploitation of species of flora.

#### **f. Innovation, sustainability and potential for scaling up**

The project will support to strengthen local and national institutions and communities to reduce the negative effects of competing land uses on natural resources, in particular to address land degradation and reduce incidences of wildlife crime. The government is already investing in these efforts, but the obvious challenge is the lack of skills to integrate sectoral interventions and up-scale these efforts to a wider landscape where holistic management can be institutionalized and influence policy mechanisms that can realistically be implemented to tackle land degradation and wildlife crime and help shift practices towards sustainability.

Lessons and results from this project can be easily scaled up to the rest of the country where land degradation, human-wildlife conflicts, wildlife crime (poaching) and infestation of invasive alien species are also a challenge. Increased investments in SLM through the creation of an enabling environment and support mechanisms and land use planning and management levels would yield significant benefits for Botswana’s dryland and wetland ecosystems and secure the goods and services that they yield, on which the majority of Botswana’s rural poor, and the economy at large, depend.

**A.2. Stakeholders.** Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes X /no ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

The following stakeholders have been identified. Many of the stakeholders have been consulted to develop this concept. All the stakeholders here will be extensively consulted and the stakeholder table will be further refined during the PPG.

Stakeholder	Interest in SLM	Degree of interest	Level of influence	Comments	Participation in project implementation
I. Subsistence farmers-	Grazing and livestock	High	Low	The survival of their livestock and their livelihood is directly	• Will participate in the land use planning process through membership in land use

Stakeholder	Interest in SLM	Degree of interest	Level of influence	Comments	Participation in project implementation
pastoralists	development			dependent on land, but they have low influence on decision making	<p>planning committee/multi-stakeholder forum.</p> <ul style="list-style-type: none"> <li>• Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> <li>• Participate in invasive alien species control activities (bush encroachment)</li> <li>• Will participate in the livestock/pastoral improvement practices.</li> <li>• Will participate in the regional consultation forum (via representation by committees)</li> </ul>
2. Commercial farmers	Rangelands/ farm land	High	Medium/ High	Their user rights allow them to make decisions on their land. Still depend on government as final decision maker. Have financial power to for example employ lawyers to speak on their behalf.	<ul style="list-style-type: none"> <li>• Will participate in the land use planning process through membership in land use planning committee.</li> <li>• Participate in range resource assessments and design and implementation of appropriate range management system (including stocking rates)</li> <li>• Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> <li>• Will participate in the regional consultation forum</li> </ul>
3. Other resource users in the community – community trusts, fishers, gatherers, etc.	Range resources for subsistence	High	Low	Their livelihood depends on the land but they have no decision making power	<ul style="list-style-type: none"> <li>• Will participate in the land use planning process through membership in land use planning committee.</li> <li>• Will participate in assessment, planning and piloting community level harvesting, value addition and marketing of veld products</li> <li>• Will participate in the regional consultation forum</li> <li>• Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> </ul>
4. Department of Forestry and Range Resources (DFRR)	Management of forest and range resources	High	High	Are empowered by an act of Parliament to manage range resources	<ul style="list-style-type: none"> <li>• Together with the project management unit will set up the project multi-stakeholder forum and facilitate its capacity development and empowerment</li> <li>• Will participate in the land use planning process as a member of DLUPU and the project multi-sectoral stakeholder forum.</li> <li>• Will participate in range assessment and innovation feasibility studies, piloting and monitoring</li> <li>• Will also participate in design and implementation of management oriented monitoring system (MOMS) and others suitable for use in ranches.</li> <li>• Will lead and facilitate assessment, planning and piloting of community level harvesting, value addition and marketing of veld products</li> </ul>

Stakeholder	Interest in SLM	Degree of interest	Level of influence	Comments	Participation in project implementation
5. District Land Use Planning Unit (DLUPU)	Land resources use and management planning	High	Medium	While it is a recognized land use planning institution it does not have an empowering mode of operation. It functions as a loose institution with a non-binding participation arrangement.	<ul style="list-style-type: none"> <li>Will lead the land use planning process as part of the project multi-stakeholder forum.</li> <li>Participate in open game farming feasibility studies and pilots</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> </ul>
6. Ghanzi Land Board	Land custodian; allocation, administration and management	High	High	Have the legal mandate to manage land	<ul style="list-style-type: none"> <li>Will participate in the land use planning process as a land authority and secretariat of DLUPU and as part of the project multi-stakeholder forum</li> <li>Participate in open game farming feasibility studies and pilots</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> </ul>
7. Department of Environmental Affairs	Coordination of all environmental and natural resource management	High	High	Legally mandated to overlook all environmental management. EIA act	<ul style="list-style-type: none"> <li>Together with the project, management unit will set up the project multi-stakeholder forum and facilitate its capacity development and empowerment.</li> <li>Will participate in the land use planning process as a member of DLUPU and the project multi-stakeholder forum.</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> </ul>
8. DWNP	Wildlife resources management	High	High	Legally backed by the Wildlife and National Parks Act	<ul style="list-style-type: none"> <li>Will participate in the development of a national strategy for a joint operation centre to combat wildlife crime</li> <li>Will participate in the land use planning process as a member of DLUPU and the project multi-stakeholder forum.</li> <li>Participate in open game farming feasibility studies and pilots</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> <li>Will participate in the project multi-stakeholder forum</li> </ul>
9. Department of Tourism/ Botswana Tourism Organization	Tourism development	High	Medium	Not land managers but backed by economic development vision which rates tourism high.	<ul style="list-style-type: none"> <li>Will participate in the land use planning process as a member of DLUPU and the project multi-stakeholder forum.</li> <li>Participate in open game farming feasibility studies and pilots</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> </ul>
10. Department of Water Affairs	Water management	Medium	Medium	Mandate does not include land management.	<ul style="list-style-type: none"> <li>Will participate in assessments of the impact of invasive alien species, in particular Prosopis on the river ecosystems</li> <li>Will participate in the land use planning process as a member of DLUPU and the project multi-stakeholder forum</li> </ul>

Stakeholder	Interest in SLM	Degree of interest	Level of influence	Comments	Participation in project implementation
12. District Administration (District Officer Development)	Rural Development	High	High	Interest is high because rural economy is dependent on implementation of programs and policies; have the backing of implementation of District Development Plans, and village development plans	<ul style="list-style-type: none"> <li>Will participate in the land use planning process as a member of DLUPU and the project multi-stakeholder forum.</li> </ul>
13. Tribal Administration	Improved community livelihoods	High	Medium	Interest is high because they care about community welfare, but they do not have legal backing on land use. Often superficially involved.	<ul style="list-style-type: none"> <li>Will participate in the land use planning process as a member of the project multi-stakeholder forum.</li> <li>Participate in pilot harvesting of bushes for charcoal briquettes and firewood as a community business</li> <li>Will co-lead assessment, planning and piloting community non-timber products harvesting, value addition and marketing</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> </ul>
14. Police Services	Law enforcement	High	High	Police service is tasked with anti-poaching activities in this part of the country. They also have backing of all laws including penal code.	<ul style="list-style-type: none"> <li>Will participate in development of the national strategy for a joint operation center for combating wildlife crime</li> <li>Will participate in the land use planning process through membership in land use planning committee/multi-stakeholder forum.</li> </ul>
17. Social and Community Development	Improved Livelihoods	High	Low	Their interest is in improving livelihoods such as giving the destitute livestock, but they are left out of land use planning	<ul style="list-style-type: none"> <li>Will participate in the land use planning process as a member of the project multi-sectoral stakeholder forum</li> <li>Participate in pilot harvesting of bushes for charcoal briquettes and firewood as a community business</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> <li>Will co-lead and facilitate assessment, planning and piloting community non-timber products harvesting, value addition and marketing</li> </ul>
21. Department of Animal Production	Livestock development	High	Low	Focused on the animals themselves and less on the range	<ul style="list-style-type: none"> <li>Will participate in development of strategies and support pastoral farmers on improved livestock production practices</li> <li>Will participate in the land use planning process through membership in DLUPU and the project multi-stakeholder forum.</li> <li>Will participate in range assessment and innovation feasibility studies, piloting and monitoring</li> <li>Will also participate in design and implementation of management oriented monitoring system (MOMS and others suitable for use in ranches)</li> </ul>

Stakeholder	Interest in SLM	Degree of interest	Level of influence	Comments	Participation in project implementation
21. Department of Agricultural Research and other Academics	Range and livestock development research	High	Low/Medium	High interest because their core business is research on range land. Influence is low because they can only recommend action; sometimes medium as they have access to Government, Ministry of Agriculture	<ul style="list-style-type: none"> <li>• Will participate in the land use planning process as a member of the project multi-stakeholder forum</li> <li>• Will participate in livestock value chain analysis and setting up a meat and animal products plant in Ngamiland</li> <li>• Will participate in range assessment and innovation feasibility studies, piloting and monitoring</li> <li>• Participate in the research part of piloting of innovative pastoral system based on a combination of herding, kraaling and livestock movement and CA</li> </ul>
22. Bird Life Botswana	Conservation	High	Medium	Civil society not empowered to be involved in land management. However, may have access to knowledge and information to access decision-making process.	<ul style="list-style-type: none"> <li>• Will coordinate the participation of CBOs and other NGOs in project activities, especially on CBNRM (ecotourism) and community-based monitoring</li> <li>• Will participate in the land use planning process as a member of the project multi-stakeholder forum.</li> <li>• Will facilitate assessment, planning and piloting community non-timber products harvesting, value addition and marketing</li> <li>• Will also participate in design and implementation of management oriented monitoring system (MOMS)</li> </ul>

**A.3 Risk.** The following risks have been identified. These will be further investigated and updated during the PPG phase.

RISK	LEVEL	MITIGATION MEASURES
Lack of buy-in from planning institutions and Government. There is a possibility of conflicts arising from perceptions of interference and differences on approaches to how the issues could be addressed, especially between government institutions and civil society organizations.	M	The project requires collaboration and coordination by all key stakeholders. It will, therefore, set-up a multi-stakeholder forum that will ensure dialogue, joint planning, implementation and monitoring and evaluation in order to create ownership and accountability. Government institutions participating in the project will be directly driving their own mandates; they will have a direct interest in the successful implementation of the project. Participating government institutions (Departments of Animal Production; Forestry and Range Resources and Kgalagadi Land Board and Ghanzi Land Board) will benefit from the project intervention activities. Civil society organizations will be provided capacity development support.
The benefits generated by the project may be offset by the impacts of climate change, which might exacerbate the usual droughts; indeed, Botswana has encountered 12 dry episodes in the last 22 years with economic consequences for ranches and severe impacts on the poorest communities (Mafisa herders).	M	The project will address this risk by building a better understanding of the potential impacts of climate change on trends in rangeland condition, particularly the issue of bush encroachment and the apparent thriving of invasive species. The findings of studies to be conducted during PPG phase will contribute to the land use plans, a key element for improving ecological integrity of the rangelands and improving ecosystem functionality and cover. This is expected to increase the resilience of ecosystems to climate change induced fire, drought and other perturbations. By reducing existing anthropogenic stressors to ecosystems, the project will enhance their capacity to recover following such perturbations. Building capacity for long-term monitoring of

RISK	LEVEL	MITIGATION MEASURES
		rangeland conditions will increase the possibility of adaptive management, including early detection (and addressing) of climate change impacts.
Weak enforcement of the TGLP has in the past encouraged overstocking in the communal lands since commercial farmers have retained the right to offload excess livestock to the communal areas. Increased access to livestock markets might become a perverse incentive and fuel higher stocking rates, if governance is not improved simultaneously.	M	Enforcement of the TGLP has been difficult in the past since it seemed to benefit the elite, who are commercial farmers. However, losses from the high rate of rangeland degradation in Kgalagadi seem to be causing larger losses than gains from exploiting the weakness in the policy, even for commercial farmers. Combined with the current political support for national policy on beef markets from the President's Office and the highest management of the Botswana Meat Commission, this turn of events provides a conducive environment for change. The project will seek to improve governance at the local level by engaging and capacitating local natural resource management/ community-based management institutions such as community trusts, farmers' committees, village development committees, and Bogosi (traditional leadership). These institutions will be empowered, through a clear mandate and financial and technical resources, to lead the design and implementation of range management principles envisioned in SLM at the local level. The land use plans to be developed will guide decisions on livestock management.
Reluctant participation by local communities due to fear that the project will compromise their livelihoods by introducing strict management systems.	M	Noting that local communities bear the heaviest cost of rangeland degradation, the project will work closely with them to address the challenges in a participatory manner. The project strategy emphasizes the fact that local communities need to participate meaningfully in rangeland governance. The project will provide technical, institutional and financial support for engaging in improved livestock production and mixed livelihood systems. It will also recognize and build on the traditional knowledge and institutions of local communities and fully integrate this in designing management interventions. The project will also improve targeting and distribution of benefits among women. Community-level activities and demonstrations will be conducted and implemented through local-level CBOs under the guidance of NGOs (Birdlife Botswana, Cheetah Conservation Botswana, Thusano Lefatsheng) programming in the project site.
There is a risk of resistance to the empowerment of poorer women from the more privileged sections of the community	M	The project will make deliberate interventions that raise awareness about the importance of participation and inclusion in implementing solutions and most importantly recognize that access to productive resources may be based on qualifications such as age, gender, ethnicity, religion, status, profession, place of birth or origin, common education and many other attributes that constitute social identity. The stakeholder consultations during the PPG phase will engage the services of a sociologist or rural development specialist as part of a team that will conduct participatory rural appraisal as a component of the rangeland assessments. This will mobilize the whole community for participation in the project, build rapport between the outsider project implementers and local communities and make a case for full stakeholder participation and attendant partnerships.
Climate change may undermines the conservation objectives of the Project	L	The project is partly designed to address the impacts of climate change effects on the ecosystems and livelihoods.

**A.4. Coordination.** Outline the coordination with other relevant GEF-financed and other initiatives:

The proposed project forms a part of the Programmatic Approach to Prevent the Extinction of Known Threatened Species.

Two UNDP-supported, GEF-financed projects with the main objective of mainstreaming SLM principles into the livestock production sector in Ngamiland district specifically in areas adjacent to the Okavango Delta, and in the Makgadikgadi wetlands area, have recently been approved (during GEF 5) and began implementation in early 2014. These projects seek to enhance local communities' participation in rangeland governance, whilst tackling inadequate knowledge and skills for adoption of SLM in livestock management and livelihood support systems, and policy and market distortions that provide disincentives for adopting SLM and sustainable range management principles in the livestock production sector in Ngamiland and Makgadikgadi. The complementarities of the Ngamiland project (which focuses on aspects not covered by the current projects, such as stocking rates in commercial and privately-owned ranches, facilitating new and alternative markets for zones with Foot-and-Mouth Disease, and removing barriers to small-scale, non-beef, livestock product-based enterprises) and the Makgadikgadi project (which emphasises facilitation of the establishment of local-level resource management structures in communal areas, and active community involvement in Makgadikgadi-wide governance structures etc.) allow for ample opportunities for lessons and information-sharing in the other districts, with different ecosystem types and socio-cultural dynamics.

The current proposed project brings a new element of addressing pressures that emerge due to significant competition from wildlife conservation and livestock production, in particular human-wildlife conflict as a result of predation of livestock by wildlife in communities around the Kalahari Transfrontier Park and the CKGR, and the resultant wildlife crimes (poisoning, killing of female predators, and live capturing of cubs for illegal trafficking and trading) as a perverse local strategy for dealing with 'problem animals'.

Two past projects have also been implemented in the Kgalagadi area, also financed by the GEF, one implemented by IUCN (*Kalahari Namib project: Enhancing Decision-making through Interactive Environmental learning and Action in Molopo-Nossob River Basin in Botswana, Namibia and South Africa: April 2011 – March 2015, Agency ID: ADDIS-00355*) and the other by UNDP (*Development and adoption of a Strategic Action Programme for balancing water uses and sustainable natural resource management in the Orange-Senqu River trans-boundary basin: 2009 -2014 – PIMS 3243*), are of significant importance to the proposed project in terms of learning and scaling-up. The proposed project will build on the initial investments and successes by these projects, and scale up the learning to inform landscape-level actions throughout the Kgalagadi and Ghanzi districts, with a focus on reducing pressures on biodiversity that emerge as a result of competing land uses, in particular between livestock production and wildlife conservation. Communities previously targeted by some of the pilot activities conducted by these past projects will be engaged to build on recent/current mobilization and participation levels and scale-up the successes and fill gaps. The strength of the proposed project is that rather than addressing the challenges separately (e.g. human-wildlife conflicts, bush encroachment, invasive species) it will promote a holistic and integrated landscape approach where these issues are addressed as different facets or manifestations of the same problem (i.e. fragmented land use planning and management). The project will also emphasise exploration of alternative livelihood options that recognize the value of dryland environments and promote the continued flow of ecosystem services to support livelihoods.

UNDP's environment portfolio in Botswana is growing, the project fits within the UNDAF (2010–2016) and the Government of Botswana-UN Programme Operational Plan (GOB-UN POP). Outcomes 1 and 2 of GOB-UN POP focus on supporting Inclusive policy and institutional development for sustainable natural resources management; and Enhanced community capacity for natural resources and ecosystem management, and benefit distribution respectively. UNDP recently supported the Government of Botswana to revise the National Biodiversity, Strategy and Action Plan (NBSAP) to incorporate the Aichi Targets under the CBD, is supporting the piloting of the Biodiversity Finance Initiative (BIO-FIN) in Botswana and will soon support the participation of Botswana in the global programme on the Implementation of the Nagoya Protocol on Access and Benefit Sharing. The UNDP Country Office (CO) has technical capacity in the area of wildlife enforcement and climate change and environmental law within the Energy and Environment Unit, guided by the Deputy Resident Representative. The

UNDP Regional Technical Adviser based in Addis Ababa, as well as the global adviser on wildlife trade and enforcement based in Addis Ababa, will provide technical support to the CO for implementation, monitoring and evaluation of the project.

**DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:**

**B.1** Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? For biodiversity related projects, please reference the Aichi Targets that the project will contribute to achieving. (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.:

The project is in line with several national development frameworks, starting with the National Strategy for Poverty Reduction (BNSPR, 2003), the Vision 2016 document, and the Millennium Development Goals (MDGs). These macro-policy frameworks seek to provide the Botswana with tools to meet national aspirations for an educated, informed and prosperous society with sustainable livelihoods and development. The programmes pursued through the National Strategy for Poverty Reduction (BNSPR) include the advancement of sustainable livelihoods through employment creation, support to rain-fed crop production; increasing small stock production; strengthening the Community Based Natural Resources Management Programme; creating employment opportunities in the tourism industry; and building capacity for small and medium citizen businesses. The project is also in line with the country's National Action Plan for Combating Land Degradation (NAP, 2006), formulated to facilitate the implementation of the UNCCD program in the country. The objectives of the NAP are, amongst others, facilitating sustainable use and management of natural resources, Development of mechanisms for mobilizing and channeling financial resources to combating desertification, poverty alleviation and community empowerment, inter alia by promoting, viable and sustainable alternative livelihood projects, strengthening capacity for research, information collection, analysis and utilization.

The principal national legislation for conservation of biodiversity is the Wildlife Conservation and National Parks Act of 1992. The country has also developed single species management and development policies including the Elephant Management Policy, Ostrich Management Policy and the collective Game Ranching Policy. There are other pieces of legislation that protect and manage components of biological resources such as the Agricultural Resources Act, Forest Act and Policy, Fisheries Act and Policy, Water Act and Water master plan, Botswana National Wetlands Policy and strategy, Environmental Research strategy and others. Furthermore, the ongoing National Strategy for Sustainable Development promises to become pivotal in mainstreaming biodiversity in the economic and development planning sector.

The Tribal Land Act, National Policy on Agricultural Development, Strategy for Economic Diversification and Sustainable Growth, Revised National Policy for Rural Development; these and others like them, though not directly biodiversity pieces of legislation, have implications on biodiversity conservation as land resources use, planning and decisions are key for environmental resources, habitat and ecosystems conservation and protection. Similarly, the National Settlement Policy also has implications on biodiversity conservation. All these policies and others which will be added during the implementation of the study and interaction with stakeholders are candidate for the proposed study on impact of current policies, institutions and expenditure on conservation and sustainable management of ecosystems and biodiversity.

In addition, the country formulated its first National Biodiversity Strategy and Action Plan (NBSAP) in 2004, which is periodically (2007 and current - 2014) reviewed as per policy best practice. The new revised NBSAP is fully aligned with the Aichi Targets. This project will specifically contribute to the following Aichi targets: 1, 3, 4, 5, 9 and 12. In order to manage the environment-development nexus, the country has promulgated the Environmental Assessment Act to ensure that the environment is not compromised in the quest to develop the country.

### **3. Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Cameroon (Cameroon)**

#### **PART I: PROJECT INFORMATION<sup>37</sup>**

Project Title:	Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Cameroon
Country(ies):	Cameroon
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Environment, Protection of Nature and Sustainable Development
GEF Focal Area(s):	Multi-focal Areas

#### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>38</sup>:**

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-1 Program 1	GEFTF	888,000	9,000,000
BD-2 Program 3	GEFTF	1,332,000	10,000,000
LD-3 Program 4	GEFTF	385,000	4,000,000
SFM-1	GEFTF	1,302,500	7,750,000
Total Project Cost		3,907,500	30,750,000

#### **B. CHILD PROJECT DESCRIPTION SUMMARY**

**Project Objective:** To strengthen the conservation of globally threatened species in Cameroon by improving biodiversity enforcement, resilience and management

Project Components	Financing Type <sup>39</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
Component 1: Strengthening capacity for effective PA and IWT governance in Cameroon	TA	1.1. PA and IWT policy frameworks in place with implementation capacity.  Indicators: Establishment of harmonized of National PA Strategy and National IWT Strategy; Significant improvements in capacity of key role-players as indicated by customized Capacity Development Scorecard.	1,100,125	8,000,000
Component 2: Improving the effective management	TA/INV	2.1: Improved management effectiveness of PAs in forest landscapes (specifically Dja,	1,210,000	9,212,500

<sup>37</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>38</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>39</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>39</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
of globally significant protected areas in the forest landscapes of Cameroon.		Boumba Bek, Mengame, Lobeke and Nki)  Indicator: Improved management effectiveness as measured by the METT scorecard; 1,413,161 hectares under more effective management in important PA complexes.  [Baseline and targets will be finalised during the PPG]		
Component 3: Reducing wildlife crime in the Cameroon forest landscapes affecting threatened species [site level]	TA	3.1 Wildlife crime is combated on the ground by strengthening enforcement operations across target PAs, interzones [landscape matrix surrounding and linking target PA sites] and key trafficking routes/hubs.  3.2 Adoption of management practices and community centred initiatives in the forest interzone that support sustainable livelihoods, SLM and reduce wildlife crime  Indicators: Biodiversity enforcement improved over 1,413,161 hectares of forest zone; Number of small grants disbursed in support of SLM and CBNRM; Increased prosecutions and convictions relating to IWT  [Baseline and targets will be finalised during the PPG].	1,411,304	12,000,000
Subtotal			3,721,429	29,212,500
Project Management Cost (PMC) <sup>40</sup> (select)			186,071	1,537,500
<b>Total Project Cost</b>			<b>3,907,500</b>	<b>30,750,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Government of Cameroon	In Kind	8,500,000

<sup>40</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

CSO	ZSL	Grant	2,620,000
CSO	IUCN	Grant	8,380,000
CSO	WWF	Grant	11,250,000
<b>Total Co-financing</b>			<b>30,750,000</b>

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS**<sup>a)</sup>

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEFTF	Cameroon	Biodiversity		2,220,000	199,800	2,419,800
UNDP	GEFTF	Cameroon	Land Degradation		385,000	34,650	419,650
UNDP	GEFTF	Cameroon	Multi-focal Areas	SFM	1,302,500	117,225	1,419,725
<b>Total GEF Resources</b>					<b>3,907,500</b>	<b>351,675</b>	<b>4,259,175</b>

a) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

c) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

## **PART II: PROJECT JUSTIFICATION**

### Project Overview

A.1. Project Description. Briefly describe: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; 5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

### **1. Project Description**

**The Problem:** Cameroon's forests are a core element of the Congo Basin forest ecosystem, the second largest remaining contiguous block of rainforest on Earth covering almost 200 million ha in Central Africa. The country retains extensive forest cover, with around 42% of the total land area (equivalent to almost 22 million hectares) still forested, 75% of which is dense moist forest and is among the most biodiverse habitats in Africa. These forests are home to an incredible wealth of biodiversity, with 8000 species of higher plants (156 endemic), 250 mammal species, 848 birds, 542 fish (96 endemic), 330 reptiles, and 200 amphibians (63 endemic). The lowland forests of South and East Cameroon in particular contain key sites identified as being exceptional priorities for the conservation of the critically endangered western gorilla and the endangered common chimpanzee and species threatened including forest elephants and pangolins. People are also an intrinsic part of the forest ecosystem and the Baka, Bakola and Bagyéli groups in the region make up a substantial proportion of the 80,000 indigenous people living in Cameroon and they and other forest peoples depend on the forests for a range of goods and services. These forests also support the livelihoods of people in the wider region. More than 90% of the people living in the Congo Basin depend to varying extents directly on forest resources for food, fuel, income, timber and medicine. Cameroon's forests are vital for global climate regulation as a carbon sink and storage (estimated to store 326tC/ha). Despite the importance of these forests, Cameroon has a deforestation

rate of around 0.14% per year and much of the remaining forest is affected by degradation, with logging and other extractive and agro-industries known to be a significant contributor to this.

Protected areas form the core of this forested landscape in the south east; from Mengame (121,807 ha) in the west through the Dja Biosphere Reserve world heritage site (526,000 ha), recently established Ngoyla Wildlife Reserve (155,000 ha), Boumba-Bek (238,200 ha) and Nki (309,300 ha). Surrounding and linking these protected areas is an interzone encompassing a matrix of timber concessions which makes up the dominant land use, community forests, agro-industry, hunting zones and urban areas linked by roads. A holistic approach to management of this landscape is vital if the forest, its biodiversity and the vital ecosystem services it provides are to be maintained.

Cameroon is home to approximately 23 million people and an estimated 22 million hectares of rainforest. These forest provide fuel and food for millions of people. The management of all forests in Cameroon comes under the legislative framework outlined by the 1994 forestry laws which sought to enshrine the principals of sustainable forest management in national forestry and reconcile development of the sector with social and environmental safeguards. Cameroon's forests are divided into permanent forest estate (DFP) currently making up around 80% of total forest area at around 18 million ha and non-permanent forest estate (DFNP), almost 4.5 million ha. The DFP, which includes protected areas, should cover at least 30% of total national area, be representative of national biodiversity, remain as permanently managed forest and/or wildlife habitat and be sustainably managed according to approved management plans. Typically within the DFP commercial operations are managed under a system of 15 year concessions (<200,000ha per concession) which are renewable once, in effect 30 years, although provision exists for local councils to allocate more extensive harvesting licences. The DFNP offers possibilities for smaller scale harvesting including community managed forests up to a maximum of 5,000 ha but can also be allocated for agro-forestry, crops and private forests. As of 2010, it is estimated that over 7 million ha of Cameroonian forests are managed as timber concessions with an additional 600,000 ha under community management. Forest exploitation and related activities represented 8.9% of national gross domestic product (GDP) between 1992 and 2000 and have grown at a rate of 4.7% per year since 2000, a significant role in the Cameroonian economy. The forestry sector is also a major export earner, accounting for 28.2% of total non-oil exports over the same period. Despite the intentions of the 1994 forestry law, the uptake of truly sustainable practices within the forestry sector, effective management of the protected areas in the zone and alleviation of poverty amongst rural poor communities has been at best a qualified success. Ensuring effective management of the core protected areas, promoting sustainable practices in the forestry sector that makes up the dominant land use in the region and providing sustainable livelihood benefits is essential.

Poaching, overhunting and overfishing are exacerbated by rampant corruption in the government. The country has a thriving bushmeat trade even in Protected Areas (PAs) and the government is not managing to control this. Though Cameroon enjoys relative political stability compared to some other West African countries, law enforcement personnel are often underpaid, under-resourced and demotivated and end up colluding with those engaged in illegal activities in order to supplement their income. Illegal Wildlife Trade (IWT) is undermining the rule of law, nurturing corruption, disrupting communities and hindering economic development. It also threatens the regions' wildlife. Forest elephant population have declined by 62% in the last ten years whilst huge numbers of Pangolins are trafficked to markets in East and South East Asia. As a consequence, IWT threatens the integrity of the forest system itself and the continued provision of essential ecosystem services on which many rely.

The Cameroonian zone within the the Minkébé-Odzala-Dja Interzone in Gabon, Congo, and Cameroon, also known as the TRIDOM area, is a key illegal wildlife trade (IWT) hub. The TRIDOM area covers around 147,000 km<sup>2</sup> or 7.5% of the Congo Basin Tropical Rainforest, which is the world's second largest expanse of rainforest. Twelve PAs are connected through a thinly populated interzone that is essential for maintaining ecological

connectivity and long term maintenance of ecological processes. This ecoregion and its biodiversity are threatened, especially for its bush meat (endangered species) and ivory. Its forests are target for poachers and its roads and towns a transit route for trafficked wildlife from Central African Republic (CAR), Congo and Gabon. Trafficking is often led by local elites who exploit poorer community members, co-opted into poaching for their tracking and hunting abilities and to transport illegal wildlife products. Local people accrue little of the benefits, see their natural resources depleted, face compromised security in their daily lives and feel disempowered in the face of criminal elites. This situation is compounded by the fact that in recent times, managers have lacked the resources and technical support to efficiently manage the protected areas that are the core of the landscape. More broadly, law enforcement agents lack capacity to gather and use intelligence information, collect evidence, follow due process and build robust cases. Low pay and morale means they are vulnerable to corruption and intimidation. Prosecutors and judges demonstrate limited awareness or ability to apply relevant laws whilst border agents lack the resource and skills to effectively secure the frontier against trafficking.

Cameroon is a signatory to the convention on international trade in endangered species (CITES) and has recently published its National Ivory Action Plan (NIAP) detailing its obligations to address IWT with particular reference to the illegal ivory trade. It is also a signatory to other key initiatives such as the London and Gabaronne Declarations, indicating its commitment to address the impact of IWT and promote sustainable management of natural resources. Cameroon as an active member of Central African Commission on Forests (COMIFAC) and hosts the Head Office. It is committed to address IWT and reduce poaching through implementation of the COMIFAC Action Plan for Strengthening National Wildlife Law Enforcement (PAPECALF), reaffirmed at a meeting of the ECCAS held in July 2014 in Yaoundé. However, support is urgently needed to help the government to meet these commitments.

**Baseline:** Since December 2004, the Ministry of Environment, Nature Protection and Sustainable Development (MINEPDED) and the Ministry of Forests and Wildlife (MINFOF) have been responsible for biodiversity, ecosystem conservation and forest management in Cameroon in line with Sectorial Programme of Forest and Environment (SPFE). These ministries have made a significant contribution towards protecting the forests through the creation of national parks and other protected areas, and support for the management and oversight of the forestry sector. In addition, it has placed a moratorium on exploitation of a further 8,000 km<sup>2</sup> of biologically important forest in the TRIDOM interzone, zoned for logging in the national forest management plan, pending the outcome of negotiations on its ultimate use. Several initiatives have already been implemented in Cameroon and the region. These initiatives constitute a baseline and are detailed below.

At the regional level:

- The UNDP-GEF project ‘Conservation of trans-boundary biodiversity in the Minkebe-Odzala-Dja interzone in Gabon, Congo and Cameroon’ (1583); known as the regional TRIDOM project. This started in 2008 for a period of 7 years. It is a conservation project (closing in mid 2015) which aims to preserve ecological functions of this area and ensure in the long-term that the transboundary system of protected areas remains preserved. It has worked towards the following expected outcomes: Land-use and the governance structures of a trans-border complex for biodiversity conservation and sustainable natural resource use are designed, endorsed and operational; capacity to monitor trends in biodiversity, resource exploitation and ecological functions and to minimize pressures on natural resources is strengthened in TRIDOM; benefits from community-based natural resource management contribute to poverty alleviation; and sustainable funding is mobilized for the conservation and sustainable management of the TRIDOM.
- Regional project providing specific country support to Cameroon to support implementation of the Nagoya Protocol on Access to and Benefit Sharing (ABS) of Biodiversity.
- The UNDP-GEF regional project on ‘Sustainable Financing of Protected Area Systems in the Congo Basin’

- Sectoral Forest and Environment Program (FESP): Under the auspices of the World Bank, Cameroon, Gabon and Congo are developing and implementing Sectoral Forest and Environment Programs (Programme Sectoriel Forêt et Environnement, FESP). The FESP was set up in 1999 and is a detailed and pluriannual strategic policy for the entire forest sector led by the national government and involving the major donors. It insures coherence vis-à-vis data and macroeconomic planning. It is designed as a national sectoral development program established for the implementation of a sustainable and participatory management policy of forest and wildlife resources in Cameroon.

At the national level, the legal framework for biodiversity conservation is set out by several law and decrees among which are:

- Law 94/01 of 20 January 1994 (also refer as Forestry code) lays down forestry, wildlife and fishery regulations and its subsequent Implementation Decree. Under the Forestry Code, wildlife species are divided into three protection classes: A, B and C; great apes belong to class A that includes all fully protected species. Activities for the commercial exploitation of wildlife are authorized only to those holding legal and valid title from the Ministry of Forestry and Wildlife. Poaching is therefore defined as any act of hunting without license. Hunting is allowed in specific season with authorized equipment and it is forbidden in protected areas. Poaching is severely punished by the law with several months' imprisonment and financial penalties.
- Law N°96/12 of August 5<sup>th</sup>, 1996 on Environmental Management. Cameroon has a Framework Law on Environmental Management, which affirms the need to focus attention on biodiversity management. It notably recommends the conservation of biodiversity; sustainable exploitation of forests and the management of the maritime coasts as well as the sustainable exploitation of other natural resources and the valuation of national products.
- In 2009, under the the auspices of UNDP, Cameroon has updated the National Environmental Management Plan (PNGE) as a key document of diagnostic on environmental management
- In 2011, a Presidential Decree was signed to enhance territorial management. One important aspect of this Presidential Decree is that it is complementary to the on-going zoning plan mapped out by the forestry administration which has defined a permanent forest domain (production forests, protection forests, etc.) and non-permanent forest domain (community forests, etc.). Under this repartition, biodiversity conservation is included in the management plans of all production forests.
- Cameroon has developed a National Biodiversity Strategy and Action Plan (NBSAP) as part of its commitments under the CBD. This document, which promotes a participatory approach to biodiversity conservation, identifies opportunities, risks, challenges and solutions to sustainable biodiversity conservation and national development.
- Cameroon also initiated the development of a National Action Plan for the Conservation of Great Apes in March 2003 with the support of Great Apes Survival Partnership (GRASP) and other international NGOs. It aims to translate the political will of Cameroon to contribute to biodiversity conservation efforts and defines the concrete and urgent actions that must be undertaken for the conservation of the great apes species.
- Cameroon has been actively involved in the REDD+ process since inception. Cameroon's National REDD+ Strategy was approved in 2013. Specifically, REDD+ is anticipated to help Cameroon achieve the sustainable development objective established by the government in the Growth and Employment Strategy Paper (GESP) for its 2035 vision. The country is also a member of the World Bank Forest Carbon Partnership Facility (FCPF).
- Cameroon has recently published its National Ivory Action Plan in compliance with the CITES Standing Committee (SC65) direction to countries of secondary importance to reinforce their efforts to combat IWT and the ivory trade in particular.

Other projects active in this area include:

- The GEF funded ‘Conservation and Sustainable Use of the Ngoyla-Mintom Forest’ Project (P118018) is a 5 year project ending in 2017 established to improve the conservation and management of the core area and improve access to income-generating activities for local communities in the project area. There are three components to the project. The first component is strengthening government and civil society capacity for participatory planning and management of the core areas. The second component is to design and implement a Livelihood Support Mechanism (LSM) and the third component is to design and implements a long-term monitoring and evaluation system for the Ngoyla-Mintom Forest Massif.
- The Zoological Society of London work across this landscape to strengthen management of the Dja Biosphere Reserve by providing technical and financial support to support park management and working with private sector actors, primarily timber companies, in the periphery zone and the wider landscape to protect High Conservation Values.
- Phase II of the European Union funded Central African World Heritage Forest Initiative (CAWHFI). Conserving Biodiversity through the World Heritage Convention in the Gabon-Cameroon-CAR-Congo trans-border zones is due to commence in 2015. The focal sites in Cameroon are the Dja Biosphere Reserve [and Lobeke, as part of the Sangha Trinational]. This overall objective of this project is to ensure the integrity of a network of protected areas and the forest landscapes linking them, in the Gabon-Cameroon-Congo-CAR trans-border forest zone through: the use of the World Heritage Convention to promote the protection and monitoring of sites harboring exceptional and globally important biological values; the strengthening of existing and proposed World Heritage site management activities; and adopting of land use planning (LUP) options and appropriate mitigation efforts in the inter-zones in order to reconcile biodiversity conservation and economic development.

**Barriers:** Key barriers revolve around the weakness of the government and key agencies to enforce legislation and control wildlife crime and destruction of habitats. As a result illegal hunting for for the international wildlife trade and national commercial trade is decimating wildlife populations and and driving threatened species towards extinction. Barriers can be summarised as:

- Weak policy and regulatory frameworks for ecosystem and biodiversity management, and insufficient information and tools to understand, regulate and combat illegal wildlife trade;
- Ineffective management and enforcement at the site and landscape level due to weak capacity, lack of resources and poor governance;
- Poor coordination between agencies and institutions on law enforcement;
- Limited transboundary coordination in planning and control of resource use are factors contributing to unsustainable exploitation of natural resources in the interzone; and
- Insufficient involvement of local stakeholders (local communities) in effective forest management to create and to promote to promote the adoption of management practices and community-centred initiatives in the forest interzone

### **The Alternative Scenario**

**The long-term Solution** is to strengthen the conservation of globally threatened species in Cameroon by improving biodiversity enforcement, resilience and management. This will be achieved through three interconnected components with the set outcomes, as summarised in the project framework table in Section B. This project will implement activities at three geographic levels; the national (central government) level in Cameroon; at a number of key sites within Cameroon that harbour globally significant biodiversity threatened by increasing rates of wildlife crime and poor management; and a small and select number of activities designed to facilitate inter-country coordination between Gabon, Congo and Cameroon (in the TRIDOM area). The project will evaluate its impact against the rate of loss of biodiversity within Cameroon, achieved through improved biodiversity management in targeted PA complexes and a reduction in wildlife crime.

**Component 1: Strengthening capacity for effective PA and IWT governance in Cameroon.** Under this Component, the preparation and enforcement of legislation recognizing the new transboundary UNESCO MAB in the Dja and outlining management arrangements will be completed. This will tie into the formulation and implementation of updated National Protected Areas Strategy and a new National Strategy for Combating Illegal Wildlife Trade to support national implementation of CITES. A National Wildlife Crime Task Force will be established (involving Cameroon's national police, Ministry of Forest and Wildlife, judiciary and other key players) with the mandate for enhancing government systems and institutional capacity for combating IWT in accordance with the new IWT Strategy, and a nationwide system for monitoring wildlife trade and wildlife crime cases will be established for the first time and operationalized.

**Component 2: Improving the effective management of globally significant protected areas in Cameroon.** Under this Component, the project will support detailed biodiversity surveys that will determine critical conservation and IWT sites, undertake threat/risk assessments and establish project baselines. Based on this, PA management plans will be updated and strengthened for the Dja, Boumba Bek and Nki PAs, Megame, Ngoyla Wildlife Reserve and Lobeke Gorilla Sanctuary, covering 1,568,161 ha (13,509 Km<sup>2</sup>) and will include plans for the improved management of forest landscape interzones between PAs ensuring connectivity and maintenance of conservation values. This will be achieved through the promotion of participatory forest management involving stakeholders who live in and around the interzone. It will also include plans for designated buffer zones to reinforce the core PAs through the adoption of SLM practices by communities and more effective management of human-wildlife conflict. In parallel, the capacity of PA staff will be developed to improve management systems, ensure the application of PA and IWT legislation and enforcement measures, and improve planning, budgeting and equipment, etc. Staff will also be trained in controlling poaching and other illegal activities through implementation of the SMART approach, preventing the unsustainable exploitation of bushmeat, securing wildlife populations and assuring PA integrity. Pilot projects will be established to develop and test approaches for sustainable financing of the core PAs.

**Component 3: Reducing poaching and illegal trafficking of threatened species [site level].** Under this Component, enforcement, forensic judicial capacity will be strengthened to proactively target criminal activities, support criminal investigations and prosecution of wildlife crime cases. PA management will be strengthened to control poaching and other illegal activities through implementation of the SMART approach, securing wildlife populations and assuring PA integrity. Private sector enterprises (e.g. tourism, logging, extractives, trophy hunting) will be integrated into dialogue with government on their role for a coordinated IWT approach across the landscape leading to the reduced illegal exploitation of threatened species. In order to promote the adoption of management practices and community-centred initiatives in the forest interzone that support sustainable livelihoods and reduce wildlife crime, the project will work with the Cameroon GEF Small Grants Programme to channel grants to forest-dependent communities to pilot sustainable livelihoods based on SLM and CBNRM to i) reduce deforestation, IWT and unsustainable bushmeat exploitation; ii) promote participatory forest management, and iii) resolve human-wildlife conflict. All stakeholders in the forest interzone will be empowered to participate in monitoring and reporting of illegal activities.

### **Incremental Reasoning**

**The incremental approach can be summarised as follows:** The government of Cameroon has clearly identified strengthening and consolidating the national PA system as a priority action for conserving biodiversity and preventing domestic and transnational illegal wildlife trade. However, despite strong commitment from the government, actions are seldom taken to concretely remove the barriers to effective PA management and enforcement against trafficking and poaching of highly threatened species. In particular, legal inconsistencies and weak institutional arrangements at the national (and regional) level are compounded by the lack of management and enforcement capacity at the site level. Together these limit the potential for effective action.

In terms of IWT, the capacity and understanding amongst law enforcement agencies is low, regional collaboration is weak, and mechanisms to regulate legal wildlife trade are not being appropriately applied. The proposed intervention is particularly timely given the sharp increase in illegal wildlife trade volume globally, and the emergence of Cameroon as a key source country in regional wildlife trade networks as well as a significant transit country for transnational wildlife trafficking.

**In the baseline situation**, a weak enabling environment, a lack of coordination between agencies, a lack of capacity and resources, and an inability to upscale successful models will mean that endemic poverty and a lack of economic alternatives will contribute to unsustainable resource exploitation in Cameroon's globally significant protected areas and interzones. It is likely that the degradation and fragmentation of the Cameroon's forests will continue. Existing PAs could lose the biological links between them, eventually becoming biological islands, leading to local extinctions, reduction in biodiversity, disruption of biological processes, genetic isolation and the loss and impairment of global environmental benefits. Wildlife trade, both illegal and legal will substantially increase or, at best, will continue unabated, resulting first in local declines followed by outright extinctions of key Cameroonian wildlife species, including elephants, gorillas, chimpanzees and other mammals species. Illegal wildlife trade will continue to operate as organized crime, while legal wildlife trade will remain poorly regulated, raising few revenues for the state, and acting as a cover behind which illegal trade can flourish.

**In the alternative scenario enabled by the GEF**, systemic and institutional barriers to effective action to strengthen the management effectiveness of Cameroon's PA system, while combating illegal wildlife trade, will be removed at national, local and landscape levels through improved regulatory and institutional frameworks, and enhanced and coordinated government action. Core PAs and adjacent landscapes (Dja Wildlife Reserve (5,260 km<sup>2</sup>), Boumba-Bek National Park (2,383 km<sup>2</sup>); Nki National Park (3,093 km<sup>2</sup>); Mengamé Gorilla Sanctuary (1,206 km<sup>2</sup>) and Ngoyla Wildlife Reserve (1,567 km<sup>2</sup>) will be strengthened to support the conservation of globally threatened species in Cameroon. Coordinated National PA and IWT Strategies will underpin integrated action at local, national and regional levels, involving the private sector and communities as part of a multi-modal effort to strengthen the protected areas estate, fight wildlife crime, demonstrate the multiple benefits of sustainable land and forest management, and involve local people in co-managing wildlife and their habitat – the very ecosystems on which they depend. Capacity amongst national and regional enforcement agencies will be developed, there will be greater awareness of the importance of reducing the use of wildlife products, and enhanced high-level political will to act. A nation-wide system for monitoring wildlife trade and wildlife crime cases will be established for the first time and operationalised. The Cameroonian state and people will benefit economically while the globally significant wildlife of Cameroon, such as forest elephants, gorillas and chimpanzees, will be lifted from the threat of extinction caused by unsustainable exploitation.

**Global Environmental Benefits:** Cameroon is one of the most biodiverse regions in the world and supports many mammal and bird species including endemic and endangered species threatened by habitat loss and commercial wildlife trade, such as forest elephants, western lowland gorillas, central chimpanzees and giant pangolin, among others. Cameroon is home to one of the richest and most biologically important forest ecosystems on the planet. According to UN FAO, 42.1% (19,916,000 ha) of the country is forested, almost half of which is made up of large tracts of undisturbed virgin wilderness. GEF funding will secure populations of globally significant species through dramatically improving the systemic and institutional capacity of the nation to conserve biodiversity through the establishment of more effective management of protected areas; preventing land degradation through reduced illegal logging and land conversion in areas adjacent to PAs; helping to mitigate climate change through enhanced protection of the region's vast carbon sinks; and controlling commercial wildlife trade and associated overexploitation of species and their habitats. In addition, the GEF finance will significantly reduce the role of Cameroon as a supplier for transnational wildlife trafficking networks, such as for African Ivory. These benefits will emerge from capacity building as well as from a

coordinated approach to integrated landscape management, involving all stakeholders in the area. The project will generate these benefits by helping to build the fundamental management capacities needed to generate revenues, working according to adaptive management and business plans, and ensure an enabling institutional and policy environment that is conducive to adequate and dependable financial flows to PA system managers.

**Innovativeness, Sustainability and Potential for Scale-up:** The development of cost-effective and sustainable solutions to reduce the detrimental impacts of poor PA management, degradation of adjacent areas and associated wildlife trade is central to all aspects of this project. The project will work to support and strengthen Cameroon's institutions and authorities to more effectively management the national PA estate and reduce poaching and illegal wildlife trafficking. The underlying premise for the project is that interest already exists within the Government of Cameroon, especially within MINFOF and MINEPDED to improve management of the PA system located in the TRIDOM zone (with the intention to consolidate important work initiated through the regional TRIDOM project 2008-2015), and to control poaching and wildlife trade. What is needed is a combination of facilitation and demonstration to show that resources can be applied for the benefit of globally important biodiversity and Cameroon's sustainable economic development. Following the completion of the project, national institutions and authorities will be empowered and better equipped to exercise their mandates, without requiring further external resources. The project will build on existing initiatives and policies to develop better collaboration and information exchange, rather than creating new costly systems. The project will promote legitimate industry over unscrupulous IWT by developing regulatory environment into one, which provides a clear competitive advantage to legal, sustainable and responsible trade. Particularly innovative aspects of this project include: i) the formulation and implementation of land-use plans and the creation of the first governance structures for a globally significant transborder complex to secure biodiversity conservation and sustainable natural resource use; ii) the development of capacity to take national level intervention to address IWT and monitor trends in Cameroon, bringing together state and private sector actors alongside civil society and local communities, to manage biodiversity, reduce resource exploitation and protect ecological functions while minimizing pressures on natural resources and iii) benefits from community-based natural resource management contribute to combat wildlife crime and its wider impacts, including poverty alleviation.

**A.2. Stakeholders.** Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation: A detailed list of stakeholders will be prepared at PPG.

**A.3 Risk.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

RISK	RISK RATING	RISK MITIGATION MEASURE
Deteriorating political and economic conditions	Medium	Continue project activities as the project seeks to serve as a model for long-term financing of protected areas in countries where political uncertainty and economic constraints currently preclude the government from allocating adequate resources to conservation activities.
Increased loss and degradation of forest due to climate effects	Medium	This risk is clearly more important over the medium to long term. Complementary efforts to maintain resilience and connectivity amongst forest ecosystems at landscape level will be essential to maintaining PA biodiversity over the longer term. The process to

<b>RISK</b>	<b>RISK RATING</b>	<b>RISK MITIGATION MEASURE</b>
		create the Transboundary Biosphere reserve in the region being critical to build up equilibrium between Conservation and Development in the region.
Allocation of budgetary resources to national and regional trust funds remains low	Medium	The project will build on the environmental economic valuation work of the UNDP ‘Sustainable Financing’ project, to strengthen the business case in favor of Government financing of PAs. It will encourage the integration of PA financing allocations into national planning. At the same time, the emergence of new markets for conservation, also supported by the project, will help to change the cost-benefit calculus surrounding budgetary allocations for PA, corridor and open spots management.
The international community and private investors reluctant to provide resources for biodiversity conservation	Medium	Propose an institutional mechanism that strengthen environmental governance, transparency and maximize credibility. Build partnerships with different groups such as the private sector.
Increases in threats facing PAs due to sectoral activities and/or demographic trends counterbalance improvements in management	Medium	This risk may require action by Government that goes beyond increased PA management to address risks at source. The fact that this project is being developed as part of a multi-donor partnership and within regional frame-works geared to improved forest governance serves to mitigate this risk.
Limited local expertise to carry our implementation and/or follow up	Medium	For project implementation purposes, a combination of national and international expertise is envisaged to provide the technical competencies and skills necessary. However, this external expertise is not deemed sustainable and support will include transfer of knowledge, mentoring and training of PA system staff and those agencies managing the interzone.

**A.4. Coordination.** Outline the coordination with other relevant GEF-financed and other initiatives:

<b>Programs, and Initiatives</b>	<b>Proposed collaboration</b>
On-going and recently closed UNDP-GEF BD and SLM projects and SGP	This project will build on the successes and lessons of i) UNDP-GEF project on transboundary conservation, ii) UNDP-GEF project on sustainable financing mechanism, iii) World Bank Ngoyla-Mintom Project, iv) UNEP regional project on APA (Biodiversity) and other initiatives ongoing and to name the few, the IUCN project to support multi-stakeholder participation in the REDD plus in Cameroon, the IUCN-RAPAC/ECOFAC initiative on involvement of riparian population to co-management of natural resource in Dja Biosphere Reserve, the joined initiative of IUCN-World Bank and Government of Cameroon on participatory monitoring and evaluation system in Ngoyla-Mintom. These projects are co-supportive of the conservation and ecosystem services agenda, but in different ways and with distinct site-level focus. There is no potential overlap, but rather strong potential for synergies, collaboration and lessons learning. Collaboration with the national Cameroon GEF Small Grants Programme will be sought to potentially channel small grants to communities to support grassroots initiatives to reduce overexploitation of the forest zone, and pilot sustainable livelihoods based on Community Based Natural Resource Management (CBNRM) and SLM approaches.
Baseline programs and other related initiatives	Various baseline initiatives create a strong foundation of investment, upon which this project builds. Some of the baseline programs will co-finance this project and they will automatically become members of governance structures such as the project board, which

Programs, and Initiatives	Proposed collaboration
	make key decisions. This will allow for a much more coordinated way of working that fosters collaboration, synergies and good results.
Relevant GEF Programmatic Approach	<p>This project is being submitted to the GEF as part of (i) the Biodiversity Focal Area – Programme 1: Improving Financial and Effective Management of the National Ecological Infrastructure;</p> <p>ii) the Programmatic Approach to Prevent the Extinction of Known Threatened Species. A key focus is on reducing poaching and illegal trafficking of threatened species, the subject matter of the GEF’s Program 3, under the Biodiversity Focal Area Strategy. Various other GEF projects form part of the above-mentioned Programmatic Approach and are being submitted for Council approval by different GEF Agencies, with the World Bank playing a coordinating role. UNDP projects under the Programmatic Approach follow a ‘national strategy methodology’, i.e. they engage key national stakeholders in addressing the issue of preventing the extinction of known threatened species and fighting wildlife crime as an issue of governance and development, as much as it is an issue of NRM; and (iii) the Land Degradation Focal Area – Objective 2: Forest Landscapes: Program 3: Landscape Management and Restoration. In addition, it will contribute to the SFM Strategy through SFM: Reduce the Pressures on High Conservation Value Forests by Addressing the Drivers of Deforestation.</p>

Description of the consistency of the project with:

B.1 Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? For biodiversity related projects, please reference the Aichi Targets that the project will contribute to achieving. (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.: The project is consistent with the following national initiatives:

- Cameroon’s National Environmental Management Plan (PNGE) as a key document of diagnostic on environmental management
- Cameroon’s National Biodiversity Strategy and Action Plan (NBSAP), which was developed as part of its commitments under the CBD. This document, which promotes a participatory approach to biodiversity conservation, identifies opportunities, risks, challenges and solutions to sustainable biodiversity conservation and national development.
- Cameroon’s National Action Plan for the Conservation of Great Apes developed with the support of Great Apes Survival Partnership (GRASP) and other international NGOs. It aims to translate the political will of Cameroon to contribute to biodiversity conservation efforts and defines the concrete and urgent actions that must be undertaken for the conservation of the great apes species.
- Cameroon’s National REDD+ Strategy, which was approved in 2013. Specifically, REDD+ is anticipated to help Cameroon achieve the sustainable development objective established by the government in the Growth and Employment Strategy Paper (GESP) for its 2035 vision. The country is also a member of the World Bank Forest Carbon Partnership Facility (FCPF).
- Cameroon’s National Ivory Action Plan, prepared in compliance with the CITES Standing Committee (SC65) direction to countries of secondary importance to reinforce their efforts to combat IWT and the ivory trade in particular.

#### **4. Strengthening the management of wildlife and improving livelihoods in northern Republic of Congo (WB as implementing agency)**

##### **PART I: PROJECT INFORMATION<sup>41</sup>**

Project Title:	Strengthening the management of wildlife and improving livelihoods in northern Republic of Congo
Country(ies):	Republic of Congo
GEF Agency(ies):	WB
Other Executing Partner(s):	Ministry of Forest Economy and Sustainable Development
GEF Focal Area(s):	Multi-focal Areas

##### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>42</sup>:**

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-1 Program 1 Improve management effectiveness of protected areas	GEFTF	1,037,598	0
BD-2 Program 3 Reduction in rates of poaching of rhinos and elephants and other threatened species	GEFTF	2,760,186	0
LD-2 Program 3 Improved forest management and/or restoration	GEFTF	592,569	14,000,000
SFM-1 Cross sector policy and planning approaches at appropriate governance scales	GEFTF	417,446	30,000,000
SFM-2 Increased application of good management practices in all forests by relevant government, local community and private sector actors	GEFTF	1,777,731	30,000,000
Total Project Cost		6,585,530	74,000,000

##### **B. CHILD PROJECT DESCRIPTION SUMMARY**

Project Objective: To improve wildlife management in northern Republic of Congo and to protect habitats while improving local livelihoods

Project Components	Financing Type <sup>43</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1:Strengthening Institutions and policies for natural resources management	Inv/TA	Reduction in rates of poaching of rhinos and elephants and other threatened species and increase in arrests and convictions  Capacity building of local government in REDD+ design, implementation, monitoring, and overall management	715,911	14,000,000

<sup>41</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>42</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>43</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>43</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		Cross-sector policy and planning approaches at appropriate governance scales, avoid loss of high conservation value forests.		
2: Management of protected areas and forest landscapes involving communities	Inv/TA	Improved management effectiveness of protected areas  Support mechanisms for forest landscape management and restoration established  Improved forest management and/or restoration  Increased application of good management practices in all forests by relevant government, local community (both women and men) and private sector actors.	5,554,104	56,300,000
Subtotal			6,270,015	70,300,000
Project Management Cost (PMC) <sup>44</sup> GEFTF			315,515	3,700,000
<b>Total Project Cost</b>			<b>6,585,530</b>	<b>74,000,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	IDA	IDA loan	10,000,000
Donor Agency	Forest Carbon Partnership Facility Carbon Fund	Equity	64,000,000
<b>Total Co-financing</b>			<b>74,000,000</b>

### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS<sup>a)</sup>

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
WB	GEFTF	Republic of Congo	Biodiversity	(select as applicable)	3,797,784	341,801	4,139,585

<sup>44</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

WB	GEFTF	Republic of Congo	Land Degradation	(select as applicable)	592,569	53,331	645,900
WB	GEFTF	Republic of Congo	SFM/REDD+		2,195,177	197,566	2,392,743
<b>Total GEF Resources</b>					6,585,530	592,698	7,178,228

- b) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.  
c) Refer to the [Fee Policy for GEF Partner Agencies](#).  
d) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here  
( )

## PART II: PROJECT JUSTIFICATION

### PROJECT OVERVIEW

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

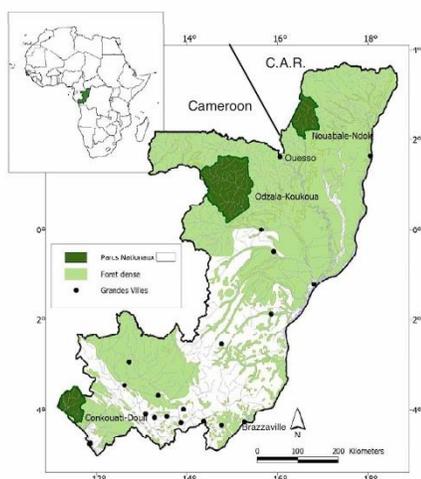
#### 1) Global environmental and/or adaptation problems, root causes, and barriers

The Republic of Congo, with a population of an estimated 4.45 million (2013), has a low population density, with the majority of inhabitants (64%) living in urban areas (Brazzaville and Pointe Noir being the largest urban centers. Population density is therefore extremely low in the rural areas. The country boasts numerous assets: substantial oil reserves, close to 22 million hectares of forests, 10 million hectares of arable land, a highly developed hydrographic network, a climate conducive to agriculture, and abundant mineral resources.

Congo's forest biodiversity is significant. Its forest estate is one of the richest and most biologically important on the planet. Around 65% of the country is covered by lowland tropical forests, which includes large tracts of intact forest. Congo's forests possess a wealth of biodiversity, including forest elephants, western lowland gorilla, chimpanzees, leopards, and bongo antelope. The country also harbors primary forests with mahoganies and other centuries-old tree species that, particularly in the north of the country. Within Congo, a vast section of the northern portion of the country still has important elephant populations, including the national parks of Odzala and Nouabale-Ndoki and the FSC-certified timber concessions that connect and surround these parks.

The forests are important sources of income and livelihood products for many local communities – for example firewood, timber for construction, food plants, traditional medicines, and bushmeat as a source of protein. However, these rich biological resources are under threat from unregulated anthropogenic activities. The forest habitats are being fragmented and destroyed due to unregulated forestry, and the uncontrolled harvesting of non-timber forest products, shifting cultivation, and bushfires.

Protected areas in the Congo now cover 4.1 million ha, which represents 12% of total surface area. Four protected areas have approved management plans: the three National Parks of Odzala-Kokoua, Nouabalé-Ndoki and Conkouati-Douli (Fig. 1), and the Lossi gorilla sanctuary.



In addition, Congo has an important trans-boundary conservation areas. The Sangha River Tri-National Protected Area with a total area of 2.8 million ha, encompasses Nouabalé-Ndoki National Park in the Republic of Congo, the adjacent Dzanga Sangha Special Reserve in the Central African Republic, and the Lobéké National Park in Cameroon. This transboundary conservation area complex is home to globally significant populations of forest elephants and gorillas, among others. The forested regions northern Congo, southwestern CAR, and southeastern Cameroon contained the region's highest elephant densities and almost all the nationally important elephant populations.

In spite of the relatively large area covered by protected areas in Congo, wildlife populations are declining from unsustainable hunting to supply the bushmeat trade and illegal income generation from the illegal wildlife trade and hunting trophies. A recent report on forest elephant populations demonstrates a widespread and catastrophic decline in the

numbers of forest elephants in Central Africa: over 60% have been lost, and their range has been reduced by 30%, and a corresponding range contraction of approximately 30%, during the nine-year period 2002–2011 (Maisels 2014). Poaching in Congo has escalated due to an increase in the number of automatic weapons available from recent civil wars in the region. Additionally, the recent expansion of the road network by logging companies allows easy access to previously remote forest sectors and to transport products out to the markets.

Commercial hunting is the main driver of the decline of terrestrial biodiversity in northern Congo. The relative ease with which major urban areas (Brazzaville, Kinshasa, Mbandaka, Yaounde, Douala, Bangui) can be reached by road and river has exacerbated this problem. Commercial logging in the north of the country has modified the forest, but because logging is limited to selective approaches, the main impact of commercial logging on biodiversity is mammal hunting, as formerly inaccessible forest tracts open up with the construction of logging roads in the timber concessions.

Terrestrial biodiversity in northern Congo also is threatened by land use change. The installation of palm oil concessions in the north threatens to turn large tracts of land into hostile areas for most medium- to large-sized mammals, because they will either be unable to survive in oil palm monoculture or because they pose a threat to crops and will be pursued by plantation managers. Maintaining connectivity between remaining natural forest tracts will thus be an utmost urgency for preserving the state of large mammals in the region over the longer term. By contrast, shifting cultivation has a relatively low impact because of the Congo's low population density, especially in the north of the country)

Key barriers to resolving these issues center on the government's challenges in containing wildlife crime and habitat conversion, both of which threaten endangered species of large mammals directly (through poaching) and indirectly (through habitat conversion). Barriers can be summarized as:

- Deficient capacity within the law enforcement and legal system, and insufficient information and tools for combatting the illegal wildlife trade;
- Deficient enabling framework for protected areas management and the fight against the illegal wildlife trade;
- Deficient management and enforcement at site and landscape levels; and
- Deficient transboundary coordination in control of natural resources.
- Deficient land use planning systems.

## 2. Baseline scenario

The Bank has an active US\$ 10 m IDA project (with US\$ 22.6m in government co-financing) entitled Forestry and Economic Diversification Project. The project's objectives are to increase the capacity of the Republic of Congo to: (i) promote better implementation of its forestry legislation; and (ii) enhance the policy environment for participation of local communities and the private sector in sustainable forest management and reforestation. This is being accomplished through the following components: (1) Capacity Building and institutional strengthening of the Ministry of Sustainable Development, Forest Economy and Environment; (2) improving the enabling environment for private sector and smallholder activities in the forest sector; and (3) enhancing the participation of local and indigenous communities in forest management. The project targets national administrative structures to accomplish its objectives. It is being implemented by the Ministry of Sustainable Development, Forest Economy and Environment.

With Bank's support, the Northern Congo Emission Reductions Program (ER-P) has been selected by the Carbon Fund of the Forest Carbon Partnership Facility (FCPF). The ER-P is planning to cover 12.35 million hectares in the northern departments of Sangha and Likouala, an area in which the government is aiming to reduce emissions by some 11 million tons of CO<sub>2</sub>e over the period 2016 - 2020. At an assumed carbon price of US\$ 5/tCO<sub>2</sub>e, this would represent a transaction volume of US\$ 55m. The primary emissions reductions investments are currently planned in sustainable cocoa production, improved charcoal production efficiency and utilization of biochar, sustainable forest management, conservation forests, and afforestation / reforestation (including community agroforestry). To prepare the Republic of Congo's institutional framework for REDD+, the World Bank has also been supporting REDD+ readiness activities with US\$ 3.8 million from the FCPF Readiness Fund for more than two years. A US\$ 5.2million additional funding is currently under consideration by the Preparation Fund of the FCPF. The total expected funds are US\$ 64 million.

Although the baseline scenario includes a number of investments that would go a long way toward achieving the project's objectives, they do not permit a focus on capacity building for park management and wildlife management authorities, significant investments in assets inside protected areas, or community wildlife management. Similarly, investments in ecosystem restoration in particular in forest areas would be severely limited in the baseline scenario. This would imply continued undersupply of wildlife management at a national and local scale, while largely excluding protected areas from being effectively integrated in the Emissions Reductions Program.

## 3. Proposed alternative scenario

The Congolese government is committed to protecting its natural resources. To stop this illegal activity, specifically the wildlife trade, a multi-faceted approach is needed and actions need to be taken at different stages of the trade through law enforcement linked to intelligence gathering and working within communities to improve forest management and livelihoods. The GEF operation will be working in the Nouabale-Ndoki National Park and its surrounding areas, thus complementing the GEF UNDP project that will work in the Odzala-Kokoua National Park and its surrounding areas.

To address this challenge, several approaches are necessary:

- 1) At the site level, law enforcement is urgently needed. Patrols working with local communities could be put in place, but improving the livelihoods of these communities will be a prerequisite for a successful intervention. This livelihood program will have to be designed to reduce the pressure that communities exert on wildlife populations, and provide incentives for them to be willing to participate in the fight against poaching.
- 2) Regarding the traffic of illegal products, there is a need to enhance cooperation between different government services (police, customs, military, etc.), as well as ensure monitoring and tracking illegal activities from the forest to the export locations (airports / ports) by using intelligence and innovative methods that would allow a systematic tracking of offenders or criminals. Anti-corruption programs would also have to be put into place.

To this end, this project will focus on stopping and preventing the trafficking of illegal wildlife products, specifically ivory, at transport pinch points and export points in addition to strengthening the capacity of the criminal justice system as it relates to wildlife and forestry crime. The project will also focus on alleviating human-wildlife conflict to increase the capacity of communities to successfully address human-wildlife conflict. The project will achieve its objective to improve wildlife management in northern Republic of Congo and to protect habitats while improving local livelihoods through the following components:

**Component 1: Strengthening Institutions and Policy in natural resources management**

This component will support investments and technical assistance to address wildlife crime in a strategic manner. The project will support key interventions at national scale that will allow the various branches and agencies of government to better calibrate its efforts to suppress the illicit trade in wildlife. This will include drawing on tools developed by the International Consortium to Combat Wildlife Crime (ICCWC). To this end, the project will also cooperate closely with a UNDP-led complementary initiative that will work in two other protected areas in northern Congo, while also addressing national wildlife crime priorities.

- Analysis of the illegal wildlife product value chain in the Republic of Congo to derive an appropriate control strategy
- Support the review and if necessary the strengthening of the legislative and regulatory wildlife management framework
- Design and implement an awareness and training program for the judiciary
- Promote intergovernmental communication based on mechanisms for collecting and sharing information
- Strengthen cross-border collaboration to better fight against the illegal international wildlife trade
- Strengthen intelligence networks and investigative capacity at all levels
- Strengthen border controls (incl. international airports and ports) using adapted technologies and tools, as well as proven methods of judicial inquiry
- Improve management of ivory stocks
- Project management

**Component 2: Management of protected areas and forest landscapes involving communities** This component will primarily focus on investments that aim at improving the management of natural resources inside and around Nouabale-Ndoki National Park. The park straddles the departments of Sangha and Likouala, the two jurisdictions that make up the Northern Congo Emissions Reductions Program. The aim of the component is to integrate the national park and its management in the broader efforts underway in the preparation of the Emissions Reductions Program. A key feature of this activity will be a focus on supporting livelihoods for local communities, with attendant expected benefits for both wildlife management and the Emissions Reductions Program.

- Conduct capacity assessment of national parks service with a view to developing an action plan to increase performance
- Improve protected area law enforcement through capacity building and equipment, implement innovative law enforcement techniques utilizing known forest elephant ecology and distribution
- Community engagement among local populations with a focus on improving livelihoods

- Sustainable forest management involving local communities in protected area buffer zones and the broader landscape, conservation-sensitive landscape-level participatory planning of use zones integrated in REDD+ processes
- Review (inventory / effectiveness) current measures to prevent or compensate for damages resulting from human-wildlife-conflict, promote innovative crop raiding prevention and compensation mechanisms such as environmental risk insurance schemes to address any shortcomings
- Assess possibility for implementing payments for environmental services to reduce deforestation and forest degradation, in complement with REDD+ activities
- Engage forestry and mining sectors in wildlife protection (participation in patrols, provision of motorized transport, information exchange, capacity building, access limitation, etc.).

At the end of the project, the rate of biodiversity degradation in targeted protected areas is expected to slow and natural habitats will have been maintained in their original state of preservation. The livelihoods of local populations will be improved. More specifically, institutional coordination and cross-border cooperation will be improved with a view to controlling illegal wildlife trafficking and poaching. Local communities will benefit from functional compensation mechanisms, but also payments for environmental services.

To complement the baseline activities, the GEF resources under the proposed project will be developed as a multi-focal area operation, combining several GEF strategic goals. They will be fully consistent with GEF-6 strategies and policies. The proposed project will be specifically aligned with the following GEF focal area strategic objectives:

#### Biodiversity:

- BD-1: Improve sustainability of protected area systems: Program 1: Improving Financial Sustainability and Effective Management of the National Ecological Infrastructure
- BD-2: Reduce threats to global significant biodiversity: Program 3: Preventing the Extinction of Known Threatened Species

#### Land Degradation:

- LD-2: Generate sustainable flows of ecosystem services from forests, including in drylands: Program 3: Landscape, Management and Restoration

#### Sustainable Forest Management:

- SFM-1: Maintained Forest Resources: Reduce the pressures on high conservation value forests by addressing the drivers of deforestation.
- SFM-2: Enhanced Forest Management: Maintain flows of forest ecosystem services and improve resilience to climate change through SFM

#### **4. Incremental/additional cost reasoning and co-financing**

The GEF funded activities would all be incremental to the overall program and address the institutional and financial sustainability of wildlife management, communities whose well-being is critical to said management, the control of the illegal wildlife trade, and the long-term integration of conservation into pioneering carbon finance projects such as that under preparation in northern Congo.

The incremental cost of \$6.9 million that the GEF financing would provide to the \$74m baseline project would enable the adoption of a more comprehensive approach to the Emissions Reductions Program, thereby including protected and forest areas and wildlife management and crime prevention that might otherwise be neglected in the program, and increasing the program's chances of success. This will allow for a significantly increased impact of the overall project, as both areas are important reservoirs of carbon. Moreover, the community-centric inclusion of biodiversity resources in the project is expected to result in increased benefits to local communities, thereby increasing the sustainability of the resources for both wildlife preservation and carbon storage. The GEF resources also address a significant need for improved control of poaching, an area the baseline project cannot address.

Thus, the GEF's contributions will allow for significant investments in capacity building for park management and wildlife management authorities, in assets inside and surrounding protected areas, and in community wildlife management. The GEF resources are expected to enable improved management of wildlife – including through better control of the illegal wildlife trade – both at national and local level. Part of this goal will be achieved by working closely with surrounding communities, which will also contribute to habitat preservation on a broader scale.

## 5. Global environmental benefits

GEF funding will help secure populations of globally significant species by improving institutional capacity to conserve its biodiversity through improved protected area management, reduced forest land degradation in areas adjacent to protected areas, improving forest and landscape management by government and communities; and improving the control of the commercial wildlife trade. These benefits will result from capacity building at national and local levels, as well as from integration of a significant protected area into the integrated landscape management framework being developed by the Northern Congo Emissions Reductions Program.

Global environmental benefits resulting from the project include:

### Biodiversity

- Conservation of globally significant biodiversity;
- Sustainable use of the components of globally significant biodiversity

### Land Degradation

- Improved provision of agro-ecosystem and forest ecosystem goods and services
- Conservation and sustainable use of biodiversity in productive landscapes

### Sustainable Forest Management

- Reduction in forest loss and forest degradation
- Maintenance of the range of environmental services and products derived from forests

A.2. *Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

This project will build on a far-reaching network of stakeholders at the local, national, and regional levels. At the national level, government commitment is key to the success and sustainability of the project. As a result, the project will provide a platform to magnify its interventions across all branches of government including the Executive, the Legislative, the Judiciary, including the Ministries of Forest Economy and Sustainable Development, the Ministry of

Tourism and Environment, the National REDD+ Coordination, the Ministry of Land Allocation, and the defense and security apparatuses, to name just a few. Working with law enforcement and protected area agencies with jurisdiction over the species and their habitats, rural communities dependent on natural resources for their livelihoods, the transportation networks illegal wildlife travels within, the borders it crosses and the court systems poachers are brought before, is critical. Moreover, the project will cooperate and coordinate closely during both design and implementation with a complementary UNDP-led project that is seeking to curb wildlife crime in other protected areas in northern Congo, as well as at a national level.

The project will also work closely with community-based organizations and local communities, who are invested in the sustainable management of biodiversity, including wildlife, and the income and job opportunities that it provides. This engagement will go beyond consultation to actively involve communities in the design, implementation, and learning across the project.

The project will also work with national and international non-governmental organizations (NGOs), including the Wildlife Conservation Society (WCS), which operates Nouabele-Ndoki National Park, private tourism operators, forest concessionaires in surrounding areas, and mining companies in the area of the Northern Congo Emissions Reductions Program.

*A.3 Risk. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):*

Category	Rating and Risk Management
Sector Strategies and Policies	Substantial
The sector strategy for conservation and wildlife crime are only just emerging in Congo. As a result, many elements are still in flux.	The project is designed to build on existing efforts, and Component 1 is intended to provide inputs and guidance on ensuring that a sound strategy is developed.
Technical Design of Project or Program	Moderate
The project involves components across multiple sectors and across the jurisdiction of multiple divisions and/or ministries. This process is potentially complex, and requires strong collaboration across entities. Without strong political support, there is a risk of limited impact.	Support participatory process and active dialogue and coordination involving key stakeholders in project design and implementation. Representatives of key stakeholders will be part of the project design committee, and representatives of core agencies will be part of the project steering committee. Designing sub-components so that subsequent modification/simplification remains possible and ensuring adequate community consultation during design and before construction.
Institutional Capacity for Implementation and Sustainability	Substantial
The ministry and other agencies involved have different levels of capacity regarding procurement and contract management, financial management, social &	Require MNRT and the LGAs to enhance their staffing; (ii) providing TA and capacity building to implementing agencies; (iii) require MNRT to reinforce its guidance to

environmental management, and M&E. The main implementation agency (Ministry of Forests) may not be able to fully play its guiding, coordinating, and supervising role as needed because of being overtaxed with too many other initiatives.	LGAs by conducting capacity building and strengthening coordination; (iv) providing TA and capacity building to integrated planning at LGA level; and (v) close monitoring of project implementation by the World Bank, with continuous support from the country office and frequent implementation support missions.
<b>Fiduciary</b>	<b>Substantial</b>
The continued fragile situation with respect to fraud and corruption could potentially affect fiduciary compliance with Bank policies.	A strong fiduciary governance framework needs to be put in place and periodically reviewed to enable ongoing strengthening.
<b>Environmental and Social</b>	<b>Substantial</b>
The project involves activities in Critical Natural Habitats, including development of infrastructure. While these investments are intended to improve conservation and management of these areas, there remains the possibility that they could have limited unintended negative impacts. Social risks are considered substantial. The project could potentially consider the resettlement of farmers that have been informally irrigating land in or near the protected areas.	An Environmental and Social Management Framework (ESMF) will be developed during project preparation to lay out the requirements to ensure sound safeguards management of project investments. In parallel, all project-supported investments in Critical Natural Habitats must be compatible with the management plan for that area. Social safeguards issues will be carefully addressed during preparation, including regarding indigenous peoples and resettlement. It is possible that a Resettlement Framework will be required, as well as a Resettlement Process Framework. Intensive capacity building throughout the project, requirement to strengthen staffing and working environment, requirement to budget adequately for land acquisition and resettlement, guidance and supervision from the ministry, and enhanced implementation support from the Bank.
<b>Stakeholders</b>	<b>Moderate</b>
The multi-sector nature of the project requires strong collaboration across a variety of ministries and agencies. Different mandates that cut across the project scope together with unclear roles and responsibilities because of weak coordination could undermine the success of project activities.	Project preparation and implementation will draw upon participatory processes, including through the creation of design and steering committees that comprise representatives of key stakeholder groups.
<b>Overall</b>	<b>Substantial</b>

A.4. *Coordination.* Outline the coordination with other relevant GEF-financed and other initiatives:

The proposed project will be part of a package of investments to promote sustainable forest management for economic growth, carbon sequestration, and biodiversity management across the northern Congo forest landscape.

These include:

- Northern Congo Emissions Reductions Program, US\$ 64 million, financing in preparation, funded by the Forest Carbon Partnership Facility
- Forest and Economic Diversification Project, US\$ 10 million with US\$ 22.6m in government co-financing, under implementation, funded by IDA and the Republic of Congo
- Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Congo, US\$ 3.1 million, in preparation, to be funded by the GEF

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /NO  ). IF YES, WHICH ONES AND HOW: NAPAS, NAPs, ASGM NAPs, MIAs, NBSAPs, NCS, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURS, ETC.:**

The project aligns well with the Congo’s Poverty Reduction Strategy Paper, the National Development Plan 2012–2016. This document identifies the forestry and tourism development sectors as key engines of growth, while stressing the importance of their sustainable management:

- In the forestry sector, the stated vision is to turn the Congo into “one of the global leaders in certified tropical wood, carried by an industry that fully enhances the resource and which is exploited from a forest under sustainable management, playing its role in full of Carbon Sinks and a biodiversity sanctuary.”
- In the tourism sector, the Plan puts an emphasis on nature-based tourism, for which wildlife and their habitat represent the *sine qua non*, making their effective management a key piece of the puzzle.

The project also supports the Congo’s emerging REDD+ strategy, a key element of which is the Northern Congo Emissions Reductions Program. Furthermore, the Congo’s emerging wildlife crime agenda – currently evidenced by its leadership role in organizing the International Conference on Illegal Exploitation and Illegal Trade in Wild Fauna and Flora in Africa (27-30 April 2015 in Brazzaville) - will also receive a significant boost through the project. In fact, the project represents a unique opening to more firmly implant the fight against wildlife crime among the Congolese government’s priorities.

In terms of global priorities, the project will also contribute to achieving the following Aichi Targets:

- Target 5: By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced.
- Target 7: by 2020, areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity.
- Target 11: By 2020, at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes.

- 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.
- Target 15: By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification.

Similarly, owing to its tie-ins with the Northern Congo Emissions Reductions Program and its goals of reducing deforestation and forest degradation, the project also aligns well with the United Nations Framework Convention on Climate Change.

## **5. Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Congo (Congo Republic) (UNDP as implementing agency)**

### **PART I: PROJECT INFORMATION**<sup>45</sup>

Project Title:	Integrated and Transboundary Conservation of Biodiversity in the Basins of the Republic of Congo
Country(ies):	The Republic of Congo
GEF Agency(ies):	UNDP
Other Executing Partner(s):	
GEF Focal Area(s):	Multifocal areas

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>46</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-1 Program 1	GEFTF	325,050	4,000,000
BD-2 Program 3	GEFTF	758,450	5,000,000
zaLD-3 Program 4	GEFTF	450,000	4,000,000
SFM-1	GEFTF	1,041,750	4,000,000
CC-2 Program 4	GEFTF	550,000	3,482,400
Total Project Cost		3,125,250	20,482,400

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

*To strengthen the conservation of globally threatened species in the basins of the Republic of Congo by improving biodiversity enforcement*

Project Objective:				
Project Components	Financing Type <sup>47</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
Component 1: Improving the effective management of globally significant protected areas in the Congo Basin	TA	1.1. Improved management effectiveness of PAs in the Congo Basin, specifically Odzala-Kokoua, Ntokou Pikounda, the Ngombe concession, Messok Dja and the Sembe panhandle, an area of over two million ha.  <i>Indicators: Improved management effectiveness as</i>	980,000	6,100,000

<sup>45</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how

it will contribute to the overall Program.

<sup>46</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>47</sup> Financing type can be either investment or technical assistance.

		<i>measured by the METT scorecard; Stable gorilla population in the landscape; Stable elephant population in the landscape; Reduction in the encounter rate and distribution area of hunting signs (from 2013 baseline in Messok Dja and 2014 baseline in Ntokou-Pikounda and the Ngombe Concession for the gorilla, elephant and hunter sign indicators) [Baseline and targets will be established during the PPG]</i>		
Component 2: Strengthening capacity for effective PA and Illegal Wildlife Trade governance in Congo	TA	Outcome 2.1. Biodiversity and Illegal Wildlife Trade (IWT) priorities are integrated into key national policies and plans and harmonized with regional initiatives.  <i>Indicators: Establishment of harmonized National PA Strategy and National IWT Strategy; Significant improvements in capacity of key role-players as indicated by customized Capacity Development Scorecard.</i>	938,988	7,200,000
Component 3: Reducing poaching and illegal trade in threatened species [site level].	TA/INV	3.1. Wildlife crime is combatted on the ground by strengthening enforcement operations in targeted PA complexes.  <i>Indicators: Biodiversity enforcement improved over 16.908 Km2 of important PA complexes; LD benefits covering &gt;65,000 ha [64.917 ha]; Reforestation leading to defined carbon benefits [to be determined at PPG]; Increased prosecutions and convictions relating to IWT [to be determined at PPG].</i>	1,050,000	6,158,280
Subtotal			2,968,988	19,458,280
Project Management Cost (PMC) <sup>48</sup>			156,262	1,024,120
<b>Total Project Cost</b>			<b>3,125,250</b>	<b>20,482,400</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

<sup>48</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Congo Government	In Kind	3,122,400
Donor Agency	Odzala Kokoua Fondation	Grant	3,500,000
CSO	Congo Conservation Society	Grant	11,360,000
Private Sector	Forestry Industrial Ouesso	In Kind	2,500,000
<b>Total Co-financing</b>			<b>20,482,400</b>

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEFTF	Congo Republic	Biodiversity		1,083,500	97,515	1,181,015
UNDP	GEFTF	Congo Republic	Land Degradation		450,000	40,500	490,500
UNDP	GEFTF	Congo Republic	Climate Change		550,000	49,500	599,500
UNDP	GEFTF	Congo Republic	Multi-focal Areas	SFM	1,041,750	93,758	1,135,508
<b>Total GEF Resources</b>					<b>3,125,250</b>	<b>281,273</b>	<b>3,406,523</b>

- a) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.  
b) Refer to the [Fee Policy for GEF Partner Agencies](#).  
c) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

**PART II: PROJECT JUSTIFICATION**

Project Overview

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

**1. Project Description**

**The Problem:** The Republic of Congo covers a surface of 342.000 km<sup>2</sup> and straddles the Equator; it extends between the 5° from Southern latitude and the 4° of Northern latitude and between longitudes 11° and 19° East. It is bordered in the north by Cameroon and the Central African Republic, in the east by the Congo river and its affluent Oubangui, which separates it from the Democratic Republic of Congo, in the south by the Democratic Republic of Congo, in the south-west by the Atlantic Ocean and in the west by Gabon. The Congolese Atlantic Ocean coast is 170 km long. Congo is home to one of the richest and most biologically important and intact-forest ecosystems on the planet. Around 65% of the country is covered by lowland tropical forests, which includes large tracts of intact forest. These areas are home to a diverse range of rare and endangered mammals, insects and plants – forest elephants, chimpanzees, western lowland gorillas, leopards and bongo antelope are just some of the species of large mammals. The country also boasts old growth forests containing enormous mahoganies and other tree species which are many hundreds of years old, particularly in the forestry concessions in the north of the country.

With the creation of the new Ntokou Pikounda protected area (PA), the total PA estate now covers 4.142.400 ha or 12% of total surface area. The PAs have as a principal objective the protection and the conservation of wild fauna, flora and ecosystems. Among these protected areas, four have approved management plans: the three National Parks of Odzala-Kokoua, Nouabalé-Ndoki and Conkouati-Douli, and the Lossi gorilla sanctuary. Congo harbours several ecozones and is covered mainly with forests (65% of the territory), which in total account for 13% of the whole of the African humid dense forests. They are primarily divided into three principal solid massifs: Mayombe, Chaillu and the Congo North massif.

The Congolese zone within the the Minkébé-Odzala-Dja Inter-zone in Gabon, Congo, and Cameroon, also known as the TRIDOM area and is a key IWT hub. The 147,000 km<sup>2</sup> trans-border zone covers 7.5% of the Congo Basin Tropical Rainforest, the world's second largest expanse of rainforest. Twelve PAs in the area are connected through a thinly populated "interzone" that is essential for maintaining ecological connectivity and long term maintenance of ecological processes. This Ecoregion and its biodiversity are threatened, especially for its bush meat and ivory. Its forests are target for poachers and its roads and towns a transit route for trafficked wildlife from Central African Republic (CAR), Congo and Gabon. Trafficking is often led by local elites who exploit poorer community members, co-opted into poaching for their tracking and hunting abilities and to transport illegal wildlife products. Local people accrue little of the benefits, see their natural resources depleted, face compromised security in their daily lives and feel disempowered in the face of criminal elites.

This situation is compounded by the fact that in recent times, managers have lacked the resources and technical support to efficiently manage the protected areas that are the core of the landscape. More broadly, law enforcement agents lack capacity to gather and use intelligence information, collect evidence, follow due process and build robust cases. Low pay and morale means they are vulnerable to corruption and intimidation. Prosecutors and judges often show a reluctance or to apply relevant laws, and are usually subject to tempting offers to waive cases or to release prisoners. Border agents lack the resource and skills to effectively secure the frontier against trafficking, or worse, are complicit in affording safe passage to traffickers in return for bribes. IWT undermines the rule of law, nurtures corruption, disrupts communities and hinders economic development. It also threatens the regions' wildlife. Forest elephant populations in Congo declined by 50% between 2002-2011 and a huge number of pangolins are trafficked to markets in East and South East Asia. As a consequence, IWT threatens the integrity of the forest system itself and the continued provision of essential ecosystem services on which many rely.

The principal factor influencing the state of terrestrial biodiversity in this area is by far the practice of commercial hunting (mostly for the burgeoning urban populations of Congo, Cameroon and DRC). Over 64% of Congo's population lives in cities or towns. Kinshasa, an enormous city of 14 million people lies within easy reach down river from the TRIDOM complex, and the cities of Southern Cameroon can be easily reached by road in less than 48 hours. The practice of commercial selective logging throughout the north of the country has

resulted in a visible modification of the forests, but because extraction is limited to a few trees per hectare, the main deleterious effect of commercial logging is a very high hunting rate of all mammal species, because remote inaccessible forest tracts have now become easily accessible following the creation of the network of forestry roads throughout all the timber concessions. Large mammal populations only survive in any numbers in concessions where there is a very strict practice of employing forest guards whose main task is anti-poaching. Where there is no anti-poaching, and where these roads remain open to vehicles or foot traffic after the completion of timber extraction, hunting continues until almost all the medium to large mammals have been killed, smoked, and transported into the very active chain of commercial meat trade either within Congo itself or to the other nearby large regional hubs, such as Yaounde and Douala in Cameroon (containing roughly 3 million people each), Mbandaka and Kinshasa (now thought to have perhaps as many as 0.5 and ~14 million people, respectively) in DRC. The towns within “easy striking distance” of the TRIDOM within Congo include Pokola (13,500 people in 2014) and Ouessou (over 30,000 people in 2012). Transport to Brazzaville, much further south (at least 1.5 million people) is now greatly facilitated by a new tar road linking Ouessou and Brazzaville: the journey can be done in a single day. Thus, forest “goods”, such as ivory and meat, are rapidly trafficked in various directions from the TRIDOM using the constantly improved transport network in the region.

The second factor influencing the state of terrestrial biodiversity is the destruction of natural habitats and the overexploitation of the terrestrial flora. Slash-and-burn agriculture has a very limited impact, as (i) local people carry out a forest fallow system; and (ii) rural human population density is low throughout most of the country, especially in the Tridom area. However industrial plantations of palm oil – a recent phenomenon in Congo – will render large areas of land uninhabitable for almost all the medium-sized to large mammals of the region, either because they will be unable to survive in an oil palm monoculture or because they will destroy the crop and will in turn be eliminated by the plantation owners. If no natural forest exists between existing PAs, they will lose the biological links between them, eventually becoming biological islands, leading to local extinctions, reduction in biodiversity, disruption of biological processes, genetic isolation and the loss and impairment of global environmental benefits.

Provision of fuelwood for households constitutes one of the causes of deforestation in and around the urban agglomerations but is not much of an issue in the Congo part of the landscape – yet. Almost the entirety of Congolese households still uses fuelwood as principal fuel for cooking and heating, and the vast majority of the rural population depend on wild protein (either fish or mammals) rather than domestically produced meat. While Congo has a great diversity of agricultural and forest farming systems with food, market-gardening, industrial and fruit-bearing crops, “wild” foods consist for a large part of Non-Timber Forest Products (NTFP). These are subject to intense exploitation, which unmanaged, will lead to unsustainable use of forest habitats. It is clear that Congo still harbors an abundant biological diversity, but that, in spite of this great biological richness, the average Congolese lives in severe poverty. The link between this wealth of biodiversity and the poverty of the people has been identified in major policies, strategies, plans and national programmes, demonstrating that concerns related to the safeguarding of the environment are now pivotal in the Congolese national development plans.

**Baseline:** The Congolese government has made significant contributions towards protecting the forests through the creation of national parks and other PAs, and has demonstrated its commitment to the long-term sustainable management of forest resources and sustainable development. Much of the forest protection activity is a direct result of the Summit of Central African Heads of State held in Yaoundé in March 1999, in which high-level commitment was made to the concepts of forest conservation, sustainable management and trans-boundary collaboration. In order to ensure effective implementation of the Yaoundé Declaration, the signatory States established an institutional mechanism, the Central African Commission for Forests (COMIFAC), and defined implementation strategies in the “Plan de Convergence”. The latter prioritises protection of twelve priority transborder conservation areas and Congo is a signatory.

Several initiatives have already been implemented in Congo and the region. These initiatives constitute a baseline and are detailed below.

- The UNDP-GEF project ‘Conservation of trans-boundary biodiversity in the Minkebe-Odzala-Dja interzone in Gabon, Congo and Cameroon’ (1583); known as the regional TRIDOM project. This started in 2008 for a period of 7 years. It is a conservation project which aims to preserve ecological functions of this area and ensure in the long-term that the transboundary system of protected areas remains preserved. It has worked towards the following expected outcomes: Land-use and the governance structures of a trans-border complex for biodiversity conservation and sustainable natural resource use are designed, endorsed and operational; capacity to monitor trends in biodiversity, resource exploitation and ecological functions and to minimize pressures on natural resources is strengthened in TRIDOM; benefits from community-based natural resource management contribute to poverty alleviation; and sustainable funding is mobilized for the conservation and sustainable management of the TRIDOM.
- Regional project providing specific country support to Congo to support implementation of the Nagoya Protocol on Access to and Benefit Sharing (ABS) of Biodiversity.
- The UNDP-GEF project on ‘Sustainable Financing of Protected Area Systems in the Congo Basin’ (2906).
- Sectoral Forest and Environment Program (FESP): Under the auspices of the World Bank, Cameroon, Gabon and Congo are developing and implementing Sectoral Forest and Environment Programs (Programme Sectoriel Forêt et Environnement, FESP). The objective of the Forest and Economic Diversification Project in Congo is to increase the capacity of the Republic of Congo to: (i) promote better implementation of its forestry legislation; and (ii) enhance the policy environment for participation of local communities and the private sector in sustainable forest management and reforestation.
- Forest Law Enforcement, Governance and Trade (FLEGT): The Congolese government and the European Union signed on May 17, 2010 a Voluntary Agreement of Partnership (APV) on the Forest Law Enforcement, Governance and Trade (FLEGT). The purpose of this trade agreement, come into effect on March 1, 2013, is to improve the forest governance in Congo and to make sure that wood and wood products of Congo fulfill the legal requirements of the country.

**Barriers:** Key barriers revolve around the challenges faced by the government and key agencies to control wildlife crime and destruction of habitats, which are threatening large mammal endangered species, notably the largest species with slow reproductive rates (forest elephant, western lowland gorilla, and central chimpanzee), the very large herbivores (bongo and forest buffalo), and, more recently, Giant (and other species of) pangolins which are hunted for their commercial value in the markets of the Far East. Barriers can be summarised as:

- Lack of capacity and corruption within the law enforcement and legal system, and insufficient information and tools to understand, regulate and combat illegal wildlife trade;
- Lack of robust enabling framework (policies, etc.) for protected areas management and IWT;
- Ineffective management and enforcement at the site and landscape level; and
- Limited transboundary coordination in planning and control of resource use are factors contributing to unsustainable exploitation of natural resources in the interzone.

### **The Alternative Scenario**

**The Long-term Solution** is to strengthen the conservation of globally threatened species in the Basins of the Republic of Congo by improving biodiversity enforcement, resilience and management. This will be achieved through three interconnected components with the set outcomes, as summarised in the project framework table in Section B. This project will implement activities at three geographic levels; the national (central government) level in the Republic Congo; at a number of key sites within Congo that harbour globally significant biodiversity threatened by increasing rates of wildlife crime and poor management; and a small and select number of

activities designed to facilitate inter-country coordination between Gabon, Congo and Cameroon (in the TRIDOM area). The project will evaluate its impact against the rate of loss of biodiversity within Congo, achieved through improved biodiversity management in targeted PA complexes and a reduction in wildlife crime.

**Component 1: Management planning for PAs.** Under this Component, the project will support anti-poaching and intelligence work that will assess threats and risks at the system level and build them into the management plans for the area. Based on the recently completed biodiversity assessments of the Messok Dja, Ntokou-Pikounda, Odzala and Ngombe landscape components (2013, 2014, 2012 and 2014 respectively), the PA management plans will be created for the existing Ntokou-Pikounda NP and for the soon-to-be-gazetted Messok Dja PA. These management plans include plans for the maintenance and official recognition of biological corridors for connectivity threatened species and buffer zones that will promote the restoration of degraded lands and forests in partnership with local communities and private sector players. These are critical to the unique possibility to maintain a viable link between Nki National Park in Cameroon and Odzala Koukoua National Park in Congo. It is also critical to give chance to wildlife habitat to be maintained during and after the construction of the Cholet Dam. In parallel, the capacity of PA staff will be developed to improve management systems, ensure the application of PA and IWT legislation and enforcement measures, and improve planning, budgeting and equipment, etc. Staff will also be trained in controlling poaching and trafficking, preventing the unsustainable exploitation of bushmeat, securing wildlife populations and assuring PA integrity.

**Component 2: Strengthening capacity for effective PA and IWT governance in Congo.** Under this Component, the preparation and enforcement of legislation recognizing the new transboundary UNESCO MAB in Odzala and outlining management arrangements will be completed. This will tie into the formulation and implementation of updated National Protected Areas Strategy and a new National Strategy for Combating Illegal Wildlife Trade to support national implementation of CITES. A National Wildlife Crime Task Force will be established (involving Congo's Gendarmerie, the judiciary, customs, intelligence and relevant ministries) with the mandate for enhancing government systems and institutional capacity for combating IWT in accordance with the new IWT Strategy, and a nationwide system for monitoring wildlife trade and wildlife crime cases will be established for the first time and operationalized.

**Component 3: Reducing poaching and illegal trafficking of large mammal threatened species [site level].** Under this Component, enforcement, judicial and forensic capacity will be strengthened to support criminal investigations and prosecution of wildlife crime cases. A Ranger Training Centre will be established in Odzala and >2 other National Parks to develop national capacity for preventing poaching and other wildlife crimes [these will be defined during the PPG stage]. This will be complemented by the introduction of Wildlife Crime Units operating in and around >3 PAs and the national border (incorporating joint committee litigation monitoring on wildlife), >6 teams of border patrols and twelve village game scout units (monitoring the conversion of recidivism and the poaching of large mammals). In addition, private sector enterprises will be engaged and integrated into a coordinated IWT approach across the landscape leading to the reduced illegal exploitation of threatened species. Through national small grants mechanisms, potentially including GEF SGP, grants are channelled to forest-dependent communities to pilot sustainable livelihoods based on SLM and CBNRM to i) reduce deforestation, IWT and unsustainable bushmeat exploitation; and ii) support land use planning over oil palm concessions; and iii) support efforts to improve forest landscape management and protect carbon sinks.

### **Incremental Reasoning**

**The incremental approach can be summarised as follows:** The government of Congo has clearly identified strengthening and consolidating the national PA system as a priority action for conserving biodiversity and preventing domestic and transnational illegal wildlife trade. However, despite strong commitment from the

government, actions are seldom taken to concretely remove the barriers to effective PA management and enforcement against trafficking and poaching of highly threatened species. In particular, legal inconsistencies and corruption at the national (and regional) level are compounded by the lack of management and enforcement capacity at the site level. Together these limit the potential for effective action. In terms of IWT, the capacity and understanding amongst law enforcement agencies is low, regional collaboration is weak, and existing mechanisms to regulate legal wildlife trade are not being appropriately applied. The proposed intervention is particularly timely given the sharp increase in illegal wildlife trade volume globally and the emergence of Congo as a key source country in regional wildlife trade networks as well as significant transit country for transnational wildlife trafficking.

**In the baseline situation**, a weak enabling environment, a lack of coordination between agencies, a lack of capacity and resources, and an inability to upscale successful models will mean that endemic unsustainable resource exploitation in Congo's globally significant protected areas will continue. Illegal wildlife trade will continue to operate as organized crime. Wildlife trade, both illegal and legal will continue to substantially increase, which has already resulted in widespread local declines of key wildlife species throughout most of the south of the country outside of the Conkouati-Douli National Park and, in the forested north of the country, in logging concessions which have not been subject to strict antipoaching activity over the last ten years or so. In particular, elephants (at highest risk because of the very high profit margin offered by ivory trafficking) are already absent from large areas of the country and will eventually be hunted down to extremely low densities. At that point, their ability to act as important functional elements of the forest ecosystem (dispersal and nutrient transport) will be destroyed; and beyond that point their ability to reproduce successfully will become exceedingly difficult. It is likely that degradation and fragmentation of the Congo's forests will continue. Wildlife trade, both illegal and legal will substantially increase or, at best, will continue unabated, resulting first in local declines followed by outright extinctions of key Congolese wildlife including elephants, gorillas and rhinos.

**In the alternative scenario enabled by the GEF**, systemic and institutional barriers to effective action to strengthen the management effectiveness of the Congolese PA system, while combating illegal wildlife trade, will be removed at national, local and landscape levels through improved regulatory and institutional frameworks, anticorruption, and enhanced and coordinated government action. Core PAs and adjacent landscapes (the Odzala-Odzla Koukoua National Park (13,546 km<sup>2</sup>), Lossi-Pikounda-Ngombe-Ntokou landscape and the Souanke-Sembe Landscape Gorilla Sanctuary (350 km<sup>2</sup>), Messok-Dja National Park (1,450 km<sup>2</sup>) will be strengthened to support the conservation of globally threatened species in Congo. Coordinated National PA and IWT Strategies will underpin integrated action at local, national and regional levels, involving private sector and communities as part of a multi-modal effort to strengthen the protected areas estate, fight wildlife crime, demonstrate the multiple benefits of sustainable land and forest management, and involve local people in co-managing wildlife and their habitat – the very ecosystems on which they depend. Capacity amongst national and regional enforcement agencies will be increased; there will be greater awareness of the importance of reducing the use of wildlife products, and enhanced high-level political will to act. A nation-wide system for monitoring wildlife trade and wildlife crime cases will be established for the first time and operationalised. The Congolese state and people will benefit economically while the globally significant wildlife of Congo, such as forest elephants and gorillas, will be lifted from the threat of extinction caused by unsustainable exploitation.

**Global Environmental Benefits:** The Republic of Congo is one of the most biodiverse regions in the world, and supports many mammal and bird species including endemic and endangered species threatened by commercial wildlife trade, such as forest elephants, western lowland gorillas, and giant pangolin, among others. Congo is home to one of the richest and most biologically important forest ecosystems on the planet. Around 65% of the country is covered by lowland tropical forests, much of which is made up of large tracts of undisturbed virgin wilderness. GEF funding will secure populations of globally significant species through dramatically improving the systemic and institutional capacity of the nation to conserve biodiversity through

the establishment of more effective management of protected areas; preventing land degradation through reduced illegal logging and land conversion in areas adjacent to PAs; helping to mitigate climate change through enhanced protection of the region's vast carbon sinks; and controlling commercial wildlife trade and associated overexploitation of species and their habitats. In addition, the GEF finance will significantly reduce the role of Congo as a supplier for transnational wildlife trafficking networks, especially for African elephant ivory. These benefits will emerge from capacity building as well as from coordinated approach to integrated landscape management, involving all stakeholders in the area. The project will generate these benefits by helping to build fundamental management capacities needed to generate revenues, working according to management and business plans and ensure an enabling institutional and policy environment that is conducive to adequate and dependable financial flows to PA system managers.

**Innovativeness, Sustainability and Potential for Scale-up:** The development of cost-effective and sustainable solutions to reduce the detrimental impacts of poor PA management, degradation of adjacent areas and associated wildlife trade is central to all aspects of this project. The project will work to support and strengthen Congolese institutions and authorities to more effectively management the national PA estate and reduce poaching and illegal wildlife trafficking. The underlying premise for the project is that interest already exists within the Government of Congo, especially within the Ministry for Sustainable Development, Forest Economy and Environment (MDDEFE) to improve management of the PA system located in the TRIDOM zone (with the intention to consolidate important work initiated through the regional TRIDOM project 2008-2015), and to control poaching and wildlife trade. What is needed is a combination of facilitation and demonstration to show that resources can be applied for the benefit of globally important biodiversity and Congo's sustainable economic development. Following the completion of the project, national institutions and authorities will be empowered and better equipped to exercise their mandates, without requiring further external resources. The project will build on existing initiatives and policies to develop better collaboration and information exchange, rather than creating new costly systems. The project will promote legitimate industry over unscrupulous IWT by developing regulatory environment into one, which provides a clear competitive advantage to legal, sustainable and responsible trade. Particularly innovative aspects of this project include: i) improved land-use and the establishment of governance structures for a trans-border complex to secure biodiversity conservation and promote sustainable natural resource use; ii) capacity to monitor trends in biodiversity, resource exploitation and ecological functions and to minimize pressures on natural resources; and iii) benefits from community-based natural resource management, which contribute to poverty alleviation.

**A.2. Stakeholders.** Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes X /no ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation: A detailed list of all stakeholders will be prepared at PPG.

**A.3 Risk.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

<b>RISK</b>	<b>RISK RATING</b>	<b>RISK MITIGATION MEASURE</b>
Deteriorating political and economic conditions	Medium	Continue project activities as the project seeks to serve as a model for long-term financing of protected areas in countries where political uncertainty and economic constraints currently preclude the government from

		allocating adequate resources to conservation activities.
Increased loss and degradation of forest due to climate effects	Medium	This risk is clearly more important over the medium to long term. Complementary efforts to maintain resilience and connectivity amongst forest ecosystems at landscape level will be essential to maintaining PA biodiversity over the longer term.
Allocation of budgetary resources to national and regional trust funds remains low	Medium	The project will build on the environmental economic valuation work of the UNDP ‘Sustainable Financing’ project, to strengthen the business case in favor of Government financing of PAs. It will encourage the integration of PA financing allocations into national planning. At the same time, the emergence of new markets for conservation, also supported by the project, will help to change the cost-benefit calculus surrounding budgetary allocations for PA, corridor and open spots management.
The international community and private investors reluctant to provide resources for biodiversity conservation	Medium	Propose an institutional mechanism that strengthen environmental governance, transparency and maximize credibility. Build partnerships with different groups such as the private sector.
Increases in threats facing PAs due to sectoral activities and/or demographic trends counterbalance improvements in management	Medium	This risk may require action by Government that goes beyond increased PA management to address risks at source. The fact that this project is being developed as part of a multi-donor partnership and within regional frame-works geared to improved forest governance serves to mitigate this risk.
Limited local expertise to carry our implementation and/or follow up	Medium	For project implementation purposes, a combination of national and international expertise is envisaged to provide the technical competencies and skills necessary. However, this external expertise is not deemed sustainable and support will include transfer of knowledge, mentoring and training of PA system staff and those agencies managing the interzone.

**A.4. Coordination.** Outline the coordination with other relevant GEF-financed and other initiatives:

This project is being submitted to the GEF as part of (i) the Biodiversity Focal Area – Programme 1: Improving Financial and Effective Management of the National Ecological Infrastructure; ii) the Programmatic Approach to Prevent the Extinction of Known Threatened Species. A key focus is on reducing poaching and illegal trafficking of threatened species, the subject matter of the GEF’s Program 3, under the Biodiversity Focal Area Strategy. Various other GEF projects form part of the above-mentioned Programmatic Approach and are being submitted for Council approval by different GEF Agencies, with the World Bank playing a coordinating role. UNDP projects under the Programmatic Approach follow a ‘national strategy methodology’, i.e. they engage key national stakeholders in addressing the issue of preventing the extinction of known threatened species and fighting wildlife crime as an issue of governance and development, as much as it is an issue of NRM; and (iii) the Land Degradation Focal Area – Objective 2: Forest Landscapes: Program 3: Landscape Management and Restoration. In addition, it will contribute to the SFM Strategy through SFM: Reduce the Pressures on High Conservation Value Forests by Addressing the Drivers of Deforestation; and CCM-2: Demonstrate Systemic Impacts of Mitigation Options; Program 4: Promote conservation and enhancement of carbon stocks in forest, and other land-use, and supporting climate smart agriculture.

Description of the consistency of the project with:

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSEMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /NO  ). IF YES, WHICH ONES AND HOW: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCS, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, ETC.:**

The Government of Congo's Ministry for Sustainable Development, Forest Economy and Environment (MDDEFE) is currently working in partnership with AFD on strengthening the National Forest Inventory and Forest Management Planning, and with the EU on Forest Law Enforcement, Governance and Trade (FLEGT), timber traceability, and timber tracking. In parallel, the EU is also supporting an Independent Observer of Forestry, implemented by the NGOs Resource Extraction Monitoring and Forests Monitor, in Congo. The Republic of Congo has also adopted, in early 2010, a new law on the Rights of Indigenous Peoples. Strengthening Congo's Forestry policy and institutions will require close collaboration with other donors working in the forest and related sectors in the country, such as the UN's Food and Agriculture Organization (FAO), the French Development Agency (AFD) and the European Union (EU).

In addition, Congo is involved in numerous regional programs related to the implementation of the CBD (e.g. *Commission des Forêts d'Afrique Centrale* (COMIFAC), *Conférence sur les Ecosystèmes des Forêts Denses et Humides d'Afrique Centrale* (CEFDHAC), *Réseau des Aires Protégées d'Afrique Centrale* (RAPAC), *Partenariat pour les Forêts du Bassin du Congo* (PFBC), and the United Nations initiative committed to ensuring the long-term survival of Chimpanzees, Gorillas, Bonobo in their habitats in Africa known as Great Apes Survival Partnership (GRASP). Importantly, the project is in line with the COMIFAC '*Plan de Convergence*', which seeks to guide the actions of member countries regarding the sustainable management of their forests. The project is also in line with the following national strategies and plans: DSCERP, PNAE, PAFN, NBSAP, PAN-LCD, National Biodiversity strategic Action Plan (NBSAP); and Forest and Wildlife Sub-Sector Strategy.

## **6. Enhanced Management and Enforcement of Ethiopia's Protected Areas Estate (Ethiopia)**

### **PART I: PROJECT INFORMATION**<sup>49</sup>

Project Title:	Enhanced Management and Enforcement of Ethiopia's Protected Areas Estate
Country(ies):	Ethiopia
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Environment and Forests, Ethiopian Wildlife Conservation Society, Ethiopian Biodiversity Institute
GEF Focal Area(s):	Biodiversity

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>50</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD 1 – Program 2	GEF TF	2,614,355	33,317,558
BD 2 – Program 3	GEF TF	3,364,355	42,875,620
BD 3 – Program 7	GEF TF	1,315,785	16,768,482
Total Project Cost		7,294,495	92,961,660

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

**Project Objective:** To build Ethiopia's capacity for biodiversity conservation through increased effectiveness of protected area management and anti-trafficking measures

Project Components	Financing Type <sup>51</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Protected area management and biodiversity conservation	Inv	<p>1. Improved PA management effectiveness (measured by METT) delivers enhanced protection to 200,000 ha in at least two selected PAs. [Preliminary assessments suggest that Gambela National Park, Omo National Park and Babilie Elephant Sanctuary are likely candidate PAs; final selection will occur during PPG]</p> <p>2. Improved institutional and technical capacities to plan and implement biodiversity</p>	2,597,138	32,470,027

<sup>49</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>50</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>51</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>51</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		conservation as measured by 20% increase in capacity scorecard. [Baseline to be established during PPG]		
2. Landscape approach to forest and agro-biodiversity conservation.	Inv	3. Improved conservation of forestry and agro-biodiversity resources through a landscape approach based on community-based natural resource management of 50,000 ha of natural forests, plantations and agro-forestry areas as well as 5,000 ha of agro-biodiversity resources, as evidenced by increased vegetation cover in these production landscapes. [Preliminary assessments suggest that the Gambela and/or the Southern Nations, Nationalities, and Peoples' Regions are likely candidate areas; final selection will occur during PPG]	3,600,000	45,009,282
3. Implementation of anti-trafficking measures	TA	4. Strengthened national and local capacity for conservation of endangered fauna and flora through implementation of anti-trafficking and anti-poaching measures, as measured by: - 20% increase in capacity scorecard; and - increased rates of detection and conviction of poaching, illegal harvesting and collecting, and trafficking incidents. [Baseline to be established during PPG]	750,000	11,138,594
Subtotal			6,947,138	88,618,803
Project Management Cost (PMC) <sup>52</sup> (select)			347,357	4,342,857
<b>Total Project Cost</b>			<b>7,294,495</b>	<b>92,961,660</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	UNDP	Grants	200,000

<sup>52</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

CSO	Born Free Foundation	In-kind	1,242,660
Donor Agency	UKAID	Grants	519,000
Donor Agency	EU	Grants	6,000,000
GEF Agency	IFAD	Grants	85,000,000
<b>Total Co-financing</b>			92,961,660

#### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b</sup>	Total (c)=a+b
UNDP	GEFTF	Ethiopia	Biodiversity	(select as applicable)	7,294,495	656,505	7,951,000
<b>Total GEF Resources</b>					7,294,495	656,505	7,951,000

- a) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.  
b) Refer to the [Fee Policy for GEF Partner Agencies](#).  
c) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

## PART II: PROJECT JUSTIFICATION

### Project Overview

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE<sup>53</sup>: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

### 1. Project Description

**The problem:** Ethiopia is a remarkably diverse country in terms of its topography, fauna and flora. From its lowest point in the Afar (115 m below sea level) to Ras Dashen mountain (4,550 m above sea level), Ethiopia spans over 4,600 vertical metres. Two of Africa's eight global biodiversity hotspots are found in Ethiopia<sup>54</sup>, namely the Eastern Afromontane and the Horn of Africa hotspots (the latter of which is one of only two arid hotspots in the world). In addition, the United Nations Educational, Scientific and Cultural Organisation recognises three biosphere reserves in Ethiopia; these are Kaffa-Bonga, Yaya and Sheka Forest<sup>55</sup>. Until recently, ecosystem classification in Ethiopia was incomplete, but the National Biodiversity Strategy and Action Plan (NBSAP) now recognises 8 ecosystem types: i) Afroalpine and Sub-Afroalpine; ii) Dry Evergreen Montane Forest and Grassland Complex; iii) Moist Evergreen Montane Forest; iv) Acacia-Commiphora Woodland; v)

<sup>53</sup> For IAPs, please respond to these questions instead: **1) PROPOSED GEOGRAPHY / LANDSCAPE / AGROECOSYSTEM FOR IAP, INCLUDE RATIONALE AND JUSTIFICATION FOR TARGETING; 2) CONTEXT AND BASELINE SCENARIO; 3) PRIORITIES FOR IAP SUPPORT, WITH BRIEF DESCRIPTIONS OF EXPECTED OUTCOMES, BASED ON PROGRAM COMPONENTS AND RESULTS FRAMEWORK; 4) GLOBAL ENVIRONMENTAL BENEFITS**

<sup>54</sup> Mittermeier, R.A., Myers, N. & Mittermeier, C.G. 2000. *Hotspots: Earth's Biologically Richest and Most Endangered Terrestrial Ecoregions*. Conservation International.

<sup>55</sup> <http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/biosphere-reserves/africa/ethiopia/>

Combretum-Terminalia Woodland; vi) Lowland Semi-evergreen Forest; vii) Desert and Semi- Desert Scrubland; and viii) Inland Waters. In total, ~6,000 plant species (~600 endemics), 924 bird species (~23 endemics), 279 species mammal species (~30 endemics), ~200 reptile species (~15 endemics) and 180 fish species (~35 endemics) occur in Ethiopia.

Ethiopia is recognised as a centre of agro-biodiversity, designated as one of eight Vavilov Centres around the world (original centres for the domestication of crops). The Ethiopian population has been actively engaged over millennia in crop domestication and hybridisation efforts to suit local tastes and deal with the vagaries of climate and geo-physical conditions. The country harbours important gene pools of crop wild relatives for at least 197 species of crops, including grains, pulses, oil seeds, vegetables, tubers, fruits, spices, stimulants, fibres, dyes and medicinal plants.

Ethiopian forests and woodlands are reservoirs and gene pools for important wild plants and wild relatives of domesticated crops. Species richness varies across forests, depending on environmental factors characterizing the forests. The country is also known to be a centre of diversity for a number of important forage species in the genera *Trifolium*, *Vigna*, and *Dolichos*, among others. Out of the 26 indigenous species of *Trifolium*, eight are endemic to Ethiopia. Similarly, of the total medicinal plant species, 2.7% are endemic to Ethiopia, and most are found in the wild.

This biodiversity is at present under threat from various sources. According to the IUCN<sup>56</sup>, five mammal species are critically endangered (including the African wild ass), eight are endangered (including the Ethiopian wolf) and 27 others are vulnerable. Regarding avifauna, five species are critically endangered (including the Sidamo lark), 12 are endangered and 14 are classified as vulnerable. Various migratory birds considered endangered at the international level also visit ~50 sites in Ethiopia during the course of their migratory journeys.

The problem that this proposed project seeks address is that Ethiopia's biodiversity – including forest and agro-biodiversity resources – is at risk to encroachment and degradation both inside and outside protected areas through deforestation as well as illegal trafficking in fauna and flora.

**Root causes:** Major threats to Ethiopia's biodiversity relate to increasing pressure through overharvesting of natural resources, clearing of forests for agricultural activities, subsistence hunting, limited awareness of the importance of conservation<sup>57</sup> and illegal trafficking in protected fauna and flora. Protected areas (PAs) have been established and theoretically cover 14% of Ethiopia's total area, but some of these areas have yet to be formally gazetted leading to land-use conflict and *de facto* protection of as little as 8% of Ethiopia's total area<sup>58</sup>. Furthermore, – despite recent progress relating to land-use policies – implementation and enforcement remain inadequate<sup>59</sup>. Although poaching in Ethiopia is somewhat problematic<sup>60</sup>, of greater concern is illegal wildlife trade. Ethiopia is a transit point for various wildlife products *inter alia* ivory, rhino horn and live cheetah. Bole International Airport receives flights to and from at least 22 African cities and a further 16 cities in Asia. It is therefore a regionally important transport hub for both cargo and passengers, with concomitant potential for illegal trade in fauna and flora.

### Barriers:

<sup>56</sup> IUCN 2014. *The IUCN Red List of Threatened Species*. Version 2014.3. <<http://www.iucnredlist.org>>.

<sup>57</sup> E.g. for maintaining ecosystem services.

<sup>58</sup> Vreugdenhil, D., Vreugdenhil, A. D., Tilahun, T., Shimelis, A. & Tefera, Z. 2012. *Gap analysis of the protected areas system of Ethiopia*. World Institute of for Conservation and Environment, USA.

<sup>59</sup> Moges, Y., Eshetu, Z. & Nune, S. 2010. *Ethiopian forest resources: current status and future management options in view of access to carbon finances*. Ethiopian Climate Research and Networking & United Nations Development Programme, Addis Ababa.

<sup>60</sup> Vigne, L. & Martin, E. 2008. An increase in demand for ivory items in Ethiopia threatens elephants. *Oryx* 42: 483-484.

- *Absence of sound and comprehensive land-use policies:* Ethiopia's forest resource conservation, development and utilisation today is not the product of a long-evolving process in which different land-use planning measures have been devised and used to meet changing needs and various ecological conditions of the country. On the contrary, the absence of sound and comprehensive land-use policies encompassing the identification, selection and appropriation of suitable areas for forestry development based on production and environmental protection is an outstanding forestry problem.
- *Few market incentives:* Despite the immense current and future potential in Ethiopia's agro-biodiversity to meet international community's agricultural needs, there have been little or no financial returns from global benefits to Ethiopians at national or community levels. This is mainly owing to the inability of the market to put a price tag on agro-biodiversity conservation values compounded by the failure of the financial sector to recognize crop systems diversification as an asset. These are driven by the fact that there is little knowledge on how to use markets to promote agro-biodiversity conservation. While it is widely recognised that traditional crop varieties, crop wild relatives and landraces need to be part of, instead of being replaced, in the commercialisation of agriculture and the economic development of the country, it is not clear how markets can bring that about without compromising conservation principles
- *Little prioritisation of PAs and conservation:* There is at present little emphasis placed on biodiversity conservation vis-à-vis the plethora of socio-economic development challenges faced by Ethiopia. The country has made marked progress towards achievement of the Millennium Development Goals, an achievement that is in part a result of considerable growth in the agricultural sector. However, this growth has been to the detriment of biodiversity conservation as agricultural activities put increasing pressure on populations of indigenous fauna and flora. This is exacerbated by the limited donor support and government budget allocations for activities relating to conservation and PA management.
- *Inadequate legal and management frameworks:* Many of Ethiopia's PAs are have yet to be legally gazetted. Consequently, there is no legal framework within which conservation of important fauna and flora within these PAs can be enforced. This results in conflicts with local communities within and adjacent to PAs, as there is no legally binding regulations preventing them from accessing and exploiting natural resources in the PAs. There is also no legal/policy framework – e.g. benefit-sharing mechanisms – by which local communities can be included in management of PAs. While management plans for some PAs have been formulated, conservation efforts have been limited in scope and effectiveness. National planning occurs through formulation of five-year plans for wildlife conservation that have *inter alia* identified resource requirements. However, these plans have not been complemented by associated commitment of government funds for their implementation.
- *Insufficient capacity for enforcement:* The Ethiopian Wildlife Conservation Authority (EWCA) has the formal mandate for management of PAs. However, staff of EWCA in most PAs lack sufficient capacity for proper management. Capacity gaps include: i) insufficient staff members to patrol large areas of land; ii) insufficient equipment such as vehicles and telecommunication devices; and iii) inadequate knowledge and training. Conservation personnel are therefore unable to develop and implement management plans to effectively protect the biodiversity within Ethiopia's PA network. In particular, game wardens and forest guards are not trained or equipped to resolve conflicts with local communities regarding land-use within PAs. Concerning illegal trade in fauna and flora, there is still insufficient information available to – and inadequate collaboration between – relevant partner agencies<sup>61</sup>. According to the World Wildlife Fund for Nature (WWF)<sup>62</sup>, Ethiopia scores 40% on the "Elephant Trade Information System" for law enforcement. As a result, stemming the trafficking in fauna and flora remains problematic.
- *Insufficient integration of conservation and communities' needs:* Many of Ethiopia's PAs date back to the 1960's and were established primarily for the protection of large mammal species. PAs were thus designated where significant refugia harbouring notable species existed. These took little cognisance of the presence

<sup>61</sup> I.e. police, customs officials.

<sup>62</sup> Nowell, K. 2012. *Wildlife crime scorecard: assessing compliance with and enforcement of CITES commitments for tigers, rhinos and elephants*. World Wildlife Fund for Nature, Washington D.C.

of communities already living in the landscapes. As a consequence, a disconnect arose between the needs of local communities and the priorities of conservation authorities. This has caused conflict between staff attempting to enforce conservation within PAs and communities seeking to utilise the same areas for activities such as cultivation of crops, grazing of livestock and settlement.

- *Limited public awareness concerning PAs and associated benefits:* To date, there has been little awareness – at both the federal and local levels – on the benefits of conserving important fauna and flora. This has contributed toward the low priority of conservation. The current focus is primarily on monetary benefits from a limited range of consumptive<sup>63</sup> and non-consumptive<sup>64</sup> activities occurring both within and outside PAs and other reserves. While opportunities for other practices exist<sup>65</sup>, there is little engagement with the relevant stakeholders – including local communities, private sector actors and civil society organisations – to form collaborative partnerships that would allow the exploitation of such opportunities. Such exploitation would deliver a range of benefits that could include increased biodiversity conservation, diversified livelihood opportunities for local communities and reduced conflict between conservation initiatives. However, such an initiative would require increased public awareness of the benefits of biodiversity conservation amongst all relevant stakeholders including federal and local governments, community members, the private sector and civil society organisations.

## 2. Baseline

Biodiversity conservation in Ethiopia is currently facing considerable difficulties. Neither federal nor regional authorities responsible for managing forested lands, agro-biodiversity and PAs have the resources (both financial and human) to sustain the operations necessary to adequately protect Ethiopia's biodiversity. Natural resources both within and outside of PAs are under pressure from land use such as deforestation as well as expansion of grazing areas, agricultural lands and human settlements associated with increasing populations. Current trends in management of natural resources are inadequate to maintain viable populations of endemic fauna and flora. For example, existing PAs are not being intensively monitored and patrolled while many also lack management plans. Therefore, globally important forest, agro-biodiversity and wildlife species are facing the threat of extinction.

The limited understanding of the importance of biodiversity amongst many sectors results in conservation being a low priority. In addition, there is little use of science-based information in decision-making on national and/or regional conservation targets. As a result, there is insufficient institutional capacity for the strategic decision-making to support sustainable and effective conservation of Ethiopia's natural resources.

Local communities living in and adjacent to PAs often conflict with management authorities concerning the right to use natural resources – especially grazing land – in PAs. These communities often do not recognise PAs as being restricted areas. This is a result of *inter alia*: i) PAs not being gazetted and thus not having legally binding boundaries; ii) the relative novelty of the concept of PAs, especially to nomadic pastoralists from neighbouring countries; and iii) limited local awareness of the existence of new PAs. In addition, communities are likely to ignore boundaries of PAs where their livelihoods are dependent on natural resources that are of limited supply outside of these PAs. Without access to alternative livelihoods and a management paradigm that takes into account local communities' priorities, such encroachment on PAs is likely to continue unabated with concomitant continued losses in biodiversity.

Maintaining the integrity of PA borders against such incursions remains problematic. While game wardens have the official mandate to enforce PAs, assistance from the police often necessary when conflicts with local

<sup>63</sup> E.g. timber extraction, hunting.

<sup>64</sup> E.g. entrance to PAs, fees for camping.

<sup>65</sup> For example, an expanded suite of ecotourism activities.

communities arise. This is particularly the case for instances of poaching and where pastoralists are armed. The need for police intervention is in many cases necessitated by the limitations of management authorities in enforcing PAs. These limitations result from: i) inadequate manpower to patrol large areas; ii) poor training of wardens on how to manage conflicts with communities; and iii) lack of equipment such as vehicles and radios to support patrolling. Without support to management authorities, it is likely that grazing, poaching and other resource use in PAs will continue to erode Ethiopia's biodiversity.

In addition to poaching of wildlife in Ethiopia, the illegal trade in fauna and flora passing through the country is of great concern. Such trafficking passes through Ethiopia's borders with other countries as well as Bole International Airport that is a transit point for goods from various African countries that are destined for Asian markets. Stemming this flow of illegal trade is difficult owing to: i) inadequate training of officials; ii) lack of relevant equipment or other means of detecting trafficked goods; and iii) weak collaboration between the various agents involved (e.g. police, customs officials, PA staff).

The ongoing *Sustainable Development of the Protected Area System of Ethiopia (SDPASE)* project is currently nearing completion. It has laid a foundation for improved management of Ethiopia's PAs through *inter alia*: i) mainstreaming of PAs into development frameworks; ii) strengthening the policy framework for conservation; and iii) training and capacity building of conservation authorities. While SDPASE has made progress towards building broad-based capacity for financing and management of PAs, there is still a need for enhanced local-level management of natural resources e.g. through inclusion of local communities in decision-making frameworks.

The *Mainstreaming Agro-biodiversity Conservation into the Farming Systems of Ethiopia* project is incentivising farmers to conserve Ethiopia's agro-biodiversity within agricultural systems. This is being done through the establishment of a favourable policy environment for agro-biodiversity conservation, enhanced extension services, strengthening of relevant value chains and the establishment of gene banks/conservation sites. The conservation of Ethiopia's agro-biodiversity is expected to lead to increased livelihood options of local communities with a resultant reduction in the pressure on other natural resources such as forests and animal species. However, this approach requires the inclusion of local communities within decision-making frameworks on land-use planning to ensure that these practices remain in alignment with conservation initiatives such as PA management.

The *Mainstreaming Incentives for Biodiversity Conservation in the Climate Resilient Green Economy Strategy* project will reduce current and future threats to Ethiopia's biodiversity by ensuring that negative effects of socio-economic development on biodiversity conservation are minimised. This is to be achieved by greater integration of conservation and sustainable use of biodiversity within broader socio-economic priorities. In addition, a Payment for Ecosystem Services model will be piloted in collaboration with local communities in order to create financial incentives for increased conservation of Ethiopia's flora and fauna. This project is likely to lead to greater conservation of biodiversity outside of PAs, but does not address the degradation of natural resources – e.g. through grazing, agriculture and deforestation – within designated PAs.

The newly initiated *Institutional Strengthening for Forest Sector Development in Ethiopia* project will enhance the capacity of the forest sector to fulfil its mandate at all levels. Expected outcomes of the project include: i) increased forest coverage that boosts carbon sequestration and other environmental services; ii) enhanced biodiversity conservation and other environmental services of the forest resources, as well as the promotion of sustainable supply of wood and wood products; iii) the promotion of broad-based stakeholder engagement in forest conservation and development, from strengthened private sector involvement in forest development and marketing; and iv) enhanced forest development policies, strategies and interventions led by innovation and science to the involvement of academia and research institutions in forest development.

The Born Free Foundation presently has an annual budget allocation of ~US\$ 310,665<sup>66</sup> (total funding: US\$ 1,242,660) to support the Government of Ethiopia in protection of fauna and flora. This support is provided through training of staff on wildlife law enforcement as well as detecting and stopping illegal trafficking of fauna and flora. A new initiative titled the *Border Point Project: Stopping Illegal Wildlife Trade in the Horn of Africa* (total funding: ~US\$ 519,000<sup>67</sup>) will be implemented in collaboration with EWCA and UNDP from 2015<sup>68</sup>. It will focus on reducing trafficking in fauna and flora at land border posts between Ethiopia and its neighbouring countries<sup>69</sup>. The proposed project will complement this project by expanding the scope of anti-trafficking in Ethiopia through strengthening of capacity for anti-trafficking measures at Bole International Airport. This will result in reducing the overall incidence of trafficking coming through the majority of Ethiopia's entry- and exit-points with expected reductions in illegal trade throughout the Horn of Africa as well as globally.

The Intergovernmental Authority on Development (IGAD) is overseeing an EU-funded *Biodiversity Management Programme* (total funding during proposed project period: US\$ 6 million) to protect and promote the regional biodiversity through cross-border collaboration. The areas targeted by this programme include South Sudan-Ethiopia and Djibouti-Ethiopia. Cross-border collaboration will create a framework for improved conservation of biodiversity on a landscape level through the development and implementation of integrated land-use plans as well as a Development Master Plan. These planning initiatives will promote the inclusion of conservation and PA management within broader land-use priorities. In addition, the programme is supporting the development of alternative livelihood options – based on fisheries, honey and shea butter – for communities that is likely to lead to reduced rates of degradation of natural resources in its operational areas.

The International Fund for Agricultural Development (IFAD) is supporting Phase III of the Pastoral Community Development Project (funding US\$ 85 million). This project is improving the livelihoods of agro-pastoralists in Ethiopia through: i) capacity building for enhanced decision-making on natural resource management; ii) greater participation in policy dialogue; and iii) access to services related to sustainable livelihoods. Improving the livelihoods of agro-pastoralists will result in reduced pressure on natural resources with concomitant benefits for conservation of fauna and flora.

EWCA has annual budget allocations for a range of biodiversity conservation efforts within Ethiopia. Contributions from EWCA include: i) budgets for PA management (the exact amount to be finalised during the PPG phase pending selection of targeted PAs); ii) anti-trafficking activities; iii) ongoing capacity-building; and iv) in-kind contributions of office space.

*KfW Development Bank* is supporting partner institutions in Ethiopia to manage PAs. This work includes improving professionalization of PA management as well as long-term financing of PA infrastructure. The extent of support to be provided to Ethiopia is currently being prepared and will be finalised in early 2015. This will include national-level capacity development as well as targeted support to specific PAs. The exact amount of co-financing will be finalised during the PPG phase pending the finalisation of KfW Development Bank's contributions as well as the selection of PAs to be targeted by the proposed project.

The *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ) is currently preparing a Biodiversity Programme for Ethiopia. This is due to be finalised in early 2015 and will include capacity-building at the national level as well as on-the-ground implementation of biodiversity conservation in yet-to-be determined areas.

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<sup>66</sup> UK£ 200,000 p.a.

<sup>67</sup> UK£ 331,657.

<sup>68</sup> Pending final approval of funding from UKAID.

<sup>69</sup> Ethiopia and the countries bordering it (Kenya, Sudan, South Sudan, Djibouti, Eritrea and Somalia).

### **3. The Alternative Scenario**

The **objective** of this proposed project is to build Ethiopia's capacity for biodiversity conservation through increased effectiveness of protected area management and anti-trafficking measures. The project objectives will be achieved through the delivery of three integrated components as outlined below.

#### **Component 1: Protected area management and biodiversity conservation**

Activities under this component will contribute to enhanced capacity for strategic decision-making and implementation of biodiversity conservation and PA management at all levels. This is expected to occur through strengthening of management frameworks concerning biodiversity conservation. In particular, support will be provided to the National Taskforce on Protected Areas and Wildlife Management to improve the inter-ministerial/agency collaboration on biodiversity conservation. In addition, the project will support the development of high-level political support to encourage suitable budget allocations within government programmes for biodiversity conservation of forests and animals. This will occur through lobbying of relevant decision makers and awareness campaigns amongst relevant institutions on conservation priorities and the importance of biodiversity. Furthermore, management activities in two PAs will be strengthened through improved efficiency and efficacy of management functions. This will occur through formulation of PA management plans as well as provision of necessary equipment and infrastructure to operationalise these management plans. The PAs to be targeted through this project will be selected during the PPG phase based on where investments in capacity building will achieve the greatest results. Preliminary assessments carried out during PIF development suggest that likely candidate PAs include Gambela National Park, Omo National Park and Babilie Elephant Sanctuary.

#### **Component 2: Landscape approach to forest and agro-biodiversity conservation**

Activities under this component will include the piloting of a landscape approach to biodiversity conservation focussed on forests – including both plantations and protected forested lands – and agro-biodiversity. This will occur through improved engagement of local communities in the management of forest and agro-biodiversity resources that they live in proximity to. Communities will be encouraged to participate in the establishment of community forest and agro-biodiversity conservation areas and the development of alternative livelihoods – such as community-based plantations and ecotourism activities – to reduce pressure on natural resources. Communities will also be the target of public awareness campaigns that will inform them of the existence and importance of protected forests, plantations and important agro-biodiversity resources as well as the legal and socio-economic implications of degradation and loss of these resources. Increased awareness – coupled with the provision of alternative livelihood options – is likely to encourage communities to reduce their encroachment in important biodiversity hotspots and therefore reduce pressure on forest and agro-biodiversity resources in these areas. This is expected to lead to conservation benefits for forest and agro-biodiversity species that are vulnerable to overgrazing and deforestation such as *Acacia prasinata*, *Acacia venosa*, *Maytenus harenensis* and *Cussonia ostinii* (all of which are threatened endemics listed on the IUCN Red List). Following a landscape approach to biodiversity conservation will enhance management of protected forest areas, plantations and agro-biodiversity resources. The areas to be targeted under this component will be selected during the PPG phase based on where adoption of such a landscape approach is likely to achieve the greatest benefits in terms of contributing to economic livelihoods of local communities as well as reducing pressure on nearby PAs. Preliminary assessments carried out during PIF development suggest that likely candidate areas include the Gambela Region and/or the Southern Nations, Nationalities, and Peoples' Region. These regions have considerable potential for establishment of community-managed conservation areas to reduce pressures on nearby national parks (Gambela and Omo, respectively).

#### **Component 3: Implementation of anti-trafficking measures**

In addition, this component will support capacity building of law enforcement authorities to combat the illegal trade in fauna and flora. This is likely to occur through the strengthening of intelligence networks relating to trafficking in species of concern as well as the provision of equipment – e.g. scanners and/or sniffer dogs – and training to improve detection rates at borders and/or airports. In remote areas where pastoralist communities are well placed to detect and monitor movements of those involved in these illegal activities, community information networks will be established to link with PA staff and police and customs officials. Furthermore, information on transit routes and those involved in illegal trafficking would be passed to regional and federal authorities to build the evidence base and assist with securing the arrest of illegal traders at the national level. In addition, this component is likely to support the implementation of various conservation initiatives<sup>70</sup>.

**Incremental Reasoning:** The incremental contribution from GEF will assist the Government of Ethiopia to implement measures for conserving the country’s globally important biodiversity.

*Protected area management and biodiversity conservation:* Without the incremental contribution, biodiversity conservation is likely to remain a relatively low priority within national decision-making process owing to limited donor support and government budget allocations. This will hinder adequate protection of Ethiopia’s globally important biodiversity, as key institutions will continue to suffer from inadequate political support at the national level. This will translate into chronic under-budgeting and low prioritisation of biodiversity concerns vis-à-vis other national priorities. Furthermore, management of PAs is likely to continue to suffer from inadequate planning and implementation of key management functions. The incremental contribution is expected to result in increased political support for biodiversity conservation amongst strategic decision-makers at the national level. This is likely to strengthen collaboration between government institutions with positive benefits for biodiversity conservation and PA management at all levels. In addition, the incremental contribution will strengthen planning and implementation of key management functions in PAs.

*Landscape approach to forestry and agro-biodiversity conservation:* Without the incremental contribution, conservation of forest and agro-biodiversity resources is likely to continue to under threat from other land-use activities, particularly in the context of local communities living in/adjacent to protected forests, plantations, agro-biodiversity hotspots and PAs. Such communities will continue to exploit forest and agro-biodiversity resources as well as encroach on PAs to fulfil livelihood needs. This is expected to result in ongoing conflicts with management authorities that may lead to loss of unique and endangered forest and agro-biodiversity resources. The incremental contribution will support the adoption of a landscape approach to forest, agro-biodiversity and PA management that includes the prioritisation of community needs within a management framework. The inclusion of local communities in decision-making processes around management at the landscape level is likely to reduce conflict through increased community participation, benefit sharing and regulations concerning forest and agro-biodiversity resources. Furthermore, the establishment of alternative livelihoods options – based on conservation of forest, agro-biodiversity resources – will reduce pressure on populations of fauna, and flora as communities will have reduced reliance on unsustainable rates of resource extraction for their welfare. The incremental contribution will also support landscape-scale management of populations of vulnerable plant and wildlife species. This will result in more viable populations of these species as they are no longer dependent on ever-shrinking refugia within PAs but instead benefit from broader-scale conservation measures.

*Implementation of anti-trafficking measures:* Without the incremental contribution, globally significant species such as elephant and cheetah will remain at risk to poaching and other threats in poorly enforced PAs as well as illegal trafficking. Anti-trafficking authorities will remain under-equipped – in terms of both training and material needs – to enforce measures to reduce threats to biodiversity conservation. In addition, PA staff as well

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<sup>70</sup> For example, the National Elephant Action Plan that forms part of Ethiopia’s commitment as a founding member of the Elephant Protection Initiative.

as police and customs officials will remain limited in their capacity to stem the flow of illegal wildlife trade through Bole International Airport and other key transit points. With the incremental contribution, training and equipment needs relating to enforcement of anti-trafficking activities will be substantially addressed. By restricting access to sources of vulnerable species (by improved enforcement of PAs) as well as to potential markets (by improved detection of attempted trafficking), Ethiopia will be able to reduce the illegal trade in fauna and flora both nationally and internationally. This will contribute towards increased protection and conservation of these species. Improved implementation of anti-trafficking measures will also result in greater protection of species that are not necessarily involved in illegal trade but are nonetheless of global significance and have the potential to contribute to towards Ethiopia's socio-economic development e.g. through increased eco-tourism opportunities.

## **5. Global environmental benefits**

The proposed project is expected to result in global environmental benefits within the Biodiversity Focal Area as described below.

### **Biodiversity Focal Area 1: Improve Sustainability of Protected Area Systems**

#### *Programme 2: Nature's Last Stand: Expanding the Reach of the Global Protected Area Estate*

The proposed project has been designed to contribute towards Target 11 of the Aichi Biodiversity Targets by increasing the extent of terrestrial ecosystems under formal and effective PA management. The project interventions will address capacity gaps at national- and local-levels that constrain effective management of PAs. This will be achieved as described below.

- *Increasing capacity for PA management.* The project will strengthen capacities for planning and implementation of conservation activities at national and sub-national levels. PA management plans will be formulated and operationalised in two PAs to address threats to endangered fauna and flora. Management authorities will be supported to identify risks and design counter-measures with appropriate budgetary and staff allocations. At the national level, institutional and technical capacity to plan and implement biodiversity conservation measures will be strengthened. Knowledge-based decision-making will be supported through the establishment of a GIS-based knowledge management system. In addition, a staff-training programme will be developed to provide ongoing capacity building to PA staff and government officials for improved administration of national- and local-level implementation of PA management. Better forest management will enhance water catchment, reducing soil loss and siltation of major trans-boundary water systems, which are international public goods. It will also enhance the carbon sequestration ability of the forest as well as maintain habitat for flora and fauna. The improved policies and institutional capacity ensure sustainability of the conservation status for forest and agro-biodiversity while improved markets ensure that agro-biodiversity increase returns on economic as well as conservation status. Biodiversity is less threatened options for future use of gene pools secured, ecological stability and increased ecosystem services to water harvesting and carbon sequestration from both plantation and protected forest improved, habitat for pollinators and other biodiversity improved.

### **Biodiversity Focal Area 2: Reduce Threats to Globally Significant Biodiversity**

#### *Programme 3: Preventing the Extinction of Known Threatened Species*

The proposed project has been designed to contribute towards Target 12 of the Aichi Biodiversity Targets through it focus on improving the conservation of known threatened species such as the African Elephant. The project interventions will address drivers of habitat destruction and resource exploitation as well as reduce poaching and trafficking of endangered species. This will be achieved as described below.

- *Increasing capacity for implementing anti-poaching and anti-trafficking measures.* The project will strengthen capacities for planning and implementation of anti-poaching and anti-trafficking measures to stem the trade in endangered fauna and flora. This will be achieved through provision of: i) up-to-date scientific knowledge for planning anti-trafficking activities; and ii) state-of-the-art equipment for detection at border posts. In addition, on-the-ground initiatives will be supported to reduce rates of poaching.
- *Increasing cooperation between enforcement agencies.* The proposed project will strengthen the capacity of the National Taskforce on Protected Areas and Wildlife Management to improve inter-ministerial collaboration. This will enhance mainstreaming of biodiversity conservation across a range of sectors, improve coordination of conservation initiatives and increase political support for biodiversity conservation.
- Through the strengthening of capacity for PA management at the federal and local level, the proposed project will contribute to the conservation of globally significant species such as<sup>71,72</sup>:
- mammals – African elephant (*Loxodonta africana*), Ethiopian wolf (*Canis simensis*), Walia ibex (*Capra walie*) and mountain nyala (*Tragelaphus buxtoni*);
- birds – blue-winged goose (*Cyanochen cyanoptera*), yellow-fronted parrot (*Poicephalus flavifrons*), white-tailed swallow (*Hirundo megaensis*) and Sidamo lark (*Heteromira fra sidamoensis*);
- reptiles/amphibians – Ethiopian mountain chameleon (*Trioceros affinis*), Böhme's Ethiopian mountain snake (*Pseudoboodon boehmei*), Bore River frog (*Phrynobatrachus inexpectatus*) and Largen's clawed frog (*Xenopus largeni*); and
- fish – Ethiopian loach (*Nemacheilus abyssinicus*), Lake Afdera killifish (*Lebias stiansnyae*), *Barbus ethiopicus* and *Garra aethiopica*.
- In addition, improved capacity for reducing the illegal trade in fauna and flora is likely to result in the conservation of such trafficked species as the African elephant and the cheetah (*Acinonyx jubatus*).

### Biodiversity Focal Area 3: Sustainably Use Biodiversity

#### *Programme 7: Securing Agriculture's Future: Sustainable Use of Plant and Animal Genetic Resources*

The proposed project has been designed to contribute towards the conservation of Ethiopia's agro-biodiversity. As a Vavilov Centre of Diversity, the country has a wealth of genetic diversity that includes landraces and crop wild relatives of cultivated plants such as *Pennisetum* sp. and *Pisium* sp. Maintaining this diversity of economically and culturally important crops is critical to achievement of improving food security and rural livelihoods. Through the implementation of a landscape approach to community-based management of agro-biodiversity resources, the proposed project is expected to contribute to conservation and sustainable use of such species. By removing barriers to sustainable production and conservation of agro-biodiversity, this project will ensure that Ethiopia's diversity is better protected and will therefore be available for use by the international community as the country is a signatory to the major treaties and conventions on biodiversity including the CBD and the ITPGRFA. More importantly, the project will ensure that the country maintains the "Option Values" for future agro-biodiversity use that would otherwise be forfeited as agro-biodiversity is lost with increasing rapidity. This will be a critical contribution to world food security as international market channels and opportunities become available.

The increased involvement of local communities in management of natural resources – e.g. through the establishment of community conservation areas – is likely to result in further opportunities for diversified livelihoods. This approach is also likely to see increased conservation of plant species such as *Podocarpus*

<sup>71</sup> The species to be conserved will depend *inter alia* on which PAs are selected during the PPG phase. However, the PAs targeted by the proposed project is likely to include *at least* one of these species.

<sup>72</sup> For the sake of brevity, plants have been excluded from this list. However, see the sub-section on *Sustainable use of the components of globally significant biodiversity* as well as the description of Component 2 under Section A.1.3 for a list of endemic plants likely to benefit from the proposed project.

*falcatus*, *Boswellia ogadensis*, *Maytenus addat* and *Hagenia abyssinica* that are of economic value as well as being of particular conservation concern<sup>73</sup>.

## **6. Innovativeness, sustainability and potential for scaling up**

The proposed project is innovative in its approach in strengthening the linkages between various different and complementary aspects of biodiversity conservation across various levels. The strengthening of strategic decision-making will provide an improved framework within which biodiversity conservation actions will be implemented. This top-down approach will be complemented by the bottom-up nature of the landscape approach to conservation that will include the priorities of local communities within local-level decision-making. Furthermore, the linkage of improved PA management with strengthened enforcement of anti-trafficking measures targets different stages of the chain in illegal trafficking of fauna and flora. The project is likely to provide sustainable benefits to biodiversity conservation in Ethiopia. By raising the profile of biodiversity amongst strategic decision makers (see Component 1), future support towards conservation initiatives is likely to be increased. This is expected to result in increased budgetary allocations for biodiversity conservation in the future as well as greater awareness of contributions that various sectors can make towards conservation efforts. Such mainstreaming of biodiversity across sectors will have long-term conservation benefits for globally significant species in Ethiopia.

By following a landscape approach to biodiversity conservation, the sustainability of conservation actions will be considerably enhanced. At present, conservation efforts are hampered by encroachment of<sup>74</sup> local communities seeking to exploit natural resources. Inclusion of local communities in planning for management of forest and agro-biodiversity resources with concomitant provision of alternative livelihood opportunities to these communities is expected to significantly reduce pressure on such resources. The interventions implemented by the proposed project will have considerable potential for scaling up across Ethiopia. The demonstration of a landscape approach to conservation under Component 2 as well as enhanced PA enforcement under Component 3 will provide best practice frameworks for biodiversity conservation within the country. Lessons learned under this project will be able to inform conservation practices within PAs and high value biodiversity areas other than those targeted by the project. This is expected to catalyse a change in approach to biodiversity conservation that will lead to more sustainable management of PAs across Ethiopia.

**A.2. Stakeholders.** Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes X /no ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation: A detailed list of all stakeholders to be engaged in the project will be prepared at PPG.

### **A.3 Risk**

Potential risks and likely countermeasures are outlined in the table below. The risks identified here – as well as new/emergent risks – will be re-assessed during the PPG phase.

<b>Risk</b>	<b>Countermeasure</b>
PAs and related management activities by conservation authorities	Project's activities will include extensive engagement with local communities to identify opportunities relating to communities' needs (see Component). This is likely to improve community buy-in and support relating to project activities.

<sup>73</sup> Vivero et al. 2005. *The Red List of Endemic Trees & Shrubs of Ethiopia and Eritrea*. Fauna & Flora International, Cambridge, UK.

are not recognised by local communities.	
External pressure from rural populations and/or development activities undermine biodiversity conservation and management of PAs.	The landscape approach to PA management will be integrate PAs into wider land-use planning. This will be supported by collaboration with local and regional government as well as extensive consultations with local communities to ensure that a range of priorities are taken into consideration during planning and implementation of PA management activities.
Traffickers change routes (away from Bole International Airport) and methods in response to improved enforcement.	The project will coordinate with the Born Free <i>Border Point Project</i> (see Section A.5) to strengthen nation-wide enforcement of anti-trafficking. Intelligence networks will be strengthened to provide information on new trafficking routes as they arise. Continuous monitoring of national and international trafficking trends will allow for adaptive responses to changes in trafficking strategies and route
Cooperation between regional and national authorities is not forthcoming, hindering landscape-level approaches.	Regular communication channels and/or formal agreements (e.g. Memoranda of Understanding) will enhance cooperation between participating authorities.
Activities in targeted PAs become unfeasible owing to local/regional instability.	Contingency plans can be developed established for a number of (two or three?) alternative PAs to be implemented if needed. If no such need arises, these plans can form the basis of future biodiversity conservation efforts should additional funds become available.

**A.4. Coordination.** Outline the coordination with other relevant GEF-financed and other initiatives:

The proposed project forms part of **UNDP’s Programmatic Approach to Prevent the Extinction of Known Threatened Species of Flora and Fauna**. As such, it will be implemented in close coordination with other initiatives under this programmatic approach. It will coordinate with other initiatives as described below.

- **Sustainable Development of the Protected Area System of Ethiopia:** This GEF-funded project is strengthening the enabling framework for managing Ethiopia’s protected areas. This is being done through broad-based capacity development for financing and management of PAs at the national level. The proposed project will complement this work by providing targeted support for specific PAs to enhance local-level management and enforcement of PA regulations. The mid-term evaluation for SDPASE made various recommendations that have been considered here and will be further examined during the PPG phase. Some of these are summarised in the table below.

<b>SDPASE MTE recommendations</b>	<b>Corresponding aspects of proposed project</b>
Further strengthening partnerships between government agencies.	Strengthening of collaboration between government agencies for improved strategic decision-making (Component 1) and enforcement of anti-trafficking measures (Component 2).
Increased involvement of local decision-makers in the development and management of protected areas.	Adoption of a landscape approach to PA management that will include local communities in decision-making and implementation of conservation measures.
Target a limited number of protected areas to demonstrate effective management.	Selection of key PAs for demonstration of effective PA management (Component 3).

- **Mainstreaming Incentives for Biodiversity Conservation in the Climate Resilient Green Economy Strategy:** This GEF-funded project will contribute to the protection of Ethiopia’s biodiversity from current and future threats by ensuring that decision-making concerning socio-economic development does not have a

negative impact on biodiversity. The proposed project will build on this initiative by further supporting the strengthening of capacity for improved policy- and decision-making concerning PA management. In addition, the project will contribute towards the development of incentives for biodiversity conservation through including local community priorities in PA management.

- **Mainstreaming Agro-biodiversity Conservation into the Farming Systems of Ethiopia:** This GEF-funded project is contributing towards the conservation of Ethiopia's agro-biodiversity. Incentives are being created for agricultural communities to conserve important elements of biodiversity such as farmer varieties, landraces and wild relatives of common crops including tubers, pulses and grains. The proposed project will build on this initiative in seeking complementarities by which livelihoods of local communities can be strengthened. In particular, synergies between the projects are likely to exist in the strengthening of value chains as well as the increased public awareness concerning conservation of natural resources outside of PAs.
- **Institutional Strengthening for Forest Sector Development in Ethiopia:** This project will enhance the capacity of the forest sector to fulfil its mandate at all levels. The proposed project will collaborate strongly with this project to realise synergies between the two initiatives related to: i) increased forest coverage for improved provision of ecosystem goods and services; ii) enhanced conservation of forest and agro-biodiversity resources; and iii) the inclusion of a wide range of stakeholders in planning and decision-making concerning management of forests, agro-biodiversity and PAs.
- **Engaging policy makers and the judiciary to address poaching and illegal wildlife trade in Africa:** This GEF-funded project will strengthen the enabling environment for effectively address poaching and illegal wildlife trade through new and enhanced laws, regulations, and policies. The proposed project will complement this through the implementation of activities aimed at directly reducing illegal trafficking in fauna and flora.

Description of the consistency of the project with:

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSEMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /NO  ). IF YES, WHICH ONES AND HOW: NAPAS, NAPS, ASGM NAPs, MIAS, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURS, ETC.:**

**THE PROJECT IS CONSISTENT WITH THE NATIONAL INITIATIVES LISTED BELOW:**

- **Sustainable Land Management Programme:** This programme was initiated by the Government of Ethiopia<sup>75</sup> to reduce the effects of land degradation and improve agricultural productivity. Under the programme, approximately 79,000 ha of forest are under participatory forest management with some 50,000 households adopting sustainable land management practices. Lessons learned in participatory land management will be essential for informing suitable approaches to engaging with local communities within the proposed project.
- **The Border Point Project: Stopping Illegal Wildlife Trade in the Horn of Africa:** This UKAID-funded project – to be implemented by the Born Free Foundation – will reduce the cross-border trade in illegal species in the Horn of Africa. This will be achieved through building the capacity of participating countries<sup>76</sup> to detect and prevent trade at border points and strengthening networks within and between governments. The proposed project will coordinate with this project with relation to capacity building of relevant officials on detecting trafficking of fauna and flora.
- **Elephant Protection Initiative:** The Elephant Protection Initiative (EPI) is an African-led approach to address elephant poaching across the continent as well as the escalating international illegal wildlife trade in ivory. Signatory and supporting countries of the EPI – of which Ethiopia is one – recognise that the security and survival of African Elephants necessitate urgent and collaborative actions to successfully tackle the poaching crisis and to address the associated challenges, via bolstering existing agreements and structures. The countries aim to align domestic legislation with the international ban implemented through CITES in 1989, and to ensure

<sup>75</sup> In collaboration with donors (e.g. World Bank, Finland, EU and Germany) and other stakeholders.

<sup>76</sup> Ethiopia and the countries bordering it (Kenya, Sudan, South Sudan, Djibouti, Eritrea and Somalia).

that ivory stocks are put beyond economic use. The EPI aims to secure and disburse critical funding for the protection of elephants through the implementation of the African Elephant Action Plan (AEAP). The nine action points of the AEAP needed to safeguard elephant populations are implemented through tailored National Elephant Action Plans (NEAPs) which outlines the 10-year strategy for elephant populations within the country. The proposed project will support the implementation of Ethiopia's priorities under the EPI and NEAP through improved functioning of PAs (Component 1) as well as strengthening of enforcement measures for reducing trafficking in endangered fauna and flora (Component 2).

- **African Parks Network – Ethiopia:** This not-for-profit initiative takes on responsibility for the management of national parks and other protected areas in African countries through the establishment of public-private partnerships with the relevant governments. From 2015, the African Parks Network will commence work in Gambela National Park to improve management of the park with a view to enhancing its sustainability. The proposed project will take into account lessons learned and best practices from this initiative during the PPG phase to inform project design and ultimately successful implementation.

## **7. Wildlife and human-elephant conflicts management in Gabon (Gabon)**

### **PART I: PROJECT INFORMATION<sup>77</sup>**

Project Title:	Wildlife and human-elephant conflicts management in Gabon
Country(ies):	Republic of Gabon
GEF Agency(ies):	WB (select) (select)
Other Executing Partner(s):	Agence Nationale des Parcs Nationaux/Direction Générale de la Faune et de la Protection de la Nature (DGFAP)
GEF Focal Area(s):	Multi-focal Areas

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>78</sup>:**

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-1 Program 1	(select)	2,046,655	20,400,000
BD-2 Program 3	(select)	3,256,097	9,400,000
LD-3 Program 4	(select)	917,431	5,000,000
SFM-1	(select)	1,342,792	4,600,000
SFM-3	(select)	1,767,300	1,000,000
Total Project Cost		9,330,275	40,400,001

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

**Project Objective: To reduce elephant poaching and the illicit ivory trade and improve community livelihoods in Gabon.**

Project Components	Financing Type <sup>79</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
Protected Areas and Wildlife Management	Inv/TA	Improved National Park and wildlife management, with increased stakeholder involvement.  Increased METT scores for 4 Parks.  Elephant population in the 4 Parks and surrounding area stabilized.  Decrease in PIKE value.	5,045,436	25,380,000

<sup>77</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>78</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>79</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>79</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
Support for integrated landscape management and local community participation	Inv/TA	Improved connectivity of elephant populations within the landscape through sustainable land and forest management resulting in an overall strengthened stakeholder engagement and coordination and livelihoods.  Improved areas under sustainable forest management approaches, reforestation, and climate-smart agriculture measures by various forest management actors.	3,044,481	10,000,000
Regional Cooperation and Collaboration (Gabon-Congo)	Inv/TA	Enhanced regional and global coordination on efforts to maintain forest resources, enhance forest management and restore forest ecosystems through the transfer of international experience and know-how	787,606	3,000,000
Subtotal			8,887,523	38,380,000
Project Management Cost (PMC) <sup>80</sup> GEFTF			452,752	2,020,000
<b>Total Project Cost</b>			<b>9,330,275</b>	<b>40,400,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	IBRD-Skills Development Project	Loans	29,000,000
Donor Agency	Agence Française de Développement	Loans	11,400,000
<b>Total Co-financing</b>			<b>40,400,000</b>

<sup>80</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
WB	GEFTF	Gabon	Biodiversity	(select as applicable)	5,302,752	477,248	5,780,000
WB	GEFTF	Gabon	Land Degradation	(select as applicable)	917,431	82,569	1,000,000
WB	GEFTF	Gabon	SFM	(select as applicable)	3,110,092	279,908	3,390,000
<b>Total GEF Resources</b>					<b>9,330,275</b>	<b>839,725</b>	<b>10,170,000</b>

- a) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.  
b) Refer to the [Fee Policy for GEF Partner Agencies](#).  
c) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

**PART II: PROJECT JUSTIFICATION**

Project Overview

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

1) Sector issues

Forests cover 85% of the Republic of Gabon's territory, which accounts for approximately 15% of the Congo Basin rainforest. These forests house one of the last strongholds for forest elephant (*Loxodonta Africana cyclotis*) populations, with a population estimated between 23,457 and 60,000 elephants, or 50% of all remaining forest elephants in Africa. Gabon is also one of the most important countries for the conservation of the Western Lowland Gorilla and Chimpanzees (*Pan troglodytes*). Gabon encompasses three of the world's globally important eco-regions and it has a particularly high level of biodiversity and endemic species. This biodiversity is afforded protection through a network of protected areas, including 13 National parks created in 2001, totaling 1,293,000 ha, and with the park buffer zones covers over 15% of Gabon. Important populations of elephants, gorillas, and other species reside outside national parks, within forestry and oil concessions, as well as village lands, and afforded protection through laws pertaining to hunting regulations.

Gabon's wealth in diversity and abundance is primarily due to its long-standing political stability; its low demographic pressure on natural resources; the highly urbanized population with more than 85% of its population living in urban areas, predominantly in Libreville (the capital), Port-Gentil (the economic capital), and Franceville (the mining region), and the rural population is widely dispersed in small villages and towns. However, Gabon's natural resource wealth is currently under threat, with wildlife populations declining and forests as illegally exploited. Forest elephants are declining at a rate of about 9% per year (Maisels et al 2013). Elephant populations are being targeted for their ivory, whilst other species are targeted to supply the

commercial bushmeat trade. The impact of the illegal poaching and illicit wildlife trade includes risking the potential for wildlife tourism development, which whilst at present tourism is not an important source of revenue. Land use planning is rapidly changing pace, as each Government department is outlining its requirements for land - for extractive industries concessions (oil, forestry, or mining), agricultural, industrial, or urban development, or transport links, Gabon's previously relatively unchartered forests are being carved up to meet developmental requirements.

The Government of Gabon is strongly committed to sustainable forest management and safeguarding biodiversity, with it regularly being on the agenda from the highest political level. In 2009, the new Government proposed a new economic vision for Gabon, 'Emerging Gabon,' a roadmap laying out how to modernize Gabon and turn into an emerging green economy by 2025. It is based on 3 pillars – 'Gabon Industriel,' 'Gabon Vert,' and 'Gabon des Services.' The actions for the Green Gabon pillar (Gabon Vert) includes the institutionalization of sustainable forest management and the transformation of Gabon into a global leader for certified tropical timber production; the development of agriculture and livestock farming to improve food security and creation of sustainable and responsible fisheries; and the development of ecotourism. This Project would enhance and augment the current funding for Gabon and would complement the actions of the (i) Central African Elephant Conservation Strategy and (ii) Gabon Vert – the Government's vision.

ICCWC developed 'The Wildlife and Forest Crime Analytic Toolkit' to assist countries to carry out a situational analysis of the factors determining the ability of different government agencies to combat wildlife and forest crime on wildlife crime. The Government of Gabon was the first country in Africa to request ICCWC to implement the toolkit in their country. The ICCWC, led by UNODC with WB funding (DGF) successfully completed the assessment in Gabon (Oct 2014). The report is still confidential and has not been released to the public, only to the Government of Gabon and ICCWC partners. A typical report indicates the areas where the government needs to strengthen its legislation, institutions, governance and criminal justice systems, and law enforcement. This project design will be able to benefit from the recommendation of this report.

## 2) Baseline Scenario

Gabon was one of the first countries that signed up to the WBG Waves program (Wealth Accounting and Valuation of Ecosystems Services). This program is well underway and is operating at the highest level within the Finance Ministry. Gabon has also requested to the WBG a \$100 million IBRD loan for the Gabon Skills Development Project. The objective of the proposed project is to improve and expand vocational Skills Development Project. The objective of the proposed project is to improve and expand vocational Training Supply and Quality Improvement in TVET in key growth sectors and improve youth skills, 2) Employability Development, Youth Integration and Entrepreneurship Promotion, and 3) Institutional Capacity Support and Project Implementation. The Project will be under the auspices of the Ministry of Labor, Employment and Vocational Training. A newly created Project Coordination Unit (PCU) will handle the fiduciary aspects of the project. The PCU and other implementing agencies will enter into a subsidiary agreement that spells out their respective tasks and responsibilities to ensure smooth project implementation. During preparation, areas of training relevant to the Gabon GEF-6 project will be included such as: judicial systems and criminology, anti-money laundering and asset recovery, intelligence gathering and forensic investigation, specialized training for park rangers as well as local community skills development to improve their livelihoods. We have estimated that the amount of training relevant to this project will be approximately US\$ 29 million. The French Development Agency (AFD) through debt conversion agreement is planning to provide 10 million Euros to a project entitled "Gabon Elephant Project" which aims to combat wildlife crime and ivory trafficking in Gabon. This provides a strong baseline of activities to complement the proposed project. All these planned investments constitute the baseline for this project.

## 3) Alternative Scenario

**Project Design:** In complement with the baseline activities, the GEF resources under the proposed project will be developed as a multi-focal area operation, combining several GEF strategic goals and will be fully consistent with GEF-6 strategies and policies. The proposed project fits well within the Program Framework on Wildlife Conservation, Crime Prevention and Sustainable Development. The proposed objective of this project is to reduce elephant poaching and the illicit elephant ivory trade and improve community livelihoods in Gabon. This objective will be measured by the following indicators:

- Evolution of the elephants population in the project areas (stable or increase);
- Income generated by local populations based on local economic activities developed by the project

As conceptualized, the proposed project is expected to target four national parks in the South of the country namely: Moukalaba Doudou, Loango, Mayumba and Waka National parks. Activities which will be defined during preparation will complement an ongoing similar AFD-financed project in the amount of Euro 10 million focused on the national parks in the North of the country.

The proposed projects are structured through four key components that will support the achievement of the project objective.

***Component 1: Protected areas and wildlife management***

- Build the institutional and operational capacity of the General Direction of Fauna and Protected Areas (DGFAP) to enhance Parks surveillance and anti-poaching activities in close coordination with the National Agency of National Parks (ANPN);
- Implement priority activities derived from the management plans of Moukalaba-Doudou, Mayumba, Loango and Waka and their buffer zones;
- Enhance parks co-management with local communities;
- Develop national legislation on illegal ivory traffic in line with CITES provisions;
- Identify the best areas for connectivity between the elephant stronghold blocks between Loango Moukalaba Doudou, Mayumba national parks and through to Waka national park, assure their protection through intelligence-led law enforcement efforts, effective land use planning for agriculture, extractive industries and road development;
- Strengthen capacity of partner administrations in law enforcement to include law enforcement officers, wildlife authority, customs, and other major key stakeholders and to enhance understanding of legislation and certain legal procedures to understand trade routes and certain legal enforcement mechanisms to control the illicit ivory trafficking trade;
- Augment extractive industries implication in protecting elephant populations through collaboration on patrols, information exchange, and capacity building;
- Strengthen law enforcement efforts within the targeted National parks through improved crime scene analysis, with equipment provision, capacity building and implementation of investigative law enforcement techniques.
- Strengthen crime scene forensic analysis methods available for development of credible cases and reinforce intelligence networks.
- Develop and monitors a national database on information on ivory trafficking and prosecutions.

***Component 2: Support for integrated landscape management and local community participation***

- This component will include support for innovative and selective interventions at selected landscapes. Interventions that sustain or re-establish habitat connectivity at landscape level with support of local communities; for example, through Participatory Forest Management Landscapes (shortlisted activities for support will be identified during preparation).
- The component will also review the Human Elephant Conflict mitigation efforts, actions and effectiveness, and investigate new approaches such as environmental risk insurance schemes, effective

government compensation schemes, and linkage to guidelines for farmers and local administrations on how to minimize crop raiding using methods available.

- Implement human-wildlife conflict toolkits prepared by the Government with the support of the FAO.
- Develop and implement local economic activities to benefit communities in order to improve their living conditions.

***Component 3: Regional Cooperation and collaboration (Gabon-Congo)***

- Support Cross-border plans and strategies to improve wildlife management and elephant corridors
- Enhance cross-border wildlife surveillance and patrols
- Rehabilitate control posts at the border to enhance capacity of monitoring trade

***Component 4: Monitoring and evaluation and project management***

- This component will provide support for management, coordination, monitoring, and reporting on institutional and landscape level interventions.

4) Incremental Reasoning:

Current efforts within Gabon to stem the decimation of habitats, plants and animals in the wild are not succeeding. New levels of investments and cooperation between government departments; communities and other partners in an integrated approach for biodiversity conservation and natural resources management, tourism development and poverty reduction. A unified multi-disciplined, multi-sectoral, coordinated approach will have a greater chance of success. This Project aims to harness the momentum Gabon has set to tackle the problem of wildlife trade, land degradation and climate change, and utilize and augment existing mechanisms and systems. The Project will maximize the high-level political will demonstrated by the Government and facilitate this will into actions on the ground. Single sector approaches, isolated projects, and individual institutions cannot sufficiently address the multi-disciplinary challenges posed by land degradation and climate change.

This project aims to enhance and further existing country initiative and strategies, and support their implementation, of for example national elephant action plans (NEAP) as well as country obligations for example CITES ivory regulations for ivory management. The project will aim to work with experts in different disciplines, maximizing local knowledge and experiences. The project and its activities are aimed to equip wildlife authorities, protected area managers, local governments, communities, and indigenous people with skills, techniques, and understanding to effectively and sustainably manage their land and its resources. This will include an element of change management; transforming communities and governmental and non-government organizations interactions with the natural environment. It is expected that the improved management will result in more cost effective, higher yielding results, and therefore engage an increased level of ownership and stewardship amongst men and women within local communities and other stakeholders.

5) Global Environment Benefits

The Project will have many global environment benefits. It will be specifically aligned with the following GEF's focal area strategic objectives to achieve these benefits:

Biodiversity focal area strategic objectives:

- BD-1: Improve management effectiveness of protected areas.
- BD-2: Reduce threats to globally endangered species.
- BD-4: Mainstream biodiversity conservation and sustainable land use into production landscapes and production sectors.

Climate Change focal area strategic objectives:

- CC-2: Demonstrate systemic impacts of mitigation options. Program 4: Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture.

Sustainable Forest Management strategic objectives:

- SFM-2: Increased application of good management practices in all forests by relevant government, local community, and private sector actors.

The GEF funded activities would all be incremental to the overall project baseline and address the elephant poaching crisis that is going rampant in the Africa region by supporting policy and regulation changes, strengthening the capacity to enforce anti-poaching and anti-trafficking measures and working with local communities to enhance their benefits derived from wildlife and forest management.

*A.2. Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

This project will build on a far-reaching network of stakeholders at the local, national, and regional levels. At the national level, government commitment is key to the success and sustainability of this project, as described above. As a result the project will provide a platform to magnify its interventions across all branches of government including the Executive, the Legislative, the Judiciary and Ministries of Justice, Finance, Tourism, Defense, Planning and Natural Resource Management, to name just a few. Working with law enforcement and protected area agencies with jurisdiction over the species and their habitats, rural communities dependent on natural resources for their livelihoods, the transportation networks illegal wildlife travels within, the borders it crosses and the court systems the criminals are brought before, is critical.

The project will also work closely with community-based organizations and local communities, who are invested in the sustainable management of biodiversity, including wildlife, and the income and job opportunities that it provides. This engagement will go beyond consultation to actively involve communities in the design and implementation of child projects and in the learning across the project.

The project will also work with national and international non-governmental organizations (NGOs) and private actors who will be a key part of the delivery of Program activities. These entities include traditional environmental and conservation organizations, tourism entities, business leaders, religious leader, celebrities, marketing firms and advocacy organizations with established expertise in wildlife management, community development, and deterring wildlife crime.

*A.3 Risk.* Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

High (H) – risk greater than 75 percent probability that the outcome/result will not be achieved

Substantial (S) – risk between 50 and 75 percent

Modest (M) – risk between 25 and 50 percent

Low or Negligible (N) – risk of less than 25 percent that the outcome/result will not be achieved.

<b>Critical risks</b>	<b>Risk Level</b>	<b>Proposed measures</b>
Political instability within the region with limited security of the borders of Gabon	S	Gabon has been able to buffer impacts of political instability in the region to date through strong law enforcement
Weak coordination and limited collaboration between the ANPN/DGFAP and other Government Agencies especially in relation to buffer zone management	M	The legal mandates between the different government agencies exist. The ANPN and DGFAP have strong collaboration and will have a collaboration agreement for this project.
Government elections with might result in changes in political direction	M	Elections are expected to occur in Gabon during the time frame of this project, which may lead to changes in political direction. Supporting the concretisation of the current policies into Government departments will strengthen their sustainability.
Shortcomings of Gabon's enabling environment for tourism in general (ineffective local operators, costly air travel, weak hotel services) make it difficult to take advantage of the parks' potential for eco-tourism; and failure to develop eco-tourism undermines Government and local stakeholders' commitment for biodiversity	H	ANPN is actively involving relevant stakeholders (private sectors, other ministries) to help improve the enabling tourism environment and remove extra-sectoral constraints. More broadly, it should be noted that full success with eco-tourism is not necessary to achieve the project's objectives. Conservation efforts are likely to generate other socio-economic and environmental benefits.
Apathy of the local community to participate in development and community projects	M	Outreach and awareness campaigns, together with full stakeholder involvement with the development of the project, using the local community governance structures, will be undertaken to generate support.
Resource tenure policies are fragmented, weak, or missing. Weak tenure can lead to low levels of investment in the resource and a perverse incentive to exceed sustainable use.	S	The Program aims to develop a range of incentive mechanisms, delivered through community structures and consistent with traditional land tenure systems. The projects will pursue different design strategies such as working in areas with clear resource tenure, promoting community driven development, raising institutional and community capacity to carry out land capability mapping and land use planning, promoting natural resource rights, and so on. Lastly, the World Bank's social safeguards include tenure and land use issues, which will also help reduce risks. Each project will face unique circumstances that will inform the risk mitigation strategy.
Countries and donors may not sufficiently work together to ensure alignment and mobilized cofinancing, and resources.	M	The platform of the EPI and convening power of the various partners will strengthen alignment. The existent high level of political commitment to implement the EPI will also strengthen alignment.
Low community demand to implement or sustain new technologies	M	The Program will pay particular attention to local benefits in selection of activities. Participatory land and watershed planning exercises will build local awareness and establish incentives required. The projects will also be encouraged to have the flexibility to focus on smaller range of more readily accepted technologies, if necessary.

A.4. *Coordination.* Outline the coordination with other relevant GEF-financed and other initiatives:

There are many donors in Gabon supporting natural resources management activities and the proposed project will draw synergies with the initiatives as preparation proceeds on the ground.

1) Name of project: Reinforcing the institutional capacity of Gabon’s national park service: a multi-pronged, multi-institutional initiative to enhance national park and buffer zone management in the Republic of Gabon.

Financier: U.S Fish and Wildlife Service (USFWS).

Amount: \$15 million over five years (2013-2017).

Status: Under implementation.

Goal: Conserve Gabon’s wildlife heritage by enhancing ANPN’s capacity to effectively manage protected areas and to provide leadership for conservation in Central Africa.

2) Name of project: Sector governance project (Projet de Gouvernance Sectorielle, PAGOS).

Financier: FED Gabon, dons UE.

Amount: the PAGOS Environment is 4.750.000 euros including 2.100.000 euros for ANPN component, 1.300.000 euros for the Directorate of Environment (DGE), 1.000.000 for the FLEGT component and 350.000 euros for the “clean development mechanism” component.

Status: Under implementation.

Goal: Contribute to the improvement of governance in the environmental sector and in particular of Gabon national parks.

3) Name of project: African Wildlife Forensic network – capacity and coordination for law enforcement.

Financier: Illegal Wildlife Trade (IWT) Challenge Fund.

Amount: £250,000 (2015-2017).

Status: Awarded January 2015.

Goal: Develop an effective, cooperative network of wildlife forensic capacity to help investigate IWT and support enforcement of CITES regulations for endangered species.

4) Name of project: Tridom (Tri-National Dja-Odzala-Minkebe) Project.

Financier: European Union (EU).

Amount: 500,000 euros for TRIDOM of which 150,000 for Gabon.

Status: ended in June 2015 with possible extension for end 2015.

Goal: Reduce the rate of forest degradation and loss of biodiversity through increased local, regional and national natural resource management capacity.

Executing agencies: WWF.

Coordination:

Description of the consistency of the project with:

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSEMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /no  ). IF YES, WHICH ONES AND HOW: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCS, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURS, ETC.:**

This country-level project is in line with strategies and priority activities and needs identified in country-driven exercises such as action plans related to the Elephant Protection Initiative. For example, in Gabon, a new roadmap highlights the three pillars, ‘Gabon Industriel,’ ‘Gabon Vert,’ and ‘Gabon des Services,’ to turn Gabon into an emerging green economy which includes the institutionalization of sustainable forest management to transform Gabon into a global leader for certified tropical timber production.

## 8. Coordinate action and learning to combat wildlife crime (Global)

### PART I: PROJECT INFORMATION<sup>81</sup>

Project Title:	Coordinate action and learning to combat wildlife crime
Country(ies):	Global
GEF Agency(ies):	WBG/UNDP
Other Executing Partner(s):	UNODC, World Customs Organization, Interpol, Wildlife Conservation Society, TRAFFIC, WWF, Royal Foundation, CITES Secretariat
GEF Focal Area(s):	Biodiversity

### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>82</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
Global set aside grant for Wildlife program	GEFTF	7,000,000	65,000,000
Total Project Cost		7,000,000	65,000,000

### E. CHILD PROJECT DESCRIPTION SUMMARY

Project Objective: Create and implement an effective coordination and knowledge platform for the GEF funded Global Wildlife Partnership on <i>Wildlife Conservation and Crime Prevention for Sustainable Development</i>				
Project Components	Financing Type <sup>83</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Program Coordination and Communication (WB)	TA	<p><b>Outcome 1:</b> Enhanced communications and coordination among Program stakeholders</p> <p><i>Indicators and targets:</i></p> <p><b>1.1</b> Establishment and functioning of a Program Steering Committee (PSC)</p> <p><b>1.2</b> Alignment of project activities with Program priorities and key donor wildlife conservation investments</p> <p><b>1.3</b> Effective communication of the Program's priority activities and impact</p>	1,176,199	2,000,000
2. Monitoring and Evaluation (WB)	TA	<p><b>Outcome 2:</b> Improved monitoring of national projects outcomes</p> <p><i>Indicators and targets:</i></p> <p><b>2.1</b> Program monitoring system successfully designed, developed, and deployed</p>	1,093,172	2,000,000

<sup>81</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>82</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>83</sup> Financing type can be either investment or technical assistance.

		<b>2.2</b> Results framework is used to support effective decision-making and enhance national project quality		
3. Knowledge Management (WB)	TA	<b>Outcome 3:</b> Establishment of a knowledge exchange platform to support Program stakeholders <i>Indicator and targets:</i> <b>3.1</b> Number of Illegal Wildlife Trade (IWT) knowledge exchanges successfully implemented <b>3.2</b> Establishment of a knowledge exchange platform to support program stakeholders	1,380,630	1,000,000
4. Reducing Maritime Trafficking between Africa and Asia (UNDP)	TA/Inv	<b>Outcome 4:</b> Increased detection and prosecution of persons involved in maritime trafficking of wildlife products at key ports <i>Indicators and targets:</i> <b>4.1</b> Proportion of seizures that result in arrests, prosecutions, and convictions (increase)	2,000,000	10,000,000
5. Strengthen Institutions (WB)	TA/Inv	<b>Outcome 5:</b> Enhanced coordination amongst International Consortium on Combating Wildlife Crime (ICWC) partners to support institutional capacity efforts to fight trans-national organized wildlife crime <i>Indicators and targets</i> <b>5.1:</b> Number of dedicated law enforcement coordination mechanisms (increase) <b>5.2:</b> Number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations (increase)	1,350,000	50,000,000
Subtotal			7,000,000	65,000,000
Project Management Cost (PMC) <sup>84</sup> GEFTF				
<b>Total Project Cost</b>			7,000,000	65,000,000

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

## F. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

<sup>84</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	WBG	Grant/In-kind	5,000,000
CSO (confirmed)	WildCat Foundation		50,000,000
CSO (TBC)	United for Wildlife (TRAFFIC, WWF, WCS, Royal Foundation);	Grant/In-Kind	5,000,000
Others	UNODC, WCO, Interpol, CITES Secretariat (To be confirmed)	Grant	5,000,000
<b>Total Co-financing</b>			<b>65,000,000</b>

**G. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>**

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
WBG	GEFTF	Global	Global Set Aside		5,000,000	450,000	5,450,000
UNDP	GEF TF	Global	Global Set Aside		2,000,000	180,000	2,180,000
<b>Total GEF Resources</b>					<b>7,000,000</b>	<b>630,000</b>	<b>7,630,000</b>

- e) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.
- f) Refer to the [Fee Policy for GEF Partner Agencies](#).
- g) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

## **PART II: PROJECT JUSTIFICATION**

### Project Overview

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

#### 1) THE GLOBAL ENVIRONMENTAL PROBLEM, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED

The two major escalating driver of biodiversity loss are the illicit trafficking in wildlife and wildlife parts<sup>85</sup> (IWT) and habitat loss. Unprecedented biological or commercial extinction of many life forms is now a critical reality throughout the world, jeopardizing the very foundations of biodiversity, including the future well-being of humans and requiring unprecedented political will, social sacrifice and law enforcement action to stem further losses. Progressively, through the advent of the Convention on Trade in Endangered Species of Wild Fauna and Flora (CITES) in 1976 and the Convention on Biological Diversity (CBD) in 1992, together with a host of national legislative and regulatory instruments and mechanisms, the global community has moved to address the threat to thousands of species of wildlife poised by unfettered trade and the loss of their habitat by increasing funding to protected areas.

Poaching and Illegal trade: The problem is particularly acute in Africa, where charismatic species – the African elephant, white and black rhinos – are being targeted to the brink of extinction. For example, in 2011 the International Union for Conservation of Nature (IUCN) declared the Western black rhino extinct, with the primary cause identified as poaching. The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) Monitoring the Illegal Killing of Elephants (MIKE) program estimated poaching of 22,000 elephants in 2012 across Africa, and the IUCN Species Survival Commission (SSC) African Elephant Specialist Group estimates that the number of elephants decreased from 550,000 to 470,000 between 2006 and 2013. Similarly, rhino poaching has reached a crisis point. In South Africa alone, which has by far the largest population of rhinos in the world, there were 1,215 rhinos poached in 2014. This is an exponential increase from the 13 rhinos poached in 2007. Poaching is a major threat to the survival of some iconic species populations and a significant cause to declines of populations of various other important species. For example, poaching threatens populations of big cats, pangolins, gorillas, and many other keystone species in Africa and Asia.

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<sup>85</sup> Illegal wildlife trade, wildlife crime and illicit trafficking in wildlife are used interchangeably in this document. We are using the acronym IWT in this document. According to CITES, ‘Wildlife’ means all fauna and flora. ‘Fauna’ are animals and birds, such as tigers and falcons, but also include fish. ‘Flora’ are plants, such as orchids or cacti, but also include timber and non-timber forest products, some of which are illegally traded at very significant levels. ‘Crime’, as far as ICCWC is concerned, refers to acts committed contrary to national laws and regulations intended to protect natural resources and to administer their management and use. Wildlife trade is defined as any sale or exchange by people of wild animal and plant resources (TRAFFIC, 2007). Wildlife trafficking is defined as the illegal cross-border trade in biological resources taken from the wild, including trade in timber and marine species (European Commission). Illicit trafficking in wildlife includes both poaching and illicit trade. Poaching is the illicit harvest of an animal, including taking, that is not the allowed species, size, age or sex; using illegal equipment to hunt or fish; failing to acquire a permit to hunt or fish; and harvesting outside of the allowed season or place. Poaching is considered as part of the IWT. (USAID, Measuring efforts to combat wildlife crime. A toolkit for improving action and accountability. October 2015).

As poaching has become industrial in scale, with criminal organizations coalescing around the facts that wildlife is unguarded, poorly valued and its ownership remains unclear, responses to poaching remain fragmented with a focus on piloting new approaches. This poaching is facilitated by trafficking routes that are not guarded and over which regulatory authorities and private sector transportation entities have no incentives, will or tools to monitor for wildlife contraband.

For example, since 2009, nearly two-thirds of the large ivory seizures by number, and three-quarters by weight, have transpired as containerized shipping through seaports. This is not surprising as container shipping certainly represents the most cost-effective transport option for moving a commodity that is heavy like ivory and the risk of detection is, generally speaking, minimized. Indeed, container shipping presents a major challenge to effective law enforcement as only a small percentage (typically less than 5%) of the containers in trade are actually subjected to inspection of some description. For example, the port of Hong Kong processes over 19 million containers annually. Most African seaports lack expensive technical equipment such as cargo scanner machines that can scan containers. A further complication is that, in general, the focus of inspection in most countries is directed at import trade and surveillance of export traffic is comparatively ignored. Although the value of illegal trade remains uncertain, it has variously been estimated at between USD 5 – 20 billion per annum. These estimates suggest that wildlife crime is the fourth most lucrative type of transnational crime after illegal narcotics, humans and armaments.

IWT has a negative effect on development. When natural resources and wildlife are extracted illegally, it is effectively lost income—whether private income (lost wages or depressed prices in legal markets due to increased supply) or public income (foregone taxes and royalties where legal markets exist). Crimes affecting natural resources and the environment inflict damage on developing countries worth more than \$70 billion a year. Corruption balloons in concert with crime and degrades security and good governance. As the stock of biodiversity disappears, so too do the investment opportunities that attract the private sector, particularly in eco-tourism and various sustainable natural resource use activities, critical economic drivers in many African and Asian countries.

Habitat Conversion: We also see that improper land use planning is a major contributor to increased competition between different land uses and has exacerbated Human-Wildlife Conflict where protected areas are adjacent to human settlements. The main challenge to be addressed therefore is the fragmented land-use planning and management practices as they intensify competition for land and other natural resources, and create conflict among different users, with negative consequences on livelihoods and biodiversity. Although knowledge on how to effectively manage ecosystems is increasing, very little of the currently available knowledge is being utilized to manage the community land, agriculture farms, forest concessions, etc., to ensure that a landscape management approach to optimize each land use type.

In addition, the lack of ownership/value of wildlife to the communities who live with it has contributed to the loss of wildlife. Since wildlife is in most legal systems considered a state-owned resource, and since communities co-existing with wildlife typically bear the costs of loss of livestock, crops and life without gaining significant economic benefit from wildlife, the wildlife itself may have little or no net positive economic value to the community. What is lacking in most countries is a systematic dialogue on how to best ensure that communities benefit from land and natural resources, consistent with national priorities and legislation, in order to create the fundamental socio-economic conditions necessary for the long-term persistence of biodiversity in line with the objectives of the CBD.

To effectively address the current IWT crisis, seven urgent wildlife issues need to be addressed in a holistic and coordinated way. These issues are highlighted in Figure 1 and described further below.

**Figure 1: Seven Urgent Wildlife Issues**



1. **Insufficient coordination, knowledge, and capacity** – Stakeholders across the IWT value chain lack effective coordination mechanisms, knowledge, and technical capacity to comprehensively combat transnational smuggling and trafficking networks
2. **Disenfranchisement of local communities** - Communities who live with wildlife are often not provided with opportunities and incentives to directly and indirectly engage, manage, and benefit from these natural resources
3. **Lack of Enforcement** - Enforcement professionals are poorly resourced, inadequately trained, and there is an absence of merit-based state protected areas agencies
4. **High corruption levels** - Many low-paid enforcement and other government agency officials receive bribes to conceal wildlife crime
5. **Weak legal systems** - Many countries in impacted regions still do not consider wildlife poaching and illegal trafficking a serious crime
6. **Ad hoc land use planning, intensive production, and infrastructure development** – Competing demands for land use reduce wildlife management areas to allow for agricultural or other expansive development programs. This exacerbates the loss of wildlife and creates conflict among different users, leading to negative consequences on both livelihoods and biodiversity
7. **Lack of awareness and unsustainable demand** - Current national and global efforts to raise awareness and reduce consumer demand for illegally traded products are inadequate and insufficient to change consumer behavior

The global coordinating child project will directly address the urgent issue related to insufficient coordination, knowledge, and capacity.

## 2) BASELINE SCENARIO

This project builds on the recent recommendations of several national, regional and international summits and meetings convened to address the escalating crisis in the illegal wildlife trade. This project builds on recommendation of several national, regional and international summits and meetings convened to address the escalating crisis in the illegal wildlife trade. Some summits have resulted in clear political commitments, including the CITES COP 16 and SC66, the establishment of the International Consortium to Combat Wildlife Crime (ICCWC)<sup>86</sup>, London Conference on the Illegal Wildlife Trade in 2014 and the African Elephant Summit in Botswana. The recent release of the European Commission’s Strategic Approach to Conservation in Africa as well as the African Environmental Ministers Meeting (AMCEN) is evidence of increasing political commitment. In 2013-2014, no fewer than 18 declarations and pledges stemming from these meetings were committed to by governments, IGOs and NGOs, to tackle the illegal wildlife trade and improve wildlife management. These declarations embody comprehensive approaches to stop poaching and trafficking, reduce the demand and engage communities in wildlife management and seek to enhance their livelihoods.

Comprehensive advances and collaborative initiatives have been put into place across source, transit and destination countries to combat illegal trade in wildlife through CITES, ICCWC partners individually and collectively, cross regional initiatives such as Operation Cobra, regional initiatives such as Wildlife Enforcement Networks, work from IGOs and NGOs and at the national level through national plans. This project will leverage the efforts and activities to combat wildlife crime that key agencies are carrying out and with whom this project is associated. An overview of IWT activities of these agencies is included in **Annex 1**.

## 3) ALTERNATIVE SCENARIO

To capitalize on their long-lasting support to African and Asian countries’ efforts on biodiversity conservation, the World Bank Group (WBG), the United Nations Development Programme (UNDP), the United Nation Environment Programme (UNEP), World Wildlife Fund (WWF), International Union for the Conservation of Nature (IUCN), and the Asian Development Bank (ADB) launched a collaboration on a *Global Wildlife Program (GWP)*. These GEF implementing/project agencies joined forces with developing country governments, the GEF, and various donors and conservation partners, including the CITES Secretariat, WCS, Traffic and WildAid to address the wildlife crisis while contributing to poverty reduction and sustainable development. In June 2015, the GEF Council approved the seven-year GWP<sup>87</sup> with an initial investment value of **US\$ 90 million GEF** funding for **12 projects** - eleven national projects in Africa and Asia and one global project executed by the WBG/UNDP. Each of these projects will be leveraging from other donors around US\$ 513 million in kind/cash and other grants or loans.

The national projects tailored to specific country needs and investments will ensure optimization of economic benefits from natural resources management, strengthening protected areas, support to anti-poaching, tourism development, training on park management and reinforcement of criminal intelligence, livelihood development compatible to conservation and landscape planning and biological corridor

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<sup>86</sup> The International Consortium on Combating Wildlife Crime, ICCWC, is a collaboration between the CITES Secretariat, INTERPOL, UNODC, World Bank and the World Customs Organization. Each member organization conducts a number of anti-wildlife crime activities under their specific mandate, collaborating on certain projects.

<sup>87</sup> The formal title of the GWP is “Global Wildlife Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development”.

development. The WBG will lead the global coordination and knowledge exchange components of the GWP (this TA), to enhance the individual results achieved by national projects. UNDP will lead a coordination and learning effort to promote best practice ports & collaboration between African and Asian countries and agencies involved in efforts to reduce maritime transport of illegal wildlife products, especially ivory. The global project will enhance coordination among stakeholders, monitor outcomes of national projects, support preparation, develop a knowledge management platform, and strengthen key institutions involved in wildlife law enforcement through support to ICCWC. The WBG coordination activities will help maximize the potential national project impacts.

National governments, in partnership with NGOs, CSOs, will execute each national project. The initial countries included in the program are Botswana, Cameroon, Congo (2 projects), Ethiopia, Gabon, India, Indonesia, Mozambique, Tanzania, and Zambia. Eight additional countries submitted projects for inclusion into this Program.

When the 9 additional national projects are approved by the GEF council, the Program will include 21 child projects. This will represent a GEF investment of US \$131 million, Co-financing will be provided from various sources, including GEF agencies, recipient governments, donor agencies, CSOs, and the private sector. It has been estimated to a total of US \$704 million in co-financing. The type of co-financing will include in-kind, grants, loans, and cash. Table 1 contains additional information on the individual projects, amounts, and the responsible GEF implementing agency.

Collectively, these national projects form a program that can support the scaling of IWT solutions and technical interventions. A highlight of key GWP features are included below.

**The Program will intervene along the illegal supply chain.** Priority Program investments focus on emergency short-term interventions to combat wildlife crime and ensure land use planning reflects the real value of wildlife, while establishing longer-term incentives. Emergency interventions focus on stopping poaching, trafficking, and illegal trade. Longer-term interventions focus on promoting sustainability, community benefits, and effective governance by communities, including through land use zoning and natural resource rules and practices.

**The Program uses a multifocal approach to address all the by-products of the wildlife crisis.** The root causes of wildlife crime are the poverty of local communities and the seven urgent wildlife issues previously referenced. To address this crisis, an integrated and scalable program establishes the platform to introduce optimal interventions at a landscape level and across multiple economic sectors.

**The Program targets Program 3 of the GEF-6 (2014–18) Biodiversity Strategy, *Preventing the Extinction of Known Threatened Species*,** a newly designed program focused on hunting, poaching, and the illegal trade of endangered species. The Program also targets other focal areas and strategic objectives of GEF-6, including biodiversity, land degradation, climate change, and sustainable forest management.

**The Program seeks to increase coordination and leverage resources among donors.** The Program aims to coordinate donor investments to enhance biodiversity conservation, natural resources management, tourism development, and poverty reduction. A key guiding principle is the establishment of stronger incentives for local communities to engage in wildlife and natural habitat protection while reducing their poverty levels and for public-private partnerships to support sustainable local development at the landscape level.

**The Program will leverage knowledge and partner capabilities from other development sectors** (such as transport, trade, and financial sectors) and the private sector. New integrated approaches, methodologies, and technologies can enhance targeted site interventions and data driven decision-making to successfully combat wildlife crime.

**The Program will have global, regional, and national interventions.** The WBG global coordinating project will establish a learning and coordination platform to promote enhanced IWT interventions and increase technical capabilities. Country-based and regional projects will focus on designing and implementing national strategies to improve wildlife and protected area management, enhance community livelihood benefits, reduce poaching, curtail IWT, and reduce demand.

**Each project will secure significant co-financing from governments and other sources** to apply the GEF incremental funding as a catalyst to strengthen the effectiveness, breadth, and sustainability of the GEF investment. The global coordinating grant will leverage \$65 million in co-financing.

#### 4) PROGRAM OBJECTIVE, INDICATORS AND COMPONENTS

The objective of this global learning and coordination child project is to create and implement an effective coordination and knowledge platform for the GEF funded *Global Wildlife Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development*, which is fully described in the program framework document (PFD)

The key project indicators are:

- Establishment and functioning of a Program Steering Committee (PSC)
- Program monitoring system successfully designed, developed, and deployed
- Establishment of a knowledge exchange platform to support Program stakeholders
- Increase in the proportion of seizures that result in arrests, prosecutions, and convictions

The WBG and UNDP will lead this child project, with a focus on the following five components:

1. Program coordination and communications (WBG)
2. Monitoring and evaluation (WBG)
3. Knowledge management (WBG)
4. Reducing maritime trafficking between Africa and Asia (UNDP)
5. Strengthen Institutions (WBG)

These components will support intergovernmental and donor coordination, regional strategic planning, the use of M&E tools and geospatial services, knowledge exchange and learning opportunities, capture of lessons learned and application of best practices, peer reviews, and development and implementation of a program communication strategy. Detailed information on each of the WBG/UNDP components are included in the section below.

##### **Component 1: Program Coordination and Communication (WBG)**

This component will coordinate and maintain extensive and continued stakeholder engagement at national and international level to support all components of the project and to strengthen the impact of national, regional and international processes committed to reducing wildlife crime. Stakeholder coordination is challenging due to the number of players in the IWT field. To facilitate coordination, this component

includes a donor portfolio analysis effort to help map IWT investments to reduce poaching, strengthen community-based wildlife management and tourism development, curtail trafficking, and reduce demand for illegal wildlife and wildlife products.

- a) **Program Steering Committee (PSC):** A Program Steering Committee (PSC), chaired by the WBG, and comprising the GEF secretariat, GEF Implementing/Project Agencies (UNDP, UNEP, IUCN, WWF, and ADB), and key partners who are leaders in the field<sup>88</sup> was established in September 2015 as an advisory mechanism to maximize synergies and support the successful design and implementation of the Program. The main role of the PSC is to provide a coordination forum and a monitoring platform during the preparation and implementation phases of the Program. It will also provide an overall, high-level, coordination of the technical alignment and synergy between the Program's components. It will meet virtually every quarter to track progress and provide opportunities for cross-fertilization. It will meet face-to-face once a year in a different project site to increase uptake of lessons and build synergies. Members of the PSC also participated and played an active role in the Gland knowledge exchange event in January 2016. PSC members also participated in task force activities to contribute to enhancements to the results framework and KM. The lead agency and the PSC will play an important role in ensuring that the child projects align with the Program's objectives, theory of change, and leverage opportunities to enhance capacity and project quality. **Annex 2** includes the terms of reference (TOR) for the PSC.
- b) **Donor and Government Coordination:**
- i. Donor Forum: A coordination mechanism will be established to assist national projects and major donors investing to combat wildlife crime in/around Program countries/sites to ensure that investments are synergistic and that poaching hotspots cannot simply move to an area where there are no investments. This activity will include information exchanges with other donors, NGOs, and development agencies (i.e. EU, USAID, USFWS, WWF, AWF, ADB, AFD, IUCN, and others) and roundtable discussions that will occur during conferences or workshops. National projects may also foster donor coordination at the national level. The WBG is currently leading an effort with other donors to map the financial flow of funds to combat IWT. An initial in-person meeting was held at the CITES Standing Committee 66 meeting in Geneva, Switzerland on January 2016. In February 2016, a portfolio review task was initiated through a virtual meeting, and will be the beginning of an effort to analyze donor funding and in the future, identify potential gaps and synergies. **Annex 3** includes the draft terms of reference (TOR) for the portfolio review; and
  - ii. Coordination among government agencies: The executing agencies of the Program will have opportunities to participate in the KM platform and the monitoring and evaluation components. Each agency will present annually on progress made against established outcomes and share successes and challenges. This annual meeting will allow cross-border coordination, south-south learning, and other common experiences to enhance learning.
- c) **Communications:** The WBG will develop and implement a communications plan that will provide guidance and a protocol for Program communications to various audiences across different channels. The WBG will leverage existing communications activities, methods, and channels to reach desired audiences, and integrate new tools where feasible. Sample communications products include: (i) Brochures, website briefs, presentations, and publications; (ii) An online platform to deliver two-way communications for the Program, which may include frequently asked questions (FAQs) and other proactive information to improve coordination among Program stakeholders and other donors; and (iii) A social media presence, to include blogs and discussion forums, to reach diverse audience. WBG will also communicate Program information

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<sup>88</sup> Existing key partners include: (i) TRAFFIC; (ii) WCS; (iii) CITES; and (iv) WildAid.

to donors, the GEF Council, Scientific and Technical Advisory Panel (STAP<sup>89</sup>), and other key stakeholders to provide information on Program's impact. To the extent possible, the WBG will leverage Program/national project reports, data, and analytical information (i.e. GIS analysis) to include in communications strategies and tactics. Communications activities will help to publicize the GWP, raise awareness to key IWT issues, and potential solutions. In addition, the project team will assess the potential to create a communications package that national projects can leverage to inform their stakeholders of project progress and key messages. The team will also leverage no cost/low cost survey tools (i.e. survey monkey) or various forums to communicate with and obtain feedback from program stakeholders.

## **Component 2: Monitoring and Evaluation (M&E) - (WBG)**

An important component of the Program is the monitoring and evaluation framework. The WBG will lead the design, development, and deployment of a robust M&E framework for the Program. The M&E framework is a central Program component and allows the WBG to track Program outcomes and ensure alignment of child project activities with specific Program components. The M&E framework includes an impact indicator, outcomes, and effectiveness indicators to measure the impact of the Program and progress against various performance measures.

The WBG, with input from the PSC, STAP, and national project partners has designed the M&E frameworks that includes Program level outcomes and indicators. The next step is communicating those indicators to child projects, and providing guidance and training to support adoption of the Program level indicators. **Annex 4** presents the indicative Program results framework. The WBG will consolidate information on indicator sources, methodologies, and a data dictionary to document tools and resources child projects can follow to use and report on the indicators aligned to the Program level. In addition, to the extent required, the WBG will work with the GEF and other stakeholders to create/tailor reporting templates, tools, and processes to facilitate the national project reporting. The M&E framework will enable analysis of Program results and communications of progress to the GEF council and various other stakeholders. The Program-wide reporting will occur at baseline, mid-term, and conclusion of project. It is important to note that the current funding only supports reporting through the mid-term of the program, and that additional funding will be required to complete reporting through the conclusion of the program.

The Program level M&E framework will be built with information provided by the national projects who have the obligation to report to their Implementing Agencies. The WBG will consolidate project-level information to aggregate results at the Program level. The national projects will determine and implement the baseline, beneficiary assessments, and impact evaluation studies will be determined. The WBG will provide guidance, identify available technical resources and tools (where possible), and facilitate knowledge exchange activities to allow child project staff to share M&E best practices. In the design of M&E methodologies and guidance, the WBG has made special consideration to facilitate national project's use of the Program M&E indicators and follow efficient methods to measure and report on baseline and progress made. Periodically, the WBG will assess the indicators and its effectiveness in measuring consolidated project performance and Program outcomes.

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<sup>89</sup> The STAP will provide advice for the global program on scientific and technical issues related to the overall strategy of the program as well as potentially on individual national projects. STAP will contribute to the knowledge management activities, including leading or assisting the development and implementation of technical workshops under the knowledge management. STAP may also assist with identification of case studies for capturing lessons learned, conducting field studies, especially related to communities and livelihoods.

As the majority of the Program interventions will be done at the national project level, delays in their implementation or reporting on results will directly influence the impacts and results the GWP can report on. The project team will work with the IAs to monitor progress on project activities and implement different approaches to incentivize timely reporting, support national projects (to the extent possible) on use of tools, and organize M&E specific training opportunities during the first three years of the program (and beyond if additional funding is obtained).

To the extent possible, the WBG will leverage decision-support tools, such as Geospatial Information System (GIS) and other analytical tools, to display project and Program M&E data and activities. The WBG will explore the potential to consolidate and strengthen the GIS to include basic natural resource and socio-economic layer data, information on priority species, and information provided by the key donors on key intervention efforts at the global, regional, and national levels. In addition, as the WBG continues to pilot and test new mobile and digital platforms (i.e. Spatial Agent) that leverage open data sources, the Program will explore new ways to integrate publicly available data, or non-proprietary data generated by the Program or implementing partners to enhance information sharing and facilitate knowledge sharing.

### **Component 3. Knowledge Management (WBG)**

IWT is complex and dynamic. To effectively prepare and implement interventions that tackle wildlife crime across the IWT value chain, GWP stakeholders require the latest crosscutting knowledge of cost-effective tested solutions. Therefore, an essential Program component is knowledge management (KM) to scale up best practices, leverage lessons learned from south-south exchanges, and drive innovation. The WBG will lead the design, development, and deployment of a KM platform and processes to promote efficiency and learning amongst Program stakeholders. This will include making available specialized IWT knowledge, tools, and techniques to help Program stakeholders prepare and deliver targeted wildlife crime interventions for priority thematic areas and geographies. KM elements are included in all project components and value added learning activities will occur during both project preparation and throughout implementation. Based on the current project budget available, the current timeline for the KM activities is for the first three years of the project. The WBG can expand these efforts with additional funding. The KM platform will focus primarily on the national project executing agencies, the implementing agency's task team leaders and other Program collaborators and project beneficiaries. Initial WBG led KM activities will target the national project leaders. As the Program develops, needs are justified, and funding is secured, the WBG may consider additional learning activities to benefit other key stakeholders. A key consideration for the program is the team's intention to leverage a scalable platform that can support larger investments, additional partners, and data in the future. In addition, the team will explore how to enhance public-domain data availability (with special consideration for sensitive data that must be protected) on wildlife crime.

The KM platform will include three pillars, to provide an IWT: (i) knowledge exchange; (ii) repository; and (iii) lessons learned. The platform will include both distance learning and in-person activities to offer a range of knowledge content and delivery formats. This multi-pronged approach will allow the WBG to reach the diverse group of stakeholders involved in this Program to enhance their individual and collective ability to combat IWT. The KM component will promote integrated approaches, methodologies, and technologies to enhance learning among the national projects and related donor coordinated initiatives to combat wildlife crime. To accomplish this, it will apply the following approach:

- a) **IWT Knowledge Exchanges (KX)**: The WBG will coordinate various KX activities, including an annual meeting, workshops, just-in-time/action-oriented in-person and remote training, and field-based opportunities that promote south-south learning:

- i. **Bi-annual GWP Meetings:** The WBG will organize bi-annual meetings to bring together national project leaders to exchange knowledge, learning, and engage in an idea exchange forum. The bi-annual meetings will serve as an important mechanism for national project leaders to network, present project results, obtain input from peers and get inspired by hearing from leading practitioners and conservation visionaries. At current funding levels, the WBG expects to organize two meetings annually and cover costs related to the venue, Program support staff expenses, and the costs associated with some of the featured speakers. National projects will cover expenses related to their preparation and participation for the meeting<sup>90</sup>;
- ii. **Structured In-Person Workshops and Virtual Sessions:** The WBG may consider implementing targeted workshops and guided learning sessions to provide Program stakeholders with opportunities to learn and share knowledge. Events may include lectures, panel discussions, expert interviews, and collaborative training sessions. The topics and target audience for the workshop events will be determined based on national project partner priorities and implemented in consultation with the PSC and ICCWC partners. These events will share information on relevant applied solutions and ideas to address real-world IWT challenges and opportunities. The WBG may at time, cover costs for experts presenting at select workshops. The WBG may use the Global Development Learning Network (GDLN), WebEx, and Adobe Connect platforms to facilitate interaction and forge partnerships amongst Program peers. These events will disseminate IWT knowledge, facilitate active discussions on various interventions or project developments, and bring cutting-edge global or south-south knowledge to project audiences. If possible, WBG will consider video technology and record sessions to make knowledge available to audiences unable to participate live or in person. The WBG expects to cover costs related to connect GDLN sites, and minor expenses for refreshments for participants that join the live meetings. National project participants will incur costs related to transportation or any other costs to join learning activities<sup>91</sup>. The first technical virtual session was held on February 29, 2016 and focused on one of the topics introduced a the Gland knowledge exchange event (i.e. site-based law enforcement monitoring tools);
- iii. **Communities of Practice (CoP):** The WBG may consider establishing an IWT e-Community to allow IWT practitioners globally to share ideas, experiences, resources, and tools. The WBG may cover initial costs to establish the e-Community platform and limited outreach activities to increase awareness of this e-Community. If additional financial resources are identified, the WBG may consider leveraging more formal resources, such as the e-Institute, to provide more structure learning opportunities to targeted audiences; It is important to note that there already are a significant amount of learning resources available, and wherever possible efforts will be made to leverage and integrate those existing efforts to minimize overlap. For example, the CITES Virtual

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<sup>90</sup> For the initial face-to-face meeting, the WBG had to pay for the flight, accommodations, and food expenses for a representative from the 10 approved national projects. This was required as the project preparation grant (PPG) was not yet available for the majority of the GWP countries, and the expenses had to be covered to allow for their participation. In turn, as IUCN offered its headquarters main meeting space for the venue, and with the exception of one specialist, the WBG did not have to pay for any of the technical experts to participate and deliver presentations. For future event, the WBG will work with the PSC to ensure that KM activities are targeted to the appropriate audience, and the adequate level of cost share is reached to ensure maximum benefits and commitment from the global and national project perspectives. Still, based on lessons learned from other similar programs (i.e. Global Tiger Recovery Program), the global coordinating project may have to fund at least the costs of the participants for one of the face-to-face meetings in order to ensure adequate level of participation.

<sup>91</sup> For the initial KM event with project partners help in December 2015, the WBG connected participants through Bank offices and WebEx. A professional translator was also covered by the global grant to support participation of one of the national project leaders (in the Republic of Congo). For the Gland knowledge exchange meeting, a national project stakeholder was also connected through the WBG's videoconference resources in the Maputo, Mozambique office. The event was also recorded and made available to Program participants.

College has interactive courses, a library and a training center. Similarly, many CoPs already exist (i.e. IUCN species specialist groups, etc.);

- iv. **Field Visits and Study Tours (Field Visits)**: The WBG may consider organizing and/or supporting field visits and study tours to specific countries in Africa or Asia to bring together Program stakeholders to share knowledge and meet specific learning goals. The WBG may use these types of learning events to provide national project delegations with on-the-ground joint experiences of specific IWT challenges. The WBG will consider field visits for unique circumstances, for a set of Program stakeholders and will blend these activities with preparatory virtual meetings and well-defined follow-up actions. If possible, WBG will consider video technology use to make Field Visit knowledge available to audiences unable to participate in field activities. The project team will collaborate with STAP and the PSC on potential study tours, and will attempt to organize such efforts in conjunction with other KM activities or global/regional meetings to minimize participant costs. For example, the project team will discuss with STAP, the PSC, and ICCWC the potential to organize a study tour in FY'17 to include some of the national project implementers. Potential topics to consider include the role of communities in combatting IWT and forensics analysis to track illegal trade. Prior to selecting topics and field-based capacity building efforts, a systematic process and approach will be established and followed to ensure that various successful examples are considered so that national projects can learn from. In addition, where possible exchanges with and participation of other IWT projects/programs may be considered to maximize learning opportunities;

- b) **IWT Knowledge Repository (K-Repository)**: During project preparation, the WBG will identify a repository, or online platform, to store/disseminate knowledge products and facilitate collaboration. The WBG will make special consideration to identify and use cost-effective, user-friendly, and scalable technology platforms to support this global program. The WBG will identify access, functionality, security and other requirements for different Program stakeholders, and deploy optimal solutions to support documented requirements. Examples of potential existing tools the WBG will consider include: (i) Box (which the PSC and the Gland knowledge exchange participants are currently using to store and share documents amongst members<sup>92</sup>); (ii) Collaboration for Development (C4D); and (iii) other more dynamic tools currently in use by other WBG-led programs or recommended by PSC members. The K-Repository will be used to:

- i. **IWT Knowledge Products**: Store and disseminate Program knowledge products. These products may include documents specific to the Program and/or national projects, outputs of meetings and learning events, and knowledge resources developed by various partners that contribute to the IWT Program knowledge base. The recently completed Gland knowledge exchange report, meeting pictures, and recording were uploaded to the Box site. Other illustrative KM tools that may be included are toolkits (i.e. the publicly available ICCWC Wildlife and Forest Crime Analytic Toolkit, MIKE Law Enforcement Capacity Assessment Forms, and resources related to the Spatial Monitoring and Reporting Tool (SMART));
- ii. **IWT Subject Matter Expert Discovery (SME Discovery)**: The WBG, in collaboration with the PSC and the ICCWC partners, may also identify and disseminate information on regional and technical expertise/resources. The WBG may use the K-repository or another tool (i.e. C4D) to

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<sup>92</sup> Box has also been used to prepare for and share information for the recent Gland knowledge exchange meeting and the donor portfolio analysis efforts. As of February 11, 2016, over 200 documents have been shared through this folder and various subfolders and access rights have been provided to share knowledge products across stakeholders. This allowed for event participants to virtually download required documents, and avoided time and resources to print dozens of presentations and background documents. Over 50 collaborators, mostly from external organizations, have access to the Gland event presentations, reports, and other background material. Many of them have uploaded presentations and other knowledge products to this folder or sub-folders.

collect and disseminate information on IWT experts. In designing the functionality for SME discovery tool, the WBG will consider tool functionality, accessibility, and other requirements that allow the experts to directly populate and maintain their information. Additional input from the national project partners, the PSC, and experts used for knowledge exchange events will be used to determine tool that best supports the program. In the meantime, the project team may consider populating an excel expert tool to document information on some experts

- a) **Lessons Learned (LL)**: The WBG will assist in the capture and dissemination of IWT lessons learned and best practices. Specifically, the WBG will conduct various activities to disseminate existing LL and capture lessons learned from existing programs and/or national project activities. The WBG may capture new LL on optimal conservation and environmental crime prevention approaches against clear impact criteria and a well-defined and agreed theory of change. This will involve establishing a process for the Program that will allow national projects to capture and disseminate LL on their projects and for the WBG to consolidate this information across the portfolio. A systematic approach will be developed, in consultation with the PSC and STAP, to evaluate potential case studies and determine a process to select and document LL. A portfolio approach to capturing and disseminating will facilitate identification of best practices, important lessons, and innovative solutions to scale the most effective solutions across the Program. The WBG will capture LL through review of formal and informal national project reports, learning events, and collaboration with the PSC, STAP, and other donors. National projects will use project funds, including PMC funds, to document and report on lessons learned from their projects. The WBG may also commission a study to capture lessons learned across the Program. In addition, the WBG may consider linking and disseminating LL from other relevant GEF programs, including:
- i. Snow Leopard;
  - ii. Global Snow Leopard & Ecosystem Protection Program;
  - iii. Global Tiger Recovery Program (GTRP);
  - iv. Cape Action for People and the Environment (CAPE); and
  - v. Adaptation Learning Mechanism: Learning By Doing (web platform).

The WBG will leverage the M&E framework, the communications activities, and donor coordination efforts to maximize utilization of relevant products and decision-making tools (including geospatial information tools – GIS) for KM activities. Periodic evaluations of the effectiveness of KM activities will help ensure Program stakeholders derive optimal benefit from participation and active contributions in priority KM efforts. As part of the donor coordination efforts, the WBG will identify past and current GEF and other donors projects supporting IWT in recent years. This information will be used to enhance coordination, and can also help with knowledge exchange and lessons learned. During project implementation, considerations will be made to determine how best to engage the project participants with stakeholders involved in other programs/projects. For example, joint participation in knowledge exchanges, field visits, or virtual events can support sharing of lessons learned. The funding availability and prioritization will determine how much of this exchange you suggest we will be able to accomplish. The team will consider “big data” initiatives that can be leveraged to improve public-domain data availability. Additional discussions and input is required to identify the optimal online mapping and data services that can be leveraged to support this program. The team will consider potential collaboration with USAID, local universities that have global networks, and other development partners/academia to discuss opportunities for joint innovative competitions and knowledge exchanges.

#### **Component 4. Reducing Maritime Trafficking between Africa and Asia (UNDP)**

This component aims to tackle the maritime trafficking of wildlife products, (such as ivory), from Africa to Asia, by strengthening capacity at priority seaports to detect and investigate trafficking and by improving

South-South cooperation between relevant agencies. The component aims to go beyond the status quo of making seizures as an enforcement measure, and increase opportunities for intelligence-led investigations and prosecutions. This component will involve close collaboration with a comprehensive range of stakeholders, including national governments, UN agencies and other intergovernmental and non-governmental organizations, United for Wildlife partners (including the UfW Transport Task Force), enforcement agencies (including police and customs) and key private sector stakeholders.

- a) **Strengthening capacity and incentivizing performance at ports.** Efficiency and effectiveness of r management and inspection of container cargo will be enhanced at selected ports identified as key trafficki hubs. A best-practice ports incentive scheme, and a corresponding self-monitoring system (a “Port Managem and Anti-Trafficking Evaluation” tool, “PortMATE”), will be developed and piloted at these focal ports : monitoring and improving a number of holistic activities necessary to effectively detect and deter illegal wildl trade via shipping. These will be promoted at ports as part of this project as well as through coordination w other relevant national projects within the GEF Global Partnership programme.
- b) **Changing behavior among industry stakeholders.** Awareness raising and anti-corruption campaigns will be conducted amongst port industry stakeholders to lower incentives for engaging in wildlife trafficking and incentivize participation in better practice.
- c) **Strengthening South-South and inter-agency cooperation.** South-South cooperation between source, transit and destination countries will be supported through joint training and strengthening of communication mechanisms to increase detection of wildlife contraband, as well as to strengthen capacity to conduct controlled deliveries between ports, in collaboration with ICCWC partners. Coordination will also be strengthened between criminal justice agencies at a national level, such as through developing the relationship between customs, police and prosecutors. Steps will be taken to enhance relevant international frameworks for greater international focus and cooperation against illegal wildlife trafficking. Finally, rapid and coordinated responses to significant wildlife crime incidents events will be supported through the establishment of an emergency response fund.
- d) **Knowledge management.** A toolkit for improving port performance, based on lessons learned during the project, will be developed and disseminated to ports to maximize the impact of the project’s investment.

#### **Component 5. Strengthening Partnerships (WBG)**

This component will improve the capabilities of key partnerships or institutions to provide a leadership platform to enhance the effectiveness of organizations working across the IWT value chain. This will include supporting regional and global partnerships that the national projects can leverage. Specifically, this component will support: (i) ICWCC to increase the effectiveness of environment and natural resource law enforcement (ENRLE) in preventing, detecting, suppressing and recovering from criminal activities; and (ii) other institutions that can improve community benefits and livelihoods.

- a) **Support to ICCWC:** This sub-component will support specific ICCWC activities designed to promote effective law enforcement nationally and internationally. The WBG will work with ICCWC members to determine priority activities to consider supporting. Potential considerations include development or enhancement of diagnostic tools, training efforts (including guided enforcement operations and forensics analysis capacity building), and regional/country-specific efforts to help law enforcement in Program countries to better track and investigate illegal consignments of elephant ivory, rhinoceros horn, and other priority wildlife products. Specific regional and national activities that support enhanced analysis of the nature and modalities of wildlife crime and introduce or reinforce techniques to deliver better compliance

and enforcement may also be considered. The WBG will focus on ICCWC value-added activities, as defined in specific work program documents, that ICCWC members can implement to build capacity of Program country ENRLE agencies, strengthen law enforcement networks across agencies and national borders to combat major wildlife crimes, and enforcement cooperation and coordination. Potential activity examples include: (i) mapping major source areas, trafficking networks, and end markets through training or other collaboration with customs agencies, deployment of technologies, or similar techniques; (ii) sharing lessons learned on effective interventions; (iii) revision or application of toolkits for law enforcement, trade and customs officials, and others to expedite its use and results; and (iv) deliver trainings to build capacity to use these tools. The WBG will consider activities that strengthen communication and collaboration amongst agencies, especially those that ease authorized access to intelligence-led information to strategic approaches to investigation of suspicious port activity and/or deliveries. Activities considered will rely on joint interventions based on solid problem diagnosis, supported by application of the ICCWC wildlife crime toolkit, DNA analysis, or other techniques. In addition, activities that focus on criminalizing kingpins rather than local communities, and applying best international practice across the prevention, detection, deterrence, and recovery agendas in law enforcement will be prioritized. Interventions may include work on corruption, trade and facilitation, or potentially anti-money laundering. The WBG will identify specific activities in collaboration with ICCWC members and will issue a memorandum of understanding (MOU) for the specific activities that it will support;

- b) **Other institutions:** The WBG will collaborate with various development partners during the project implementation, and identify key institutions to support that can deliver community benefits and enhance livelihoods. In selecting additional partners to support, the WBG will use the following criteria: (i) impact to national projects; (ii) ability to leverage co-financing, including private sector funding; and (iii) capacity to introduce state of the art knowledge, expertise, and technologies to maximize benefit of solutions deployed to Program sites.

**Project Financing:** The Project will be funded by two GEF grants. One US\$5 million grant to the World Bank to execute component 1, 2, 3 and 5 and one US\$2 million grant to UNDP to execute component 4. Each component will be co-financed by different donors. Detailed estimated annual budget by component and agency is presented in **Annex 5**.

#### 4) INCREMENTAL REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF AND CO-FINANCING.

The Project will provide incremental funding across the suite of project interventions that builds on the existing funds to fight wildlife crime at the domestic level, as well as on financing from development assistance that focuses on supporting stronger NRM in pursuit of ending wildlife crime. Governments will provide substantive and significant co-financing in cash, grants, and in kind for the projects related to the proposed interventions (including investments in the Protected Area system, law enforcement on site and along the criminal chain), upcoming loans from MDBs, contributions from the UN Agencies country programs, development agencies (i.e. GIZ, USAID), and grants from other donors, including commitments resulting from the EU's "Larger than elephants: Inputs for the design of an EU strategic approach to Wildlife Conservation in Africa", the Clinton Global Initiative, and the US National Strategy for Combating Wildlife Trafficking.

#### 5) GLOBAL ENVIRONMENTAL BENEFITS AND/OR ADAPTATION BENEFITS

This Project focuses on leveraging economies of scale and delivering results more quickly through coordination and knowledge management. Doing this will have immediate and longer term socio-economic benefits for all relevant stakeholders to include all participating agencies and organizations in addition to

countries with limited capacity to address wildlife crime. Combating wildlife crime saves species but it also curbs corruption. This also directly benefits local people often kept poor by the bevy of corrupt practices that forestall development and progress. Moreover, combating wildlife crime reduces insecurity and crime in rural areas that otherwise lack the assets that attract crime. It will also ensure species and their habitats are better managed and more resilient, thus creating the conditions for communities to continue to use nature as a social safety net, particularly as climate change uncertainty exacerbates already tenuous lives.

Local and national treasuries benefit in two ways: first, increased revenues from legal trade in natural resources are assured as the risk of contraband entering trade chains is reduced, and legal businesses that benefit from reduced corruption and a better and safer business environment, can provide improved tax revenues. Governments can also legally exploit natural resources in a sustainable way rather than simply watch as that asset is strip-mined, robbed and ruined.

International trade benefits from removing illegal contraband from trade flows, which in turn reduces the cost of surveillance and detection. Removing contraband also speeds up trade flows and reduces the risk of shipments being seized or stopped at borders when legal goods as well as contraband can be held up indefinitely.

## 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING-UP

**Innovation:** While there have been some projects and initiatives to protect single species (i.e. Tigers, 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, but rather on the mechanisms and underlying enabling conditions that provide the opportunities for criminal activity.

**Sustainability:** This program will innovate across technology, finance and governance pillars to reduce the cost of combating wildlife crime. Using a coordinated approach, the GEF agencies will work together and in collaboration with other key donors and interventions to shift the baseline for wildlife crime such that the risks will outweigh potential rewards, especially as the supply is reduced and demand dries up. Building good policies, the capacity to implement them and strong institutions across the criminal chain and in source-transit-demand countries, will establish the enabling environment for preventing IWT. The long term sustainability of improved NRM that underlies successful prevention and deterrence will rest in the hands of the National Governments and the agencies in charge of the management of these areas. Securing alternative development pathways that rely on a resilient and healthy wildlife stock – such as tourism – and that benefits communities will also reduce the opportunistic elements associated with this crime.

**Potential for scaling-up:** The program will catalyze different innovations across its child projects and then coordinate learning that can be deployed at speed and scale across all sites. A particular focus on identifying consensus indicators to measure success and allow for causation to be established will allow for smarter investment going forward, which in turn can tap new streams of finance that are results based. The policy and coordination platforms will crowd-in investment going forward and ensure that future interventions can be more effective, accelerate delivery and results, and avoid mistakes.

***A2. Stakeholders. Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:***

This project will build on a far-reaching network of stakeholders at the local, national, regional and international levels. At the national level, government commitment is key to the success and sustainability of the project, as described above. As a result, the project will provide a platform to magnify its interventions across all branches of government including the Executive, the Legislative, the Judiciary and Ministries of Justice, Finance, Tourism, Defense, Planning and Natural Resource Management, to name just a few. Working with law enforcement and protected area agencies with jurisdiction over the species and their habitats, rural communities dependent on natural resources for their livelihoods, the transportation networks illegal wildlife travels within, the borders it crosses and the court systems the criminals are brought before, is critical.

Given the role of the private sector (often unwittingly) providing the means by which contraband is trafficked, their engagement is also critical to the success of the Program. So too is raising awareness among the financing sector who enables the transportation industry to thrive. Moreover, the Program will actively engage with other private sector actors, particularly in the tourism and health sectors, to make links between the importance of thriving, live animals for their success and the role of rural communities in wildlife management (in the case of tourism), and the impotence of wildlife parts or products to cure disease or illness (in the case of the health sector). As part of Component 4, the project will engage closely with maritime industry stakeholders such as port management authorities, customs, freight forwarders and shipping companies, as well as international bodies involved in regulating and promoting good practice amongst the transport and trade industries.

The project will also provide a single-platform to feed innovations and policy developed into the myriad regional and global bodies working on wildlife crime, and to transfer knowledge from these bodies to the child projects. In particular, the Program will work closely with ICCWC and its constituent partners (UNODC, Interpol, CITES Secretariat, WCO and WBG), as well as United Nations agencies tackling illegal wildlife trade and the EU and US inter-agency platforms to combat wildlife crime.

The project will also work closely, often through the national projects, with community-based organizations and local communities, who are invested in the sustainable management of biodiversity, including wildlife, and the income and job opportunities that it provides. The project will also work with national and international non-governmental organizations (NGOs) and private actors who will be a key part of the delivery of Program activities. These entities include traditional environmental and conservation organizations, tourism entities, business leaders, religious leader, celebrities, marketing firms and advocacy organizations with established expertise in wildlife management, community development, and deterring wildlife crime.

***A.3 Risk. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):*** The following initial set of risks have been identified.

Risks	Rating	Preventive Measures
Uncooperative Implementing Agencies increase coordination transaction costs and reduce joint learning	Low	Active Implementing Agencies (IA) participation in the PSC will facilitate communications and coordination across Agencies. Joint planning, knowledge management activities, and reporting will increase communications and engagement with IAs.

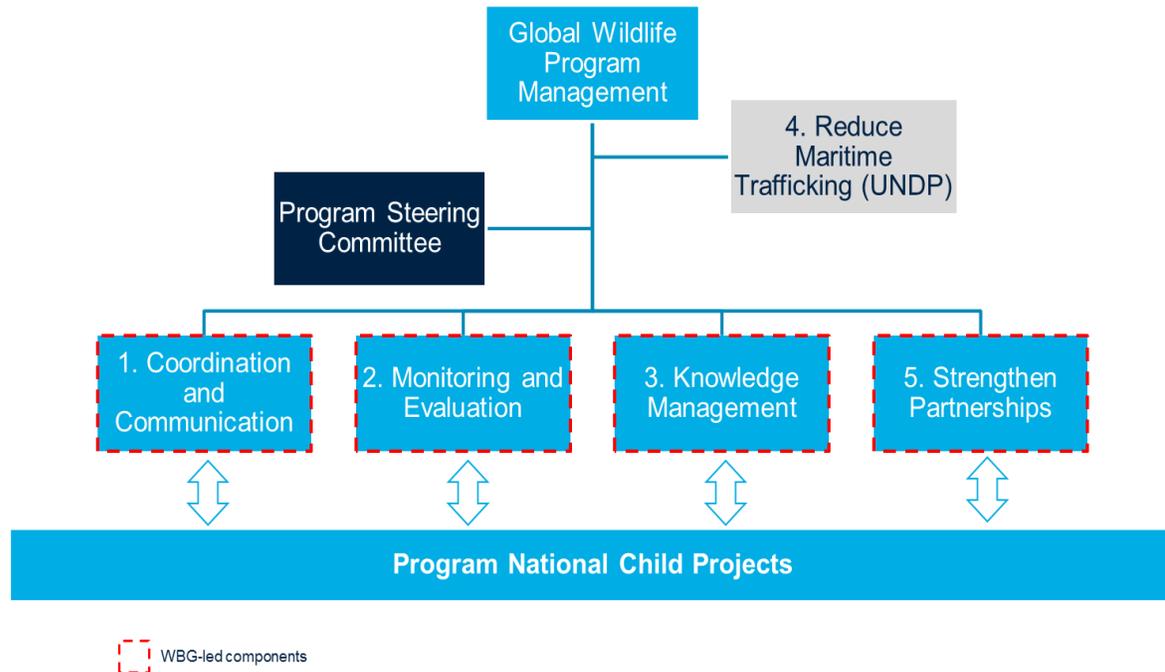
Insufficient funds to effectively support KM and M&E needs of program participants, especially in later Project years	Low	Current project funding will allow for activities to be carried out through mid-term evaluation (i.e. 3 years). Additional funding will be required to continue efforts beyond this timeframe. Frontload KM and M&E activities early on in the project timeline and make program visible through comprehensive reporting that demonstrates progress made and need for additional funds to keep momentum of coordination and KM activities.
Child projects will not be under the full control of the Program manager for the GWP and some child projects may lag behind others and slow down the delivery of outcome and the PDO	High	Collaborate with the PSC and IAs to obtain timely submissions of M&E reports and to allow executing partners to engage in KM activities. Develop and use an incentives system to motivate national project participants to stay engaged, on schedule, and deliver project outcomes.
Insufficient funds to effectively support all priority ports within the supply chain (in Africa and Asia) towards achieving best practice in law enforcement	High	Pending funding availability and costs (to be determined during PPG), a small number of ports will be selected for capacity strengthening, based on their importance in the trafficking chain and potential to improve performance. Whilst the project will not be able to cover all priority ports, it will enable the demonstration of the best practice model, which itself is a sustainable model due to resulting increases in revenue at ports. Efforts will be made to involve the private sector and others to assist ports to improve their performance, as part of incentive schemes. Upon the success of this project, it is expected that the model will be rolled out to other priority ports.
Not all WBGs and insurance companies globally take appropriate action to combat IWT leaving criminals/syndicates to continue illegal trafficking	High	This risk is real possibility, however the project is focusing on combatting IWT, and not necessarily preventing. The fundamental concept of the involvement of the private sector is to make it more difficult for criminals to operate, and this will be achieved by the project. Further, the project wants create the environment where there is peer-pressure from other private sector partners for companies to join, as it is the 'right' thing to do – its part of their social and environmental responsibility. By creating this environment, more private sector companies will join, making it increasingly difficult for criminals to operate re IWT.
Conflicts of interest and different priorities of stakeholders constrain implementation of activities	Moderate	Needs and priorities of stakeholders will be identified, and constructive dialogue, joint planning and problem solving will be promoted through the coordination mechanism. The case of economies of scale will be highlighted and the fact that illegal wildlife trade can only be reduced through a global effort involving supply, transit and destination countries.
Capacity limits of supply, transit and destination IWT countries especially institutional and human resources needs	Moderate	Capacity determines implementation and scope. Project design recognises this and there are several innovative approaches proposed to promote rapid learning whilst doing. An entire component is dedicated to Knowledge Management with e-learning, and exchanges forming important parts. A Lesson learnt from other regional, global projects was a technical strong and supportive Programme Coordination Unit that is able to assist and mentor national counterparts is necessary.

		During the PPG, this lesson will be further advanced through the design of the complement staff of the PCU.
Reducing wildlife poaching and illegal trade is complex. The involvement of militia and highly organized crime result in serious cases of heavily armed men killing park guards, in highly sophisticated smuggling and use of corruption and money laundering for the ivory trade.	Moderate	Organisations such as the UN Office on Drugs and Crime, the World Customs Organization, the CITES Secretariat and INTERPOL will be involved in project execution in some manner, however, coming up with a design that can tackle such a large program will be challenging. The project is designed using the best intelligence and experience to date to address this risk and will be very explicit about all the risk in the final design. By taking an analytical approach to diagnosing specific problems, and, by building constituencies and co-designing custom solutions, this risk is minimized.
Governmental agencies / private companies unwilling to share information / data	Low	Information and knowledge generation, management and dissemination are a key component of this project. Open-access and the mutual benefits of information sharing will be included in all agreements for databases, websites, etc. sponsored by the project.

The overall rating is Substantial. The complexity of the problem and coordinating key partners and at the same time delivering effective results in a timely manner is not straightforward. Lowering this risk will require that this program defines very clear and concrete indicators that can be monitored easily. During preparation, the monitoring tools and timeliness of the reports will be fully designed with engagement from all partners. The project's success will depend on the level of leadership that the WBG can show and the incorporation of the opinion of experts as well as the political commitment by national governments. There will not be this level of funding for wildlife in many years to come. This is the opportunity to make the difference.

***A.4. Coordination. Outline the coordination with other relevant GEF-financed and other initiatives:***

Coordination between WB and UNDP for this child project execution and coordination with other relevant GEF-financed and other initiatives will be done through the Program Steering Committee described in Component 1 and in the TORs (**Annex 2**). In addition, component 1 includes an important activity of donor coordination and intergovernmental coordination. The coordination of the child project is depicted in Figure 2.

**Figure 2. Organization diagram of the coordinating grant**

The maritime trafficking component of the project will also be implemented in close coordination with several other projects within the GWP which also have planned activities at ports. Engagement has been initiated, for example, with the Indonesia child project development leader, to collaborate on the design and implementation of capacity strengthening initiatives both at ports and for international cooperation between ports. Close communication will continue throughout the project, through workshops, site visits and virtual meetings, to maximize the alignment of activities and enhance cost efficiency and effectiveness of both projects.

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /NO  ). IF YES, WHICH ONES AND HOW: NAPAS, NAPS, ASGM NAPs, MIAS, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, ETC.:**

This project will contribute to achieving Target 12 of the Aichi Biodiversity Targets: “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.” The stakeholders involved have identified poaching and the illegal wildlife trade as a significant threat in their National Biodiversity Strategies (NBSAPs)

The project will reinforce the commitment of each of the participant countries to implement global, regional, and national frameworks, such as the Africa Union’s New Partnership for Africa’s Development’s Environment Action Plan (EAP), the Comprehensive African Agricultural Development Program (CAADP), and the United Nations Framework Convention on Climate Change (UNFCCC). The Program is also consistent with the Convention on the International Trade in Endangered Species of Flora and Fauna (CITES), an international agreement to ensure that the international trade in specimens of wild plants and animals does not threaten their survival.

The project will strengthen the implementation of existing continental frameworks and plans addressing wildlife crime from the supply side to consistently work with the findings of ICCWC's Wildlife and Forest Crime Analytic Toolkit, which has been applied in several range countries or is in the process of application in other participating countries. The results of the toolkit include comprehensive recommendations towards building capacity at the local and national level for all major governmental stakeholders involved with addressing wildlife crime issues.

At the regional level, the project will also consider the regional sectoral policies and strategies. For example, activities surrounding regional and global conferences which have outlined high-level government support for a strategic approach to wildlife crime will be included in the Program, for example, events such as the International Conservation Caucus Foundation's conference surrounding regional support and collaboration to stopping wildlife crime.

## ANNEX 1 – BASELINE FOR THE PROJECT

A number of agencies are conducting activities to combat wildlife crime, including INTERPOL, WBG, CITES, UNODC, WCO, UNDP, UNEP, WWF, IUCN. This section provides an overview of their IWT activities and various global and regional programs and related initiatives they support.

**ICCWC:** The International Consortium on Combating Wildlife Crime (ICCWC), is a collaboration between the CITES Secretariat, INTERPOL, UNODC, WBG and the World Customs Organization. Each member organization conducts a number of anti-wildlife crime activities under their specific mandate, collaborating on certain projects. The WBG and UNODC led development of the *Wildlife and Forest Crime Analytic Toolkit* in 2012. This toolkit is a technical resource to assist government officials in wildlife and forestry administration and customs. It also helps agencies conduct a comprehensive analysis of the strengths and weaknesses of preventive and criminal justice responses and other measures related to the protection and monitoring of wildlife and forest products, which are crucial to curtailing wildlife and forest crime both nationally and internationally. The Toolkit is available for all Governments interested in undertaking a national analysis mission with regard to wildlife and forest crime in their country. ICCWC will support requesting countries during the entire implementing process - including mobilizing funds, hiring experts, analyzing the results, designing and delivering technical assistance. Base on the results, ICCWC and relevant government authorities will design a work plan for national capacity-building programs and technical assistance delivery. The toolkit analysis has been conducted in a number of countries in Asia and Africa, and continues to be conducted during 2015.

**INTERPOL:** Facilitates and supports collaboration between police agencies in different countries around the world. It has an established and growing environmental crime program, has organized, and executed some of the largest operations against wildlife smugglers. INTERPOL's General Assembly has recognized the significance of environmental crime and the organizations ability to network and communicate at the highest levels of national law enforcement around the world makes it a natural partner in this program. INTERPOL cooperation with the WBG covers areas of anti-money laundering, as well as analytic work on illegal logging and capacity building and awareness on tiger crime and other wildlife issues.

**UNODC:** In 2014, UNODC formally launched the Global Program for Combating Wildlife and Forest Crime (GP). The GP is a four-year program aimed to link existing regional efforts in a global system, enhancing capacity-building and wildlife law enforcement networks at regional and sub-regional levels. The GP is working for and with the wildlife law enforcement community to ensure that wildlife crime, illegal logging, and related crimes are treated as serious transnational organized crimes. The GP aims to deliver through specific technical assistance activities designed to strengthen the capacity of Member States to prevent, investigate, prosecute and adjudicate crimes against protected species of wild flora and fauna. The Global Program for Combating Wildlife and Forest Crime/Sustainable Livelihoods Unit (GP/SLU) is the focal point for this work, which already embraces capacity-building activities in South East Asia, South Asia, East Africa and Latin America and coordinates the implementation of the Wildlife and Forest Crime Analytic Toolkit.

**CITES:** *The Convention on International Trade in Endangered Species of Wild Fauna and Flora*, (CITES), is the principal international instrument to control and regulate the international trade in protected species and suppress any illicit dealings in wild fauna and flora, aiming to ensure that international trade in specimens of wild animals and plants does not threaten their survival. The CITES Secretariat which has been working since 1975 is administered by United Nations Environmental Program (UNEP) and is located in Geneva. CITES is the single most important international instrument dealing with the illicit trade in fauna and flora being the only convention requiring State Parties to penalize some aspects of the illicit trade in protected species and enabling importing countries to seize illegally sourced fauna and flora.

CITES manages several important programs for IWT, including MIKE, ETIS, national legislation project, and the national ivory action plans. MIKE was established in 1997, with the overall goal to provide information needed for elephant range States to make appropriate management and enforcement decisions, and to build institutional capacity within the range States for the long-term management of their elephant populations. The primary mandate of the MIKE programme is to monitor levels of illegal killing of elephants at a sample of sites spread across the range of African and Asian elephants. There are 60 sites currently, across 30 countries in Africa and 13 in Asia. ETIS is a comprehensive information system to track illegal trade in ivory and other elephant products. It shares the same objectives as those set out for MIKE in Resolution Conf. 10.10 (Rev. CoP16), with the difference that its aim is to record and analyze levels and trends in illegal trade, rather than the illegal killing of elephants. The central component of ETIS is a database on seizures of elephant specimens that have occurred anywhere in the world since 1989. The seizure database is supported by a series of subsidiary database components that assess law enforcement effort and efficiency, rates of reporting, domestic ivory markets and background economic variables. These database components are time-based and country-specific and are used to mitigate factors that cause bias in the data and might otherwise distort the analytical results. The subsidiary database components also assist in interpreting and understanding the results of the ETIS analyses. Since its inception, ETIS has been managed by TRAFFIC on behalf of the CITES Parties and is currently housed at the TRAFFIC East/Southern Africa office in Harare, Zimbabwe. CITES has adopted key decisions on trade in elephant ivory and rhino horn, including the development of National Ivory Action Plans by the 19 countries most affected by the illegal trade, and CITES manages the program for the monitoring and analysis of the illegal killing of elephants and illegal trade in ivory, being MIKE and ETIS respectively.

***World Customs Organization – UNODC - Container Control Programme (CCP):*** More than 420 million containers move around the globe by sea every year, transporting 90 per cent of the world's cargo. Most carry licit goods, but some used to smuggle drugs, weapons, even people. The sheer volume of this international maritime container traffic, the sophisticated and often ingenious concealment methods, along with the diverse routings adopted by illicit drug traffickers and other smugglers, invariably makes successful interdiction difficult. As a response, UNODC and the World Customs Organization (WCO) jointly developed and launched the Container Control Program (CCP) in 2003. The CCP was implemented in Benin, Cape Verde, Costa Rica, Ecuador, Guatemala, Ghana, Pakistan, Panama, Senegal, Togo and Turkmenistan. The CCP aims to assist Governments to create sustainable enforcement structures in selected sea/dry ports in order to minimize the risk of shipping containers' use for illicit drug trafficking, transnational organized crime and other forms of black market activity. At the heart of the CCP is the creation and training of port control units (PCUs) at selected container terminals. These units are located in a secure environment, preferably inside the ports, and staffed by front line personnel who will be trained and equipped to systematically target high-risk containers whilst facilitating the free flow of legitimate trade. Training is also a component, as is the exchange of information with counterparts in other countries using a secure communication application developed by WCO called Container.

***Royal Foundation/United for Wildlife:*** United for Wildlife is an alliance between seven conservation organizations, led by the Royal Foundation of the Duke and Duchess of Cambridge and Prince Harry. The partnership is between Conservation International, Fauna & Flora International, International Union for Conservation of Nature, The Nature Conservancy, Wildlife Conservation Society, WWF-UK, the Zoological Society of London and the Royal Foundation aims to lead the way to substantially increase the global response to major conservation crises. The commitments of United for Wildlife cover the areas that the seven organizations are working on, namely:

- Strengthen protection on the ground with a strong emphasis on community incentives
- Reduce demand for illegal rhino horn, ivory, big cat and pangolin products
- Create a 'zero-tolerance' approach toward illegal wildlife trade in the private sector

- Strengthen criminal justice responses in supply and demand states
- In addition to the United for Wildlife coalition activities, published a report in 2015 by lawyers DLA Piper to explore legislative and judicial challenges relating to wildlife trade in 10 key countries: Cameroon, China, Democratic Republic of Congo, Kenya, Malaysia, the Philippines, Tanzania, Thailand, Uganda and Vietnam. Predominantly based on a desk-based research, each country report aimed to provide an overview of principal legislation on trade in wildlife, criminal penalties, ancillary legislation such as anti-corruption legislation are used to prosecute, assesses the local judicial process and capacity to enforce and concludes with recommendations.

***The United for Wildlife Task Force on Transport and Trafficking*** was established in order to increase understanding of trafficking of wildlife products and to increase cooperation amongst transport and wildlife law enforcement agencies in tackling the trade. The Task Force is composed of leaders of several areas of the transport industry as well as leaders in conservation, including the World Customs Organisation, Kenya Airways, Dubai Ports World, the International Maritime Organisation, UNDP-GEF, the Foreign and Commonwealth Office, and global law firm DLA Piper, as well as CITES, World Wildlife Fund and Wildlife Conservation Society, among others.

***TRAFFIC International - TRAPS***: TRAFFIC, the wildlife trade-monitoring network, is a strategic alliance of World Wide Fund for Nature (WWF) and the International Union for Conservation of Nature (IUCN) and is an international network, organized into eight regional programs. TRAFFIC has been successful in securing a grant from the US Agency for International Development (USAID) to implement the ‘Wildlife Trafficking, Response, Assessment, Priority Setting’ initiative known as “Wildlife-TRAPS” or “TRAPS”. TRAPS is a three year initiative has approximately ca. USD \$5m of funding available to tackle the illegal trade of terrestrial and marine wildlife between Africa and Asia. Wildlife TRAPS is likely to focus on a group of species products (i.e. including ivory and rhino horn) traded between Central and East & Southern Africa and East and South East Asia. Activities will be delivered through a three Phase ‘Framework Approach’: Phase I will focus on ‘Assessment and Priority Setting’; activities will include scoping studies, desk based research, semi-structured interviews and stakeholder mapping. Phase II will focus on ‘Collaborative Action Planning’ with Wildlife TRAPS stakeholders in order to identify the trade routes and species products that will be tackled through a suite of ‘non-traditional approaches’ delivered during Phase III.

***The World Bank Group (WBG)***: WBG management has taken on several actions: a) in 2012, the WBG partnered with the UN Office of Drugs and Crime, the World Customs Organization, INTERPOL and the CITES Secretariat and has collectively established the International Consortium for Combating Wildlife Crime (ICWC) program. The WBG provided DGF funds to the Consortium to catalyze awareness building around the issue of poaching, analyse the drivers and trade routes, and build the capacity of local and national government authorities to prevent, detect, and suppress wildlife crime. The WBG Environmental and Natural Resources Law Enforcement (ENRLE) Roadmap was endorsed in 2013. This Roadmap outlines how the WBG will mobilize internally to support client countries to build their law enforcement capacity to effectively manage their natural resources. In 2014, the GEF-WBG project PMIS (5359) "Fighting against wildlife poaching and illegal trade in Africa: the case of African elephants" approved US\$ 2 million seed funding to prepare the Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development, where the WBG is the lead agency. The WBG’s Economic Research team (DEC) partnered with the Africa Region and other organizations in an on-going study on the Economics of poaching and trafficking at global level to be released in October 2016. The WBG’s Financial Integrity Unit and Stolen Assets Recovery team in partnership with the Africa region is preparing training materials to leverage anti-money laundering detection techniques to address illegal wildlife trade.

***The United Nations Development Program (UNDP):*** UNDP works in over 170 countries and territories, helping to eradicate poverty and advance sustainable development that leads to transformational change and real improvements in people's lives. UNDP promotes an integrated approach that tackles the connected issues of multidimensional poverty, inequality and exclusion, resilience and sustainability, while enhancing knowledge, skills, governance and production technologies needed to reduce risks and sustain development gains. UNDP efforts to combat the illegal trade in wildlife draw on this integrated approach, leveraging expertise, partnerships, and global networks to support countries eradicate poverty, protect the environment, empower women, and build strong institutions, all of which support the rule of law. Through its biodiversity and ecosystems program, UNDP has helped establish over 2,000 protected areas in 85 countries around the world, covering 272 million hectares of land. Building on this portfolio of work, UNDP is exploring new and innovative partnerships that help countries and communities tackle illegal wildlife trafficking and poaching. These include partnerships with governments, other UN agencies such as UNEP and UNODC, the WBG, the United for Wildlife coalition of wildlife conservation organizations, and other civil society groups to tackle poaching and illegal wildlife trafficking, and reduce the global demand for wildlife and wildlife products. UNDP facilitates the coordination of national level UN responses through the UN Resident Coordinator system, and supports countries to access the funding and technical support needed to tackle this issue, working across the supply chain that drives the trade, addressing illegal supply, transit, and demand. This includes efforts at all levels, focusing on communities where site-level enforcement is key, linking a range of national stakeholders for cohesive country-level action, and working with regional and international partners to ensure global cooperation and coordination of efforts. UNDP uses a three-pronged approach that focuses on 1. Expanding economic opportunities and livelihood options, 2. Strengthening governance, enforcement and coordination, and 3. Raising awareness and building cooperation.

***The United Nations Environment Programme (UNEP):*** UNEP's aim is to reduce illegal trade in wildlife and timber to levels such that all wildlife and timber trade is sustainable. Efforts under development include: (i) increased support for effective policies at national, regional and international levels; (ii) improved legislative, judicial, enforcement, and governance measures; (iii) development of capacity for environmental rule of law; (iv) enhanced understanding of the global problems and existing gaps on illegal wildlife trade; (v) advancing international efforts to develop and catalyze demand reduction strategies for illegally-traded wildlife and timber products; (vi) outreach and communication tools to raise awareness on illegal wildlife trade at all levels; and (vii) the development of reliable and integrated indicators to help monitor the effectiveness of strategies aimed at reducing IWT.

UNEP's existing portfolio of IWT initiatives includes: Fostering and enhancing cross-border cooperation in the field of illegal wildlife trade, through support to regional and sub-regional processes; Policy support to member states through country-level interventions to facilitate policy interventions and implementation of existing commitments; and Capacity building to support national and international efforts on effective governance, and enforcement. The latter ongoing efforts build capacity of officials in select countries in Africa on IWT detection, investigation, prosecution and adjudication – including collaboration with INTERPOL, CITES, and other partners in the CPW and ICCWC. Extensive communications and awareness raising efforts are underway with high profile UNEP Goodwill Ambassadors on Public Service Announcement and other campaign strategies, and building on the Wild & Precious global airport exhibits. UNEP also provides technical support to CITES and the EU on species information and wildlife trade databases through UNEP-WCMC and GRID data centers. UNEP works together with ICCWC partners on specific initiatives such as the Green Customs Initiative --a partnership of international organizations including UNEP, UNODC, and WCO -- cooperating to facilitate legal trade and prevent illegal trade in environmentally sensitive commodities. Because of UNEP activities, significant progress has been made in garnering global high-level engagement in support of environmental governance, as well as mobilizing political will to achieve more impact at the national level.

The partnership with GEF is of great relevance for UNEP, which is stepping up its dialogue with Member States in support of the development of national projects to access GEF-6 financing to support addressing illegal wildlife trade. UNEP is currently implementing two GEF-5 projects directly tied to combatting illegal wildlife crime: "Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa (target: Rhinoceros)" and "Engaging policy makers and the judiciary to address poaching and illegal wildlife trade in Africa",

***The World Wildlife Fund (WWF) and the Wildlife Trade Monitoring Network (TRAFFIC)*** work together through four approaches to combat wildlife crime – stopping the poaching, stopping wildlife trafficking, changing behavior to reduce consumer demand, and international policy. WWF is facilitating development of the Southern African Development Community (SADC) Law Enforcement and Anti-Poaching (LEAP) Strategy for its 13 member states, to be finalized in mid-2015 and is supporting the five-countries of the KAZA TFCA to prevent elephant poaching. Through a USAID \$5m grant, TRAFFIC and IUCN are countering trafficking from Africa to Asia (Wildlife TRAPS). WWF and TRAFFIC launched the Wildlife Crime Campaign in 2012 and demand reduction has focused on SE Asia. This includes Changing Consumer Behavior: Reducing demand for rhino horn in Vietnam, 2014-2017, with market research to inform targeted demand reduction for rhino horn in Vietnam, and the multi-donor Chor Chaeng (Saving Elephants) campaign launched in Thailand in January 2015, aimed at rallying public support against buying ivory. The joint Campaign has used traditional and social media, along with targeted policy and advocacy, to effectively shift the issue from a low priority ‘environmental’ issue to an issue of security, rule of law and development. WWF facilitated the creation of the Friends of the Fight Group, led by Germany and Gabon under the United Nations General Assembly, advocating for a Security Council resolution on combatting wildlife crime.

***The International Union for the Conservation of Nature (IUCN)*** brings governments, NGOs and scientists together to develop policies, laws and best practices on biodiversity conservation and sustainable development. Regarding addressing illegal wildlife trade, IUCN plays a unique and important role by convening stakeholders, acting as a specialist advisor, and supporting conservation on the ground through its vast global network of experts and scientists. Regarding IUCN’s convening role, in February 2015 IUCN organized a symposium called ‘Beyond enforcement: communities, governance, incentives and sustainable use in combatting wildlife crime’ in South Africa, which was attended by over 70 community representatives, researchers, government officials, UN agencies and NGOs from five continents. It resulted in a set of recommendations for engaging communities in combating illegal wildlife trade, which will be taken forward to CITES, CBD and the high level IWT conference in Kasane, Botswana that will take place in March 2015.

In their specialist advisory role, species experts in IUCN’s Species Survival Commission (SSC) provide independent, objective scientific information to conventions such as CITES as well as to governments and NGOs. More than 130 Specialist Groups in the SSC provide us with the most current information on species affected by illegal wildlife trade, including elephants, rhinos and cats but also pangolins, plants, fish, birds, invertebrates, amphibians and reptiles. IUCN also brings this knowledge and expertise to a wider variety of fora. For example, IUCN recently participated in the “Towards an EU strategic approach to wildlife conservation in Africa” meeting that took place on 9-10th February 2015 in Brussels and focused on the development of an EU Strategy for Wildlife Conservation in Africa. IUCN will also participate in a follow up meeting to the 2013 African Elephant Summit to be held on the 23rd March 2015 in Kasane, Botswana. Following that, IUCN will participate in the Kasane Conference on Illegal Wildlife Trade that will take place 25th March 2015 in Botswana. TRAFFIC, IUCN’s joint programme with WWF on wildlife trade monitoring, also works with governments across the globe to enhance our understanding of the dynamics

of illegal wildlife trade. IUCN is also a partner in the United for Wildlife coalition, convened by the Royal Foundation, and which has agreed on five urgent areas of activity to address illegal wildlife trade.

Regarding on-the-ground conservation work, IUCN manages the Save Our Species (SOS) Fund, which provides funding to field-based conservation projects. The SOS Fund has, to date, committed just over 3 million USD through 25 projects to support anti-poaching activities, with projects on elephants and rhinos in priority sites for conservation, as well as other species. In addition, IUCN's Integrated Tiger and Habitat Conservation Programme (ITHCP), modelled on SOS, has mobilized approximately €20 million to fund projects on tiger conservation in a number of key tiger range States.

**The Asian Development WBG (AsDB)** is implementing a regional Technical Assistance (TA) program on Combatting Illegal Wildlife Trade under ADB's Law, Justice and Development Program. It is led by ADB's Office of General Council and links to initiatives such as the Asian Judges Network on Environment and two sub-regional roundtables: the ASEAN Chief Justices Roundtable on Environment, and the South Asian Chief Justices Roundtable. The TA aims to support participating countries to undertake comprehensive policy and legal reform to address wildlife crime, while supporting the adoption of enforcement tools and improvements in enforcement chain cooperation, coordination and implementation capabilities. Requests for support under the TA were received and are being supported in China, Lao PDR, Myanmar, Philippines and Viet Nam. The first phase of work is focused on undertaking needs assessments for legal reform processes.

**WildAid's** mission is to end the illegal wildlife trade in our lifetimes. They envision a world where people no longer buy wildlife products such as shark fin, elephant ivory and rhino horn. While most wildlife conservation groups focus on protecting animals from poaching, WildAid works to reduce global consumption of wildlife products by persuading consumers and strengthening enforcement. With an unrivaled portfolio of celebrity ambassadors and global network of media partners, WildAid leverages nearly \$200 million in annual pro-bono media support. Their message reaches up to 1 billion people every week.

**The Wildcat Foundation** is a private not-for-profit philanthropic foundation whose purpose is to help save and provide for the long-term conservation of endangered wildlife and wild places in Africa. During 2013 and 2014, the Foundation approved over \$16 million in support of wildlife conservation in Congo-Brazzaville, Cameroon, the Central Africa Republic, Democratic Republic of Congo, Kenya, Tanzania, Mozambique and Malawi, as well as to a number of international law enforcement entities, and it is expanding its grant making.

## ANNEX 2 –STEERING COMMITTEE (PSC) DRAFT TERMS OF REFERENCE (TOR)

The WBG, UNDP, UNEP, WWF, IUCN, ADB and the Global Environment Facility (GEF) have established a new Program “Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development” to address the serious wildlife poaching and illegal trade that is affecting many client countries as it deprives them of their important assets on which their prosperity depends. The Program will help countries secure their wildlife resources, habitats and the benefits they derive from them (i.e. livelihood, tourism, ecosystem values, etc.) and address the illegal trafficking of wildlife as well as the demand for illegal wildlife products in consumer countries. The Program will have global, regional and national level interventions through various child projects.

The Lead Agency<sup>93</sup> – the WBG (WBG) – will play a close coordination and liaison role with any additional participating Agencies and the GEF Secretariat for the Program. The Lead Agency will also be responsible for all enquiries regarding Program preparation and implementation progress and Program-level reporting, mid-term evaluation, final Program completion and the achievement of Program-level impact on the global environment. The Lead Agency will be in charge of coordinating activities with on-going GEF projects related to Program 3 of the GEF-6 Biodiversity Strategy, and with investments and initiatives funded by other donors. The lead agency, in close communication with the other agencies, will make use of the Coordination Grant (one of the child projects), to invest financial and technical resources to achieve coordination and exchange of experiences, especially when there is more than one country-based project and when regional and global activities complement the investments at the national level.

A Program Steering Committee (PSC), chaired by the WBG, currently consists of the GEF secretariat, GEF Implementing/Project Agencies (UNDP, UNEP, IUCN, WWF, and ADB), and key partners who are leaders in the field<sup>94</sup>. These organizations represent key GEF Implementing/Project Agencies funding global/regional wildlife conservation programs and technical leaders with a presence in key range, transit, and demand countries. PSC organizations can leverage their existing programs and specialist groups to integrate knowledge and coordinate activities as deemed appropriate. Additional PSC members can be considered periodically, based on new investment contributions and capabilities deployed to address significant aspects of global wildlife trade. The PSC will act as an advisory mechanism to maximize synergies and ensure the successful design and implementation of the Program. Individual PSC members can provide input through various PSC mechanisms, including by: (i) participating in PSC meetings; (ii) volunteering for task force committees within specific program areas; (iii) reviewing strategic program documents; and (iv) actively engaging in knowledge management or other related activities.

**Overall Role of the PSC:** The PSC will advise across five key program areas as described below.

**Strategic Oversight:** The combined view and expertise of the different PSC members, complemented by key partners, provides input on the illegal wildlife trade problem and the challenges along the design and implementation of the Program. As it relates to the Program and portfolio of child projects, the PSC will help analyze and provide guidance related to changing priorities (i.e. geographic and thematic priorities) or conditions for implementation to review programming and allocation of efforts. The PSC will advise on the necessary adaptive management throughout the implementation of the Program. The PSC will play an important role to ensure the child projects are aligned with the Program’s objectives (i.e. components), theory of change, and assess the opportunities to enhance programmatic learning (detailed below).

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<sup>93</sup> In pursuit of meeting the aims of the GEF Council document "IMPROVING THE GEF PROJECT CYCLE" (GEF/C.47/07), a lead agency has been appointed that will "ensure coherence of the Program and will be responsible for coordinating all aspects of the Program preparation and implementation".

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**Stakeholder Coordination and Program Efficiency:** Stakeholder coordination is challenging due to the number of players in the IWT field. The PSC will provide guidance to ensure that the program coordinates efforts across the child projects and key funders relevant to the child projects. The PSC will assist in the coordination and help explore synergies with other global GEF programs and efforts related to the global wildlife crime crisis. These efforts will be aligned and facilitated by the Program as a means to avoid duplication, explore joint efforts, leverage and scale solutions, and the identification and use of lessons learned from ongoing global efforts to contribute directly to this Program’s agenda. The specific coordination mechanisms for the PSC will be detailed during implementation.

#### **Quality Enhancement & Monitoring Platform**

The collective knowledge and experience of the PSC members will add quality to the preparation and implementation of the child projects as well as the program design and implementation. The PSC will provide input at the project preparation grant (PPG) stage. PSC comments on the child projects will be provided on a voluntary basis and must adhere to the pre-determined timeline that will be established prior to each review. STAP input will be leveraged for program level considerations. PSC members will contribute to the refinement of the results framework and the monitoring system to track program-level indicators. The annual reports produced as an aggregate of all the child project results as well as key regional and global activities will be reviewed by PSC members.

#### **Programmatic Learning and Knowledge Sharing**

The PSC members will support the knowledge exchange activities under the Program through participation in regular PSC activities or by serving in task forces to support specific efforts. The PSC may contribute by helping to: (i) organize conferences/events, virtual learning sessions, and participate in training to promote best practices; (ii) share information, results and lessons learned throughout their established networks; and (iii) leverage any additional financial support needed by countries to maximize the delivery of the knowledge platform.

#### **Communications and Game Changer**

In the process of successfully implementing the different pieces of the Program, the PSC will play a key role in helping to message and disseminate the Program’s impacts. The PSC will provide guidance as to the communication of the Program’s impact and outreach to the appropriate audiences, including the GEF council, STAP and other key stakeholders.

#### **Representative Specific Areas of Guidance the PSC will Advise on:**

1. Review progress of previously agreed work-plans and calendars
2. Define key milestones, points for review, and topics that require group agreement
3. Discuss processes, changes/revisions to Program plans, and key activities as necessary
4. Review results framework program reports
5. Agree on communications for specific strategic products agreed in work plans
6. Contribute to workshop identification/prioritization and events defined in the work plans
7. Assure consistency in publications/communication documents related to the Program
8. Review and comment on the updated Program Framework Document
9. Review and comment on alignment of Project objective and outcomes for consistency with the Program Framework

**PSC meetings**

The PSC will meet virtually every quarter to track progress and provide opportunities for cross-fertilization. It will meet in person once a year in a different project site or related learning event site to increase uptake of lessons and build synergies. The annual meeting will occur when all child projects gather for monitoring and lessons sharing purposes.

**Global Wildlife Program Steering Committee (PSC) Member List\***

#	Organization	Primary Representative	Alternate
<b>GEF Agencies</b>			
1	WBG (Chair)	Claudia Sobrevila csobrevila@worldbank.org	Valerie Hickey vhickey@worldbank.org Simon Robertson srobertson@worldbank.org
2	ADB	Bruce Dunn bdunn@adb.org	Arunkumar Abraham aabraham.consultant@adb.org
3	IUCN	Jean-Christophe Vie Jean-christophevie@iucn.org	Dan Challender Dan.challender@iucn.org
4	UNDP	Paul Harrison Paul.harrison@undp.org	Midori Paxton Midori.paxton@undp.org Lisa Farroway Lisa.farroway@undp.org
5	UNEP	Johan Robinson Johan.robinson@unep.org	Neville Ash Neville.ash@unep.org Monika Thiele Monika.thiele@unep.org
6	WWF	Lisa Steel Lisa.steel@wwfus.org	David McCauley/Renae Stenhouse David.maccauley@wwfus.org Renae.stenhouse@wwfus.org
<b>GEF Secretariat</b>			
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<b>Partners</b>			
8	TRAFFIC	Crawford Allan Crawford.allan@traffic.org	Teresa Mulliken Teresa.mulliken@traffic.org
9	WCS	John Robinson j.robinson@wcs.org	Joe Walston j.walston@wcs.org
10	CITES	Haruko Okusu Haruko.okusu@cites.org	Edward Van-Asch Edward.VAN-ASCH@cites.org
11	WildAid	John Baker baker@wildaid.org	
<b>Support staff</b>			
12	WBG	Elisson Wright Ewright1@worldbank.org	Hasita Bhammar Hbhammar@worldbank.org

### **Annex 3 – AN ANALYSIS OF INTERNATIONAL FUNDING TO ADDRESS THE ILLEGAL WILDLIFE TRADE (TORS)**

#### **Background and context**

1. Wildlife trade<sup>95</sup>, including poaching and illegal trade<sup>96</sup> for wildlife parts and meat, for domestic consumption worldwide has occurred for years, and certainly prior to 2008. Manageable levels of poaching for ivory trade in Africa and Asia have been reported throughout the post-CITES trade ban period (with the exception of Central Africa). However, in 2008, Africa witnessed an escalation in poaching, spurred by an unprecedented international demand for elephant ivory and rhino horn (CITES, 2013a and UNEP et al., 2013). The CITES MIKE program estimated that 22,000 elephants were poached in 2012 across Africa, and the International Union for Conservation of Nature (IUCN) Species Survival Commission (SSC) African Elephant Specialist Group estimates that the number of elephants decreased from 550,000 to 470,000 between 2006 and 2013<sup>97</sup>. Similarly, rhino poaching has reached a crisis point. In South Africa alone, which has the largest population of rhinos in the world, there were 1,215 rhinos poached in 2014.<sup>98</sup> This is an exponential increase from the 13 rhinos poached in 2007. In 2011, the IUCN declared the Western black rhino extinct, with the primary cause identified as poaching. Poaching is a major threat to the survival of some iconic species populations and a significant cause to declines of populations of various other important species. For example, populations of big cats, pangolins, gorillas, and many other keystone species are threatened due to poaching in Africa and Asia.
  
2. The upsurge in illegal killings of elephants, rhinos, and other iconic species over the past decade have led many donors to invest in anti-poaching, anti-trafficking, and demand reduction initiatives to combat illegal wildlife trade (IWT) at source, transit, and destination countries. This is evidenced by the number of strategies, programs, and projects international financial institutions, governments, non-government organizations (NGO), and foundations have recently launched to address IWT<sup>99</sup>. To enhance donor coordination and minimize potential duplication of project and program activities, it is essential to map the donor IWT investments, priority intervention areas, and align technical resources that are mobilized. This will facilitate co-financing and optimize benefits derived from funding to combat IWT in Asia and Africa.
  
3. A Donor Roundtable on Wildlife and Forest Crime was organized by CITES, UNDP, UNEP, UNODC, and the World Bank and held at UNDP in New York City on July 7, 2015. This meeting was hosted by UNDP, moderated by CITES Secretary-General, John Scanlon, and attended by over 30

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<sup>95</sup> Illegal wildlife trade, wildlife crime and illicit trafficking in wildlife are used interchangeably in this document. We are using the acronym IWT in this document. According to CITES, ‘Wildlife’ means all fauna and flora. ‘Fauna’ are animals and birds, such as tigers and falcons, but also include fish. ‘Flora’ are plants, such as orchids or cacti, but also include timber and non-timber forest products, some of which are illegally traded at very significant levels. ‘Crime’, as far as ICCWC is concerned, refers to acts committed contrary to national laws and regulations intended to protect natural resources and to administer their management and use. Wildlife trade is defined as any sale or exchange by people of wild animal and plant resources (TRAFFIC, 2007). Wildlife trafficking is defined as the illegal cross-border trade in biological resources taken from the wild, including trade in timber and marine species (European Commission). Illicit trafficking in wildlife includes both poaching and illicit trade.

<sup>96</sup> Poaching is the illicit harvest of an animal, including taking, that is not the allowed species, size, age or sex; using illegal equipment to hunt or fish; failing to acquire a permit to hunt or fish; and harvesting outside of the allowed season or place. For this study, poaching is considered as part of the illegal wildlife trade (IWT). (USAID, *Measuring efforts to combat wildlife crime. A toolkit for improving action and accountability*. October 2015).

<sup>97</sup> African Elephant Database (AED); IUCN. Accessed on October 17, 2015.

<sup>98</sup> [https://www.savetherhino.org/rhino\\_info/poaching\\_statistics](https://www.savetherhino.org/rhino_info/poaching_statistics). Accessed on October 17, 2015.

<sup>99</sup> For example, see United States National Strategy for Combatting Wildlife Trafficking, 2014.

participants that included donor representatives, UN staff, and other development partners. At this meeting, WB agreed to take the lead on a study to address donor coordination. In a separate but related effort, the Bank, as the lead implementing agency for the GEF- Global Wildlife Program, will monitor project investments and co-financing under the Program. As part of collecting information and datasets for this monitoring activity, the Bank will coordinate among donors on IWT investments and activities in targeted areas.

4. The team, led by Valerie Hickey (World Bank Practice Manager) and Claudia Sobrevila (World Bank Global Wildlife Program Manager), will undertake a an analysis of funding that is going towards anti-poaching, anti-trafficking and demand reduction strategies by major donors. Various United Nations agencies (including UNEP, UNDP, UNODC, and CITES Secretariat) and other major donors are collaborating on this effort. These draft TORs received significant comments from donors and were discussed at a Donor Roundtable meeting in Geneva, on January 14, 2016. This version has incorporated the donors' comments.

#### **Nature of the activity**

5. The study will obtain, analyze, and present data on wildlife anti-poaching, anti-trafficking and demand reduction financial investment flows from major donors globally. The first phase will focus on range, transit, and end-use countries in Africa and Asia. The short-term efforts will include a portfolio review of all IWT funding based on interviews with donors and access to donor data on IWT related projects. In the long term, assessments of IWT needs at country-, regional-, and global-levels may be conducted. The focus will be on multilateral, bilateral, and other international funds used to finance wildlife conservation efforts directly addressing the IWT crisis. The study will look at investments committed from calendar year 2010-2015, including projects that may be implemented beyond this timeframe. It will use US dollars committed to programs/projects as the basis for data gathering and analysis. The intent of the analysis is to complete a study of the major donors to provide a high-level understanding of general trends and thematic priorities. Due to the short timeline for this activity, it is not intended to serve as a comprehensive evaluation of all IWT funding activity. The results and recommendations of this study will help ensure coherence and coordination in scaling up financing.
6. To accomplish this activity, the steps below will be taken. Draft investment categories, definitions and key words to guide online research and database development are included in Annex A. Annex B contains a copy of the draft questionnaire. Annex C contains a detailed draft timeline for this assignment. Annex D contains the initial list of donors that will be contacted.
  - a. Review current literature and assess previous studies that looked at this issue (i.e. EU strategic approach to wildlife conservation in Africa, USAID toolkit for monitoring effectiveness of anti-poaching and anti-trafficking strategies, etc.) and leverage the respective recommendations and findings in the design and delivery of this analysis.
  - b. Develop an approach and detailed timeline to obtain information from key donors and a methodology for the taxonomy that will categorize the data and guide the analysis. The approach will include use of a questionnaire/survey, online research, and minutes of interviews with key donor representatives, and data validation activities (development of approach completed).
  - c. Conduct interviews with key donors and other data gathering activities to obtain baseline information and data on financial investments and key programs/projects/initiatives.
  - d. Present draft survey results at UNEA in Kenya, in May 2016.
  - e. Incorporate feedback from donors.
  - f. Develop a report to summarize methodology, results, and recommended next steps

- i. Report to include an introduction, objectives, methodology, results, conclusions/actionable recommendations, and appendices to include the survey used and references sourced.
  - ii. Results will display graphical and table summaries of funding patterns/trends and allocations by region, country, and thematic areas.
- g. Present draft report at the CITES Cop 17 meeting in Johannesburg.

### **Investment Categories, Definitions and Key Words to Guide Online Research and Database Development**

The following general categories and definitions can help guide assessment of the investments and interventions considered as part of this portfolio analysis. Investment categories that provide direct support to efforts, which prevent or reduce poaching, and/or illegal trade in wildlife, including terrestrial, freshwater, and marine species (i.e. elephants, rhinos, big cats, etc.) should be considered. Activities include, but are not limited to, efforts that tackle:

#### **1. Policy and legislation (PL) development**

- a. Interventions to support implementation of legally binding agreements (i.e. CITES, UNCAC and UNTOC) focused on:
  - i. Inter-sectoral policies and regulatory frameworks that incorporate wildlife conservation and management considerations
  - ii. How to enforce/implement the regulations
- b. Investments to review and strengthen laws and regulations to facilitate prosecutions of illicit wildlife trafficking, corruption, and money laundering,
- c. Customs and trade facilitation processes that include enhanced policies and procedures to deter and reduce corrupt practices related to wildlife
- d. Activities intended to engage important political figures in the fight against IWT

#### **2. Law enforcement (LE)**

- a. Investments in coordination mechanisms and establishment of operational units, information handling systems, development of intelligence-led operations, and trans-national law enforcement coordination focused on organized wildlife crime and anti-corruption efforts
- b. Investments to support enhanced capacity of customs officials on wildlife crime prevention and information sharing
- c. Investments to strengthen transportation/supply chain stakeholder's ability to combat IWT
- d. Investments in new and existing (detection) technologies and intelligence techniques not only to support increased interceptions of illegal trafficking of wildlife products but also to disrupt illegal activities prior to poaching
- e. Investments to build government capacity to prosecute, convict, and ensure full sentences are completed for IWT criminals
- f. Interventions focused on reducing rates of poaching, trafficking, and demand by focusing on:
  - i. Combating poachers on the ground, as well as traffickers and other illegal market participants throughout the supply chain by making arrests, prosecutions, and convictions
  - ii. Operations that target higher level operatives that support trafficking and illicit markets to trade illegal wildlife products

- g. Public private partnerships or private sector investments to combat IWT and limit use of legal transportation, financing, and other resources to knowingly or unknowingly participate in the IWT supply chain
- 3. Protected areas (PA) management to prevent poaching**
    - a. Investments that support species management, including investments to protect the natural habitats for elephants, rhinos, and other specific species. This includes interventions that focus on increasing number of species at a project site or a particular focus on known threatened species
    - b. On-the-ground support to PAs to address poaching (i.e. rangers, equipment etc.)
    - c. Investments to increase community, private, and state reserves and areas surrounding protected forests under land-use policies that mitigate wildlife poaching and promote wildlife management best practices
  - 4. Communications and awareness (CA) to raise IWT awareness and reduce demand for illegal wildlife products**
    - a. Funding of organizations to conduct outreach and communications efforts to raise awareness and reduce demand across range, transit, and end-use countries
    - b. Demand reduction efforts and campaigns to increase awareness, change consumer behavior towards consumption of illegal wildlife products, and reduction in market participants in the illegal trade
  - 5. Promoting sustainable use and alternative livelihoods (SL) to increase community benefits and avoid human-wildlife conflict**
    - a. Interventions that focus on:
      - i. Increasing incentives for communities to live with, manage wildlife, and avoid human-wildlife conflict
      - ii. Income derived from wildlife management in support of sustainable development and integrated natural resource management practices
      - iii. Providing alternative legal livelihoods to those involved in the illegal supply chain
    - b. Investments that include training, capacity building, jobs, sustainable use of wildlife products, and sustainable tourism
  - 6. Research and assessment (RA)**
    - a. Investments in decisions support tools (i.e. geospatial, analytical, etc.) at global, regional, and national levels to track and share information on wildlife crime
    - b. Support for development and maintenance of databases and communications facilities, geospatial tools, and coordination tools and applications
    - c. Investments to enhance stakeholder coordination, donor co-financing of activities, knowledge management, and monitoring and evaluation efforts
    - d. Support for research and analysis of wildlife crime

The study will use the following key words and phrases for online research and related efforts:

- |   |   |
|---|---|
| 1. Building and strengthening institutional capacity to effectively manage wildlife | 6. Control and surveillance for IWT interventions             |
| 2. CITES government units   | 7. Demand reduction for wildlife products                     |
| 3. Community-based wildlife management  | 8. Elephants, rhino, big cats, other species (i.e. pangolins) |
| 4. Community-based wildlife anti-poaching   | 9. Endangered species poaching                                |
| 5. Community-based wildlife monitoring  | 10. Environmental criminology                                 |

- |  |   |
|--|---|
| 11. GIS analysis to guide protected area management to effectively manage wildlife | 28. Implementation of compensation for communities to engage in wildlife conservation         |
| 12. Human-wildlife conflict  | 29. Mitigation of conflicts around established protected areas                                |
| 13. Iconic species poaching  | 30. Situational wildlife crime prevention   |
| 14. Illegal wildlife trade (IWT)   | 31. Species surveys   |
| 15. Improving livelihoods to manage wildlife                                       | 32. Support to community based organizations to increase involvement in wildlife conservation |
| 16. Institutional capacity building for managing wildlife                          | 33. Technical assistance for IWT projects and programs  |
| 17. Instruments for combatting wildlife crime                                      | 34. Training and dissemination for IWT projects and programs                                  |
| 18. Inter-agency cooperation on IWT  | 35. Transnational environmental crime   |
| 19. IWT awareness raising  | 36. Training law enforcement  |
| 20. IWT behavioral change  | 37. Wildlife anti-money laundering  |
| 21. IWT communications   | 38. Wildlife crime  |
| 22. IWT institutional design and structure   | 39. Wildlife customs modernization  |
| 23. IWT related environmental policies and institutions                            | 40. Wildlife fraud and corruption   |
| 24. Knowledge sharing and awareness of wildlife management best practices          | 41. Wildlife law enforcement  |
| 25. Law enforcement responses to wildlife crimes                                   | 42. Wildlife legal frameworks   |
| 26. Monitoring and evaluations for IWT projects and programs                       | 43. Wildlife poaching   |
| 27. Ranger patrols   | 44. Wildlife tourism  |
|  | 45. Wildlife trade facilitation   |
|  | 46. Wildlife trafficking  |

Activities that contribute to combatting illicit trafficking in wildlife but do not meet the above general categories and definitions should not be reported in this analysis. These include, but are not limited to:

1. Investments/activities focused on PA management and planning, development of and support for implementing community conservation areas, and land/coastal management planning that do not include specific interventions to address illicit trade in wildlife
2. Investments/activities that consider illegal killing of wildlife as one of several threats addressed, but exclude specific anti-poaching or anti-trafficking interventions that are planned for and implemented

Efforts to stop the illegal harvest and trade in plants and trees are critical, yet investments/activities that only address flora should not be included in this analysis. Investments that focus on flora as part of broader fauna-focused interventions can be included under this analysis.

**Table 1 – Detailed Tasks, Timeline, Input Required, and Deliverables**

<b>Task #</b>	<b>Task Description</b>	<b>Timeline</b>	<b>Input from WB Leadership</b>	<b>Input from Donors</b>	<b>Deliverable</b>
1	Develop an approach to obtain information from key donors and a methodology for the taxonomy that will categorize the data and guide the analysis. The approach should include use of a questionnaire/ survey, online research, interviews with key donor representatives, and data validation activities	01/07/2016	Kick-off meeting to review the TOR; validate the timeline and proposed approach to complete assignment	N/A	Draft Approach, methodology, and taxonomy in word/PowerPoint/excel formats (completed)
2	Present proposed approach and methodology to key donors. Special consideration is required to document how double-counting will be avoided, and to ensure investments are targeted to anti-poaching initiatives rather than broader investments	01/15/2016	Review meeting to provide feedback on proposed gap analysis approach/methodology	Participate in Donor Side Event during SC66 in Geneva; identify point of contact	PowerPoint presentation (completed)
3	Update approach and methodology, as needed	01/29/2016	Review updated approach and methodology	N/A	Update Task 1 deliverables
4	Conduct literature review. Create the data gathering/analytical templates and tools; obtain approval to use them	02/05/2016	Review/approve use of tools to obtain donor data	N/A	Literature review summary; data collection templates/tools
5	Update protocol, list of donor, contacts, and timeline for data gathering activities <sup>100</sup>	02/05/2016	Review meeting to approve contact list, timeline, and protocol to collect information. WB to seek additional input from representative donors, ICCWC, and/or PSC	A representative donor may be asked to provide input/feedback on the templates/tools before rolling it to all donors	Protocol, POCs, and scheduled meetings with donors to obtain required data
6	Obtain data from donors (02/26/2016); conduct interviews with donors and other data gathering activities to assess data	03/07/2016-04/29/2016	Email to donors to inform them of the upcoming activities and request their active participation/ support; follow-up with individual	Participate in an hour long interview and submit data to WB	Literature review summary used to guide interviews (i.e. prior efforts EC, USAID, etc.

<sup>100</sup> [Key donors to be contacted as part of this assignment are highlighted in the terms of reference.](#)

<b>Task #</b>	<b>Task Description</b>	<b>Timeline</b>	<b>Input from WB Leadership</b>	<b>Input from Donors</b>	<b>Deliverable</b>
			donors to facilitate data exchange (as needed)		have engaged in; meeting minutes)
7	Analyze data obtained and develop a draft summary report to highlight results	05/06/2016	Review draft report; provide comments and additional direction to project team. WB to seek input from ICCWC and PSC	N/A	Draft report and database with information obtained from donors
8	Present draft summary results at UNEA in Kenya, in May 2016	05/25/2016	Open session on portfolio analysis with donors	Participate in portfolio analysis meeting; provide feedback on draft results	Presentation and supporting information for the donor meeting
9	Incorporate feedback from donors	06/30/2016	N/A	N/A	Updated draft report and database
10	Develop a final report to address donor comments and summarize methodology, results, and recommended next steps	08/31/2016	Review final report (V0); provide comments and additional direction to project team. WB to seek input from ICCWC and PSC	Provide feedback on final report	Final report (V0) and updated database
11	Present draft report (V1) at CITES CoP 17, South Africa for final feedback	09/25/2016	N/A	Participate in donor meeting to provide feedback on draft report (V1)	Draft report (V1)
12	Collaboration with reports production team to publish report	10/30/2016	Review final report; provide comments and additional direction to project team	N/A	Final report and updated database
13	Present final report at IWT Summit in Vietnam, in November 2016	11/25/2016	Open session on portfolio analysis with donors	Participate in portfolio analysis meeting; support communications and dissemination efforts	Presentation and supporting information for the donor meeting

## ANNEX 4 – GLOBAL WILDLIFE PROGRAM RESULTS FRAMEWORK

### PROGRAM IMPACT INDICATOR:

86. The Program impact indicator and key performance indicators (PI) include:

**Program Impact Indicator:** Stabilization or increase in the number of, and area occupied by, elephants, rhinos, and big cats (i.e. lions, tigers, leopards, cheetahs) populations at program sites

### **Program Objective:**

Promote wildlife conservation, wildlife crime prevention and sustainable development to reduce impacts to known threatened species from poaching and illegal trade.

### INDICATIVE PROGRAM RESULTS FRAMEWORK

Program Components	Program Outcomes
<p><b>Component 1.</b> Reduce Poaching and Improve Community Benefits and management</p>	<p><b>Outcome 1:</b> Reduction in elephants, rhinos, and big cat poaching rates. (baseline established per participating country) <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>1.1:</b> Poaching rates of target species at program sites (Specifically, a reduction in PIKE trend for elephants to below 50% at each site; and for rhinos and big cats, a reduction in poaching rates to reverse population declines - compared to baseline levels at start of project)</li> <li>• <b>1.2:</b> Number of poaching-related incidents (i.e. sightings, arrests, etc.) per patrol day</li> <li>• <b>1.3:</b> Number of investigations at program sites that result in poaching-related arrests (increase at first, then decrease over time)</li> <li>• <b>1.4:</b> Proportion of poaching-related arrests that result in prosecution (increase)</li> <li>• <b>1.5:</b> Proportion of poaching-related prosecutions that result in application of maximum sentences (increase)</li> <li>• <b>1.6:</b> Protected areas (METT score) and community/private/state reserves management effectiveness for Program sites (increase)</li> </ul> <p><b>Outcome 2:</b> Increased community engagement to live with, manage, and benefit from wildlife <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>2.1:</b> Benefits<sup>101</sup> received by communities from sustainable (community-based) natural resource management activities and enterprises (increase)</li> <li>• <b>2.2:</b> Human-wildlife conflict (HWC) as measured by incident reports (decrease)</li> </ul> <p><b>Outcome 3:</b> Increase in integrated landscape management practices and restoration plans to maintain forest ecosystem services and sustain wildlife by government, private sector and local community actors, both women and men <i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>3.1:</b> Number of policies, plans, and regulatory frameworks that support low GHG development (increase compared to baseline levels at start of project)</li> </ul>

<sup>101</sup> May include monetary and non-monetary benefits. Explicit link with combating illicit trade in wildlife. Includes efforts for communities to engage, manage, and sustainably benefit from wildlife. Includes number of direct jobs tied to the program interventions, revenue/income, and products (i.e. sustainably harvested meat) derived from wildlife management, sustainable livelihoods, and economic development at the local and community level (i.e. tourism and other natural resources management and conservation activities).

	<ul style="list-style-type: none"> <li>• <b>3.2:</b> Area of forest resources restored in the landscape, stratified by forest management actors (increase compared to baseline levels at start of project)</li> </ul>
<p><b>Component 2.</b> Reduce Wildlife Trafficking</p>	<p><b>Outcome 4:</b> Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products</p> <p><i>Indicators and targets</i></p> <ul style="list-style-type: none"> <li>• <b>4.1:</b> Number of laws and regulations strengthened with better awareness, capacity and resources to ensure that prosecutions for illicit wildlife poaching and trafficking are conducted effectively (increase)</li> <li>• <b>4.2:</b> Number of dedicated law enforcement coordination mechanisms (increase)</li> <li>• <b>4.3:</b> Number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations (increase)</li> <li>• <b>4.4:</b> Proportion of seizures that result in arrests, prosecutions, and convictions (increase)</li> </ul>
<p><b>Component 3.</b> Reduce Demand</p>	<p><b>Outcome 5:</b> Reduction of demand from key consumer countries (compared to baseline).</p> <p><i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>5.1:</b> Percentage change in knowledge, attitudes, and practice (KAP) towards consumption of illegal wildlife products (measurable positive change compared to baseline)</li> <li>• <b>5.2:</b> Number of awareness campaigns that reach target groups to educate them on the negative impacts of illegal wildlife trade for global environment, security, and development (increase)</li> <li>• <b>5.3:</b> Number of markets/shops/on-line retailers selling illegal wildlife products (disaggregated) compared to baseline (decrease)</li> </ul>
<p><b>Component 4.</b> Knowledge, Policy Dialogue and Coordination</p>	<p><b>Outcome 6:</b> Improved coordination among program stakeholders and other partners, including donors</p> <p><i>Indicators and targets:</i></p> <ul style="list-style-type: none"> <li>• <b>6.1:</b> Establishment and functioning of a Program Steering Committee (PSC)</li> <li>• <b>6.2:</b> Program monitoring system successfully developed and deployed</li> <li>• <b>6.3:</b> Establishment of a knowledge exchange platform to support program stakeholders</li> </ul>

## **9. Securing livelihoods, Conservation, Sustainable Use and Restoration of high range Himalayan Ecosystems (SECURE-Himalayas) (India)**

### **PART I: PROJECT INFORMATION**<sup>102</sup>

Project Title:	Securing livelihoods, Conservation, Sustainable Use and Restoration of high range Himalayan Ecosystems (SECURE-Himalayas)
Country(ies):	India
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Environment, Forests and Climate Change (MoEFCC)
GEF Focal Area(s):	MFA

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>103</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)		
		GEF Project Financing	Co-financing	
BD-2 Program 3	GEFTF	2,099,640	7,408,310	
BD-4 Program 9	GEFTF	4,562,680	16,690,630	
LD-2 Program 3	GEFTF	482,716	1,963,720	
LD-3 Program 4	GEFTF	551,092	1,517,150	
SFM-1 Program 1	GEFTF	1,364,470	5,194,590	
SFM-1 Program 2	GEFTF	879,454	2,374,010	
SFM-3 Program 7	GEFTF	1,604,140	5,194,590	
Total Project Cost		GEFTF	<b>11,544,192</b>	<b>40,343,000</b>

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

**Project Objective:** Sustainable land and forest management in the alpine pastures and forests in high range Indian Himalayan ecosystems secures sustainable livelihoods and community resilience and ensures conservation of globally significant biodiversity and threatened species such as snow leopards

Project Components	Financing Type <sup>104</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
I. Securing sustainable community livelihoods in high range Himalayan ecosystems	TA / Inv	Outcome 1.1: Improved and diversified livelihoods of local communities in selected areas of the high range Indian Himalayan ecosystems (Jammu and Kashmir, Himachal Pradesh, Uttarakhand, Arunachal Pradesh and Sikkim) reduce pressures on fragile alpine Himalayan ecosystems: 1.1 <u>Improved livestock management and protection measures</u> adopted (including reduction of livestock predation and insurance) and enhanced productivity and quality of horticultural and agricultural crops; 1.1.2 <u>Sustainable alternative livelihood option plans</u> developed and implemented (including sectors such as community managed eco-tourism and including home-stays; enterprise development based on high value niche Non Timber Forest Products (e.g. Cordyceps sinensis and other high value Medicinal and Aromatic Plants) products (including identification, value chains assessment, and market and credit linkages developed/ strengthened; community skill base enhanced.	5,059,652	17,719,224

<sup>102</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how

it will contribute to the overall Program.

<sup>103</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>104</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>104</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		<p>Outcome 1.2: Enhanced capacities of community and government institutions for sustainable community based approaches to biodiversity conservation:</p> <p>1.2.1 <u>Biodiversity friendly agriculture and livestock practices</u> promoted (incl. reduced use of pesticides, increased cropping of traditional and rare endemic crops and livestock breeds, promoting silvopastoral practices migration corridors and buffer zones in etc.)</p> <p>1.2.2 <u>Community-based approaches to address livelihood – conservation conflicts</u> (e.g. livestock insurance and compensation schemes; community awareness, incentives to promote wildlife friendly crop-herd management practices; use of deterrents including live-fence)</p> <p>1.2.3 <u>Capacities of local collective institutions developed for assessment and monitoring of biodiversity</u> increased and informs strategies to ensure that sectoral plans are harmonized with Biodiversity strategies (e.g. State Biodiversity Action Plan)</p>		
<p>II. Conservation of key biodiversity areas and effective management of PAs to secure long term ecosystem resilience and habitat connectivity</p>	TA/Inv	<p>Outcome 2.1: Integrated land, forest and pasture management plans developed for select landscape outside PAs to minimize threats and disturbance in the high range Himalayan ecosystems:</p> <p>2.1.1 <u>Comprehensive function mapping lead to revised land use and sectoral plans</u> (e.g. forestry and rangeland management plans) to: a) integrate and reconcile development and conservation needs of high range Himalayan ecosystems; b) promote sustainable land use and natural resource management practices in the wider landscape;</p> <p>2.1.2 <u>Conservation of at least 15,000 ha<sup>105</sup> of High Value Forests</u> that are protected as Biodiversity Heritage Sites<sup>106</sup> (BHS) leading to avoided deforestation: BHS Management plans developed and implemented based on biodiversity assessments and community decisions for securing conservation of bio-cultural ecosystems and connectivity; different locally appropriate management regimes designed and tested including community governance models.</p> <p>2.1.3 <u>Assisted regeneration of rangelands/pastures (of at least 40,000 ha):</u> pasture management regimes are designed and implemented jointly with communities and rehabilitation of at least 1,000 h of degraded forest through participatory forest management and other collaborative forestry programmes (includes enrichment planting, restoration, management of forest fires etc.);</p> <p>Outcome 2.2: Strengthened institutional capacities for long-term effective conservation of globally significant biodiversity (including threatened and endangered species such as the Snow Leopard (SL) and endemic medicinal plants ensured in select PAs:</p> <p>2.2.1 <u>Capacities of foresters, PA staff, and communities enhanced</u> to engage in spatial planning and development coordination, increase habitat connectivity with specific focus on restoration of degraded rangeland and wetland habitats critical for threatened species both within and outside protected areas;</p>	4,031,309	14,647,526

<sup>105</sup> The HCVF set aside target is tentative, based on counterpart commitments at this stage, and is subject to change pending the PPG.

<sup>106</sup> BHS is a new category of biodiversity conservation areas under the Biodiversity Act (2002) that is defined as: “well defined areas that are unique, ecologically fragile ecosystems – terrestrial, coastal and inland waters and marine having rich biodiversity including those that offer refuge or corridors for threatened species; and having significant cultural, ethical or aesthetic values”

Project Components	Financing Type <sup>104</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		2.2.3 <u>Long-term management planning for the Himalayan PA network</u> including: (a) improvement in the quality and sustainability of protection and management activities; (b) enforcement of PA regulations to reduce threats (e.g. from unsustainable developmental activities; un-sustainable use of natural resources; illicit harvesting or felling of trees etc.); (c) mechanisms for coordination with other sectors and planners on dealing with development and management of land and natural resources in the areas adjacent to PAs.		
III. Enhanced enforcement and monitoring to reduce wildlife crime and related threats	TA/Inv	<p>Outcome 3.1: Effective wild life monitoring, prosecution and other deterrent systems demonstrated and international cooperation increased (linking with global SL project and GSLEP as well as with India's NSLEP and Project Snow Leopard and regional initiatives)</p> <p>3.1.1 <u>Improved anti-poaching, surveillance measures</u> (including involvement of local communities in anti-poaching efforts; efficient and effective information sharing and management systems) to reduce incidences of wildlife poaching and illegal trade;</p> <p>3.1.2 <u>Enhanced enforcement capacities of environmental inspectors, police, and border guards and customs officers</u> through trainings on integrated wildlife law enforcement (e.g. identification and prosecution of wildlife crime; inter-agency cooperation; risk management; investigative procedures etc.);</p> <p>3.1.3 <u>Implementation of integrated models of wildlife crime reduction</u> (including awareness of wildlife laws, reducing demand through behavior change campaigns, strengthened enforcement of wild life laws including supporting fast prosecution of wildlife crimes)</p> <p>Outcome 3.2: Effective partnerships and development of mechanisms for trans-boundary coordination and cooperation of conservation efforts and improved information management:</p> <p>3.2.1 <u>Mechanisms for partnerships</u> (inter-state in India) and with neighboring countries (Nepal and China) including linking with international and regional initiatives and networks (such as GSLEP, SAWEN)</p> <p>3.2.2 <u>Improved information mgt, strengthened monitoring capacities</u> (e.g. know-how and monitoring equipment), expanding monitoring of SL and prey populations (e.g. camera traps, line transects, occupancy surveys) and establishment of GIS based information management system (initial develop, design and deploy)</p>	1,903,521	5,959,100
Subtotal			10,994,482	38,325,850
Project Management Cost (PMC) <sup>107</sup> (select)			549,710	2,017,150
<b>Total Project Cost</b>			<b>11,544,192</b>	<b>40,343,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

<sup>107</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME**

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Ministry of Environment and Forests	Grants	4,480,870
Recipient Government	Ministry of Environment and Forests	In-kind	576,430
Recipient Government	Department of Science and Technology	Grants	7,294,590
Recipient Government	Department of Science and Technology	In-kind	1,106,860
Recipient Government	State Governments of Jammu & Kashmir, Himachal Pradesh and Uttarakhand (and their relevant line departments)	Grants	13,382,320
Recipient Government	State Governments of Jammu & Kashmir, Himachal Pradesh and Uttarakhand (and their relevant line departments)	In-kind	1,660,290
Recipient Government	Indo-Tibetan Border Police	Grant	3,044,150
GEF Agency	UNDP India	Grants	1,602,900
CSO	Snow Leopard Trust, Snow Leopard Conservancy, others	Grants	1,660,290
Private Sector	CSR, Microcredit Funds, etc.(to be determined)	Grants	2,767,150
Others	Local governments (districts and sub-districts) and communities	Grants	2,767,150
<b>Total Co-financing</b>			<b>40,343,000</b>

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEFTF	India		SFM	3,848,064	346,326	4,194,390
UNDP	GEFTF	India	Biodiversity		6,662,320	599,609	7,261,929
UNDP	GEFTF	India	Land Degradation		1,033,808	93,043	1,126,851
<b>Total GEF Resources</b>					<b>11,544,192</b>	<b>1,038,977</b>	<b>12,583,169</b>

h) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

j) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

**PART II: PROJECT JUSTIFICATION**

## Project Overview

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

The global environmental problems, root causes and barriers that need to be addressed

The high range Himalayan Ecosystem in India is important both for the biodiversity and ecosystems of global significance it harbors and as an important life-support system for a large number of remote and rural communities that depend on it. These ecosystem serve as important habitats for snow leopard and other threatened species while also providing a range of essential ecosystem services – hundreds of

millions of people depend on them for water for hydropower and agriculture, forage for livestock and food for themselves, mineral resources, medicinal supplies and products, cultural traditions and spiritual values, and inspiration that draws increasing number of people from around the globe to experience these places. In fact a rapid estimate of the economic value of some prominent services generated from these ecosystems in India is nearly \$4 billion a year, the bulk of which comes from hydropower and generated electricity (US\$3 billion), followed by livestock and agriculture (US\$0.5 billion), and tourism (US\$0.4 billion)<sup>108</sup>. The Himalayan ranges region is inhabited by a large population of 65.57 million belonging to different communities (multiple ethnic compositions are a striking feature of the region; more than 171 of total 573 Scheduled Tribes of India inhabit the region). The region thus represents a mosaic of pluralistic diversity – a composite of myriad human cultures and linguistic diversity including a number of tribal communities – and their relative seclusion and remoteness has made them the last bastions of globally significant indigenous knowledge and cultural heterogeneity.

The focus of the current project – the high range Himalayan Ecosystem spans the Indian states of the Ladakh autonomous region of Jammu & Kashmir, Himachal Pradesh, Uttarakhand, Sikkim and Arunachal Pradesh. The proposed area will encompass both the greater Himalayas and the trans-Himalayan areas in India. The Greater Himalayas consist of sub-alpine scrub, alpine meadows, vast areas under permafrost, glaciers and rock faces, while the Trans Himalayan cold deserts primarily consists of sparsely vegetated steppes, small patches of moist sedge meadows near water bodies and vast areas that are barren and under permafrost and glaciers. These areas are the headwaters of many major rivers of Northern India. The high range Himalayan Ecosystem are recognized as one of the 35 Global Biodiversity Hotspots by Conservation International and is among the 200 WWF global ecoregions in the world. As a Global Biodiversity Hotspot, the region exhibits very high level of floral endemism. The region accounts for nearly 50% of the total flowering plants of India, of which 30% are endemic to the region; there are also over 816 tree species, 675 edibles and nearly 1,743 species of medicinal value. Fauna in the region presents one of the richest assemblages – 65% are all mammalian species in India recorded in the Himalaya; 50% of the total bird species and 35% reptiles, 36% amphibians and 17% fishes are found in the region. Out of this, 29 species of reptiles, 35 species of amphibian and 36 species of freshwater fishes are endemic to the Himalayan region. The region is also a storehouse of medicinal plants. At least 350 species of are found here, accounting for around 50% of all the medicinal plants. Key medicinal plants species found in the region include *Nardostachys grandiflora*, *Picorrhiza kurroa*, *Swertia chirata*, *Taxus baccata* etc. In addition, the region situates at the centre of the snow leopard<sup>109</sup> range, with a combined unbroken contiguous potential habitat – covering around 128,757 Sq. Kms.

It is worth noting that the snow leopard is an indicator species of healthy high-mountain ecosystems. It is the apex predator of its ecosystems, sitting at the top of the food web. The health and status of snow leopards indicates the health of the ecosystem which support the cat itself, its prey, and a vast amount of biodiversity, as well as contribute to human wellbeing, locally, regionally, and globally. The snow leopard is also an important cultural and spiritual symbol for local communities living in these ranges. The snow leopard preys primarily on bharal or blue sheep and ibex, and the snow leopard's distribution largely matches those of these large ungulates. This diet is supplemented by smaller prey, such as marmots, pikas, hares, small rodents, game birds and, significantly, domestic livestock. Livestock, mostly sheep and goats but also horses and yaks, may form as much as half or more of the diet – as discussed later, this is a cause of one of the major threats this great animal faces, namely retaliatory killing by herders and villagers especially when large number of domestic livestock is involved. The snow leopard ecosystems are important not only as the home to this beautiful cat but also as the environmental and natural resources upon which hundreds of millions of people also depend for water for hydropower and agriculture, forage for livestock and food for themselves, mineral resources, medicinal supplies and products, cultural traditions and spiritual values, and inspiration that draws increasing number of people from around the globe to experience these places. Despite their global and

<sup>108</sup> Snow Leopard Working Secretariat. 2013. Global Snow Leopard and Ecosystem Protection Program Bishkek, Kyrgyz Republic

<sup>109</sup> Other species harboured include the Himalayan Tahr (*Hemitragus jemlahicus*), Himalayan Musk Deer (*Moschus chrysogaster*), Blue Sheep (*Pseudois nayaur*), Asiatic Black Bear (*Selenarctos thibetanus*), Tibetan Wolf (*Canis lupus chanco*), Tibetan Wild Ass (*Equus kiang*) and many others. It is also an Important Bird Area with the high altitude lakes and bogs providing breeding grounds for a variety of avifauna including the threatened Black-necked Crane (*Grus nigricollis*), Bar-headed Geese (*Anser indicus*), Brahminy Ducks (*Tadorna ferruginia*), and Brown-headed Gulls (*Larus brunnicephalus*).

national importance however, the high range Himalayan Ecosystem in India that harbor threatened species such as snow leopards faces a number of significant threats as discussed hereafter.

*Population growth, high incidence of poverty and high dependence on pastoralism and related human-wildlife conflicts:* The region has a steadily increasing population density with corresponding increase in the magnitude of people's dependence on natural resources. There are at present an estimated 36.32 million people that reside in the Indian Himalayan Region (IHR) spread roughly as 25% in western Himalayas, 54% in central Himalayas and 21% in eastern Himalayas<sup>110</sup>. Since the harsh climate and topography of the area are relatively less conducive to agriculture and other developmental options such as industry, most of the region's population is largely dependent on pastoralism. Livestock numbers have increased significantly over the years while the total area of alpine meadows remain constant or reduced. This situation has inadvertently resulted in degradation due to overgrazing in several areas. Further, the loss of natural alpine and sub-alpine meadow ecosystems to pastures meant that wild herbivore species were getting out-competed. This led to corresponding decline in their populations. In other areas, scarce moist meadows that are important foraging grounds of wild herbivores are being either converted to cultivation, or fenced to prevent wild ungulate grazing. A further threat comes from the fact that communities allow cattle in an uncontrolled way to graze in the shrub and herbaceous habitats. This further undermines the already slow natural regeneration rates of these forests and causes disturbance to wildlife. The lower prey numbers and increased presence of livestock in the forest is leading to an increased incidence of reliance of wild predators such as the snow leopard and the wolf on livestock for food. Livestock predation is serious and result in a significant loss of income for rural communities. In addition to wild prey species such as ibex or blue sheep, snow leopards occasionally prey on domestic livestock grazing in their habitat, especially when prey species numbers are on the decline or when livestock numbers increase insofar that it becomes much easier to prey on livestock. Herders are dependent on these animals for both money and food, and the loss of even a single sheep or goat can cause economic hardship for an entire family. Thus, herders often resort to retaliatory killing and has adverse impacts on snow leopard and other wildlife especially in and around key wildlife migration corridors, an important consequence of human-wildlife conflicts. Killing of snow leopards in response to, or prevention of livestock losses are reported to be among the most serious dangers to this species. A study carried out in the Indian Trans-Himalayan region cited that retaliatory killings of snow leopards by herders are considered the largest threat facing the species in India<sup>111</sup>. Occasional killing of sheep and goats by snow leopards are usually tolerated, especially if some of the carcasses can be retrieved, but if large numbers of livestock are attacked, the snow leopards are often killed. In 2002, such incidents were reported from northern India where 75 animals were lost to snow leopards entering the same corral on three separate occasions. This resulted in the aggrieved villagers killing at least 16 snow leopards, with majority of the snow leopards killed on site either after they had taken livestock or entered a village<sup>112</sup>. The tendency of snow leopards to remain at the site where the prey has been killed makes it very vulnerable to such retaliatory killing while much more worrying is the fact that in some States such as Ladakh there were reports that villagers were also engaging in pre-emptive removal of snow leopard threat to wildlife by removing cubs from their dens.

On the other hand, local villagers and communities are left with no choice to depend on livestock rearing and pastoralism despite of the increased incidence of livestock depredation by snow leopard and other wildlife. The difficult terrain, severe weather conditions, small and under-developed markets, poor connectivity and inadequate general infrastructure compounded by limited capacities and skills and governance deficits<sup>113</sup> mean there is a high cost of delivery of public services, thereby acting as constraints for improving the lives and livelihoods of local communities. This acts as a barrier for development of alternative livelihood options for local communities.

*Habitat degradation and fragmentation:* Other human activities in the region that are detrimental include fuel wood collection and illicit felling of trees for timber and other products and occasional

<sup>110</sup> Gargi Banerji and Mashqura Fareedi, Protection of Cultural Diversity in the Himalayas: A Background Paper for a Workshop on Addressing Regional Disparities: Inclusive & Culturally Attuned Development for the Himalayas, PRAGYA

<sup>111</sup> Mishra, C (1997). Livestock depredation by large carnivores in the Indian Trans-Himalaya: conflict perceptions and conservation prospects. *Environmental Conservation*. 24: 338-343

<sup>112</sup> Spearing, A. (2002). The Snow Leopard in Zaskar, Jammu and Kashmir, NW India. In: Proceedings of the Snow Leopard Survival Strategy Summit, May 2002, Seattle, USA. International Snow Leopard Trust, Seattle, USA.

<sup>113</sup> Report of the Committee to Study Development in Hill States Arising from Management of Forest Lands with Special Focus on Creation of Infrastructure, Livelihood and Human Development (B K Chaturvedi Committee Report), Planning Commission of India, November 2013.

forest fires – intentional or from fires escaped from other uses (e.g. for leaf litter collection; shifting cultivation), often leading to degradation of habitats and in severe cases habitat loss and fragmentation. Likewise, the collection of wild medicinal and aromatic plants for local as well as commercial use creates pressures on the forest ecosystems especially when sustainable harvesting practices are not followed. Limited planning and lack of controls (enforcement of safe practices) pertaining to tourism and recreation activities such as trekking, camping and skiing (on the increasing trends) and intrusive developmental activities such as construction of roads cause serious fragmentation of habitat.

*Poaching, poor enforcement and illegal trade:* The impact of illegal trade cannot be measured precisely, due in large part to but illegal trade and illicit demand for threatened species such as snow leopard products exists at national and international levels. Snow leopards are killed and traded for their fur and other body parts, including teeth, claws, and bones. Snow leopard fur is used for clothing, hats, and furnishings. Even the meat is occasionally eaten. Given the value of a snow leopard pelt, pelts from kills by local herders in retaliation for livestock depredation may also end up in one of the market chains. The country has a recent history of trade in snow leopard products. In the 1980s, snow leopard skins were available, valued at about US\$250 to 500 in the north-west Himalayan tourist towns of Srinagar and Manali were reported<sup>114</sup>. Although, there has not been any comprehensive studies or surveys to ascertain the level of trade in snow leopard products in the country, according to a TRAFFIC India compiled information on incidences of poaching and trade involving snow leopards, indicated that between December 1994 to July 2002, 28 seizures were made from several places including in Himachal Pradesh, Uttaranchal, Darjeeling, Jammu and Kashmir and Ladakh. In addition, per State authorities' sponsored efforts to carry out inventory<sup>115</sup> (e.g. Jammu and Kashmir) of fur items indicated a thriving trade in snow leopard products such as snow leopard skin, mounted skin, head, and hat and coats, individual items valued (at that time) between US\$ 200 to US\$1030.

Secondary killing of snow leopards, such as being caught in snares set for other wildlife, may also occur. Even where the primary motive is not to kill snow leopards per se, non-specific hunting practices such as setting traps, poisoning through poisoned prey are serious threats. Several examples from other range countries (e.g. Russian Federation and Kyrgyzstan) illustrate how traps set for musk deer kill snow leopards while un-regulated use of poison to control predators, for example, wolves also threaten snow leopards. To make matters worse, weak wildlife law enforcement including low levels of prosecution due to limitations in capacities and low levels of awareness or political will means there are currently limited deterrent to such practices. Moreover, the size, remoteness, and harshness of snow leopard habitat, plus the fact that most of it lies outside of PAs, makes law enforcement challenging. Porous borders that reduce traffickers' risks of detection also create challenges. In addition, the mountain regions ecosystem span national boundaries and significant portions of range of threatened species such as snow leopards are in areas classified as transboundary landscapes and therefore not in the remit of one single State or country. This calls for increased transboundary cooperation to reduce threats, implement conservation actions and especially as it relates to issues such as poaching and illegal trade across boundaries. Transboundary cooperation that facilitates knowledge sharing and exchange of skills and experience and collaborative efforts to address poaching and illegal trade of wildlife are required.

*Climate change impacts:* In addition, climate change is also expected to affect these landscapes significantly. While the future impacts of climate change on these ecosystem is not certain, and will vary in different areas; however, it seems certain that there will be impacts. For instance, melting glaciers are likely to affect water availability and increase the risk of droughts. Decreases in water availability and increases in temperature may affect pasture production, reducing food availability for both wild prey and domestic livestock. For example, a recent study found that as much as 30 percent of snow leopard habitat in the Himalayas could disappear due to upslope vegetation changes. Climate change can result in consequences such as loss, degradation, and fragmentation of habitat; reduction in natural prey; potential for increased competition with other predators such as common leopards. It is therefore essential to design and implement conservation strategies at landscape scales to ensure the long-term persistence of viable populations of threatened species such as snow leopards and their prey and in turn, their ecosystems on which hundreds of thousands of local communities depend on.

<sup>114</sup> Osborne, B.C., Mallon, D.P. and Fraser, S.J.R. (1983). Ladakh, threatened stronghold of Himalayan mammals. *Oryx* 17: 182-189.

<sup>115</sup> Inventory was carried out with the aim to find out and compensate furriers before all furs of protected species were confiscated and the fur trade closed

Given the above threats, challenges and gaps in conservation responses currently implemented, it is pertinent that a long-term strategy is put in place<sup>116</sup> to secure the globally significant biodiversity, land and forest resources in the high range Himalayan Ecosystem region while enhancing lives and livelihoods of local communities that are dependent on these ecosystems. Three inter-related barriers as described hereunder however currently impede the emergence of such a strategy.

**Barrier 1.** *Limited options of alternative livelihoods and currently inadequate employment of community-based approaches to biodiversity conservation and natural resource management:* As indicated above, given the lack of options and alternatives for local communities in the harsh landscape, most of the areas adjacent and often inside the protected areas are intensively used for livestock grazing and other forms of resource extraction. The increase in population and changes in land use practices by local communities is expected to further increase pressures on biodiversity conservation. Whereas in the earlier times, pastoralists' traditional practices for sustainable use of natural resources had limited impact, the changed practices with increase in population and corresponding increase in livestock herd numbers, abandoning pasture rotation is not only leading to extensive degradation of subalpine pasture meadows. Wild ungulates, such as Argali, ibex or Blue Sheep which are important preys of snow leopards are adversely affected by over-grazing and degradation of pastureland through increased competition with domestic livestock. In addition, hunting of snow leopard prey species for subsistence or for financial gain by local communities and poachers, also affects their number. Whatever the reasons for a reduction in Snow Leopard prey, as a shortage of natural prey can lead to increased predation on domestic livestock. Besides, increased movement of livestock in the snow leopard habitat means that the chances for clash with migration of snow leopards and other key wildlife species will happen eventually. Given high levels of poverty and inherent lack of options for income generating opportunities and high dependence on livestock for their livelihood, loss of domestic livestock to Snow Leopard attacks can amount to a considerable economic loss for herding communities. For instance a survey in the Tsarap valley, in Zaskar, calculated that the average loss to Snow Leopards, per household, in 2000-01 was 1.42 domestic animals, or INR2537 (USD54). Considering that, the average household income in that area is calculated at approximately INR17 784 (USD378), the cost of Snow Leopard predation is clearly burdensome and threatens the livelihood of the herding families. As a result, considerable anger and ill will is generated among local herding communities leading to retaliatory killing of snow leopards – one of the major threat faced by the species. Killings of Snow Leopards in response to, or in prevention of, livestock losses were reported could be cause of prime danger to the species. The tendency of Snow Leopards to remain at the killing site to consume their prey increases their vulnerability to retaliatory killings by herders. Moreover, as described earlier, in some areas (e.g. Ladakh) livestock herders are known to act pre-emptively by removing Snow Leopard cubs from their dens, to try to limit future damage to their livestock. Given the significance of human-wildlife conflicts and the loss of income and other serious impacts on local communities, it is important that communities be fully engaged in jointly evolving strategies to address the issue. There is a need to test and scale community approaches to ameliorate immediate conservation-livelihood conflicts, strategies that increase community ownership of conservation measures, improve livelihood outcomes for local communities and ensures sustainability of conservation efforts should be identified and implemented. These could include compensation schemes, crop and livestock insurance, wildlife deterrent systems such as supporting predator-proof corrals while local communities may also be supported to adopt wildlife friendly crop and livestock management practices. Together with schemes to compensate and offset losses from snow leopard attack, the use of deterrent methods such as adopting modified herding practices and supporting snow leopard proof corrals are also important.

Likewise, illicit felling of trees for fuel wood and timber by local communities and especially selective removal of valuable species is leading to degradation of habitats. Similarly, there is currently limited community involvement in natural resource management including management and regeneration of rangeland/pasture areas and in internal adoption of biodiversity friendly agricultural and livestock practices. It is pertinent that local communities are brought in as partners of and see benefits from biodiversity conservation, if they are to become stewards of biodiversity. In addition, efforts are also required to evolve biodiversity friendly agricultural systems that will reduce pressures on biodiversity while increasing benefits to local communities. Finally, in order to enhance awareness and capacities of local collective institutions in implementing biodiversity conservation, targeted efforts are required that

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<sup>116</sup> For detailed elaboration of the proposed long-term solution, please see section 3 – proposed alternative scenario

support these institutions in assessment and monitoring the condition of biodiversity and integrating findings into local development plans and strategies.

**Barrier 2:** *The existing PA network do not ensure adequate representation or protection for all important wildlife areas including High Conservation Value Forests that are outside the PA while current practices of management of land and forests in the wider landscape is not sustainable.* The current PA network is extensive but it is not optimal – some PAs in the region are open access and either have human habitation within and in close proximity or are used extensively by resident and migratory livestock for grazing. Moreover, some PAs, by themselves, are too small to support populations of threatened species like snow leopard. In addition, PA creation is neither feasible nor desirable to protect the entire important habitat including wildlife corridors, buffer zones and migration routes. In these areas, conservation should be sought through land use planning and other means whereby land use and practices are regulated for coexistence of wildlife with people and for reducing impacts on biodiversity. In addition, to reduce the impacts of development interventions requires the PA authorities to work with other government agencies that are sponsoring these development activities. Further, it is imperative that PA management in the region is rationalized and greater technical and monetary resources are made available to wildlife managers. In tandem, business approaches and opportunities to mobilize funds (tourism, sustainable hunting, production of local crafts, catering, etc.) that would allow additional revenue generation should be promoted. Very importantly, to recognize the role of local communities in PA management, mechanisms for sharing of responsibility and benefits with local communities require testing and further development. Likewise, the current models of transboundary cooperation in Protected Area management should improve and evolve to include broader cross-border cooperation, sharing of knowledge and lessons and cooperation to address key issues that are transboundary in nature, such as the issue of illegal wildlife trade (such as those described under barrier 3 below).

Moreover, there are currently no mechanisms by which the needs of the conservation sector and priorities of other production sectors and corresponding competing demands on lands can be managed and reconciled. Currently, local level land and natural resource management plans such as district land use-plans and sector plans including forestry plans are not coordinated and do not take into account the ecological requirements of flagship species such as Snow Leopard. Corridors providing for wildlife passage to key habitats outside the protected area are lacking, while the forest areas in many of these areas are degraded. Likewise, there are several forest landscapes that can be categorized as High Conservation Value forests<sup>117</sup> but the management of these important areas currently do not feature in both the conservation sector and territorial forestry planning approaches. There is a need to identify, assess, and manage these HCVPs while also ensuring conservation actions are monitored to ascertain their efficacies. In terms of management and protection, locally appropriate models such as conservation through declaration as Biodiversity Heritage Sites should be tested.

**Barrier 3.** *Limited wildlife monitoring, wildlife crime related deterrent systems and prosecution:* Given the difficult terrain (and the fact that much of the area remains snowbound and relatively inaccessible during winters), the limited coverage of PAs and inadequate capacities of inspectors, there is limited application of effective and integrated wildlife crime detection, monitoring and prosecution systems. As such, incidence of poaching, corral trapping, sale of pelts and other wildlife parts, and other wildlife related offences continue to be reported. Owing to poor coordination between state authorities (such as those in charge of PA management) and local self-governments, incidence of wildlife crime go un-addressed; there is limited involvement of local communities in monitoring wildlife populations, patrolling, and other wildlife protection related activity.

The Snow Leopard is protected in India under the national Wild Life (Protection) Act, 1972 as well as under the Jammu and Kashmir Wildlife (Protection) Act, 1978. The species is listed on Schedule I of both laws; with the effect, that hunting is generally forbidden. The maximum penalty for offences concerning animals listed in Schedule I of the Act is seven years' imprisonment and a fine of INR25 000 (USD516) – significant legal deterrent exists. However, poaching and illegal trade in wildlife continues unabated. Despite strong legal protection and prohibitions, weak wildlife law enforcement is a problem across the snow leopard's range including low levels of prosecution even when offenders are apprehended. The reasons for this include limited capacities due to underfunding of the wildlife sector, and in some cases due to lack of political will and awareness. Trade in Snow Leopard products also

<sup>117</sup> HCVPs – in the current case, are areas that contain globally or nationally significant forest landscapes that contain rare, threatened or endangered ecosystems

continue because of loopholes in the legislation and a due to the long time it takes to prosecute cases in courts. Moreover, the size, remoteness, and harshness of snow leopard habitat, plus the fact that most of it lies outside of PAs, makes law enforcement challenging and reduced the traffickers' risk of detection.

An additional issue is that, threats from poaching and illegal wildlife trade are transboundary in nature while there is currently limited cooperation across the borders both within the country (inter-state) and between different countries in the region. Porous borders that reduce traffickers' risks of detection also create challenges. There is thus a need for effective transboundary cooperation address the emerging threats of wildlife related crimes and trade. Within snow leopard range countries, increased cooperation and communication is needed among the agencies involved or potentially involved in combatting wildlife crime (PA enforcement staff, police, customs, border patrols, and army). International efforts are needed to reduce illicit demand for endangered wildlife in markets around the world and increase capacity for global law enforcement action against organized syndicates. Furthermore, there is limited research on diseases, state of forest and alpine ecosystems, and other environmental factors affecting the population of the key wildlife species, especially relating to apex predators including the snow leopard and their key prey species. Thus, addressing and curbing the illegal snow leopard trade needs a series of actions taken at international, national, and local scales.

#### The baseline scenario and associated baseline projects

The National Biodiversity Strategy and Action Plan (NBSAP) and the Addendum to the NBSAP 2008 prepared in 2014 are indicative of the strong commitment of the Government of India to biodiversity conservation. The NBSAP Addendum (2014) also promulgated 12 NBTs in line with the 20 Aichi Global Targets. To achieve these goals, the Government expends large sums of money every year through both central and state level investments. For instance in 2013-2014, the Government of India invested around US\$ 1482.68 million on biodiversity conservation related efforts and actions. Specifically, an important and large baseline is the proposed National Mission on Himalayan Studies (NMHS). This broad programme covering all the Himalayan region of the country has a total budget allocation of around US\$ 50 million during the current 5-year plan (2012-2017) with proposal to allocate an additional US \$16.6 million during the next 5-year plan (2017-2022). The overall vision of NMHS is to launch and support innovative studies and related knowledge interventions towards the sustenance and enhancement of the ecological, natural cultural and socio-economic capital assets and values of the Indian Himalayan Region. NMHS will work towards a set of linked and complementary goals, including, indicatively, (i) fostering conservation and sustainable management of natural resources; (ii) enhancement of supplementary and/or alternative livelihoods of IHR peoples and overall economic well-being of the region; (iii) control and prevention of pollution in the region; (iv) fostering increased/augmented human and institutional capacities and the knowledge and policy environments in the region; and (v) strengthening, greening, and fostering development of climate resilient core infrastructure and basic services assets.

Further, India's commitment to conservation is also reflected in a network of more than 700 protected areas across different ecosystems and bioregions of the country. In the Trans and Greater Himalayan Regions, these include the Great Himalayan National Park, Pin Valley National Park, Kibber Wildlife Sanctuary, Rupi- Bhaba Wildlife Sanctuary, Lippa-Asrang Wildlife Sanctuary, Sangla (Raksham-Chhitkul) Wildlife Sanctuary, and the Sechu-Tuan Nala Wildlife Sanctuary, and the recently declared Cold Desert Landscape in Himachal Pradesh, and the Govind National Park, Gangotri National Park, Kedarnath Wildlife Sanctuary, the Nanda Devi Biosphere Reserve (including the Valley of Flowers National Park and the Nanda Devi National Park), and the Askot Wildlife Sanctuary in Uttarakhand), as well as the Hemis National Park in the Ladakh region of Jammu and Kashmir. India also has an extensive network of biosphere reserves in the Himalayan region, including the Nanda Devi National Park & Biosphere Reserve, the Dihang-Dibang Biosphere Reserve, the Cold Desert Biosphere Reserve and the Khangchendzonga National Park and Biosphere Reserve. Under its support to PAs, the Government of India invests around US \$ 2.45 million (approx. 12.5 million over 5 years) every year in the operations and effective management of these PAs. Likewise, the Ministry is also providing targeted support through financial resources to the Wildlife Crime Control Bureau<sup>118</sup> estimated to

<sup>118</sup> The Wild Life Crime Control Bureau has been created under Section 38Y of the Wild Life (Protection) Act, 1972. The mandate includes collection, collation of intelligence and its dissemination, establishment of a centralized Wild Life crime databank, coordination of the actions of various enforcement authorities towards the implementation of the provisions of the Act, implementation of the international Conventions, capacity building for

around US\$ 3.7 million over five years towards strengthening the control and monitoring of wildlife crimes.

Similarly, the Government of India has over the years invested in several developmental programmes and schemes in the region. These have included, for example, various schemes and programmes by the Departments of Animal Husbandry and Livestock Production, Departments of Forests and Wildlife Protection, Hill Area Development Programme of the Planning Commission, Departments of Rural Development, schemes such as the Border Areas Development Programme (BADP – designed to meet the special developmental needs of the people living in remote and inaccessible areas situated near the international border) and several national missions – National Missions on Sustainable Agriculture, Rural Livelihoods, National Livestock Programme, Special Programmes for Rural Development etc., in addition to the initiatives by district and local administrations. Given that biodiversity conservation requires addressing livelihoods needs of the local communities that depend on natural resources, it is important that the project work with these baseline development programmes. A modest estimate of these investments totals approximately \$10 million every year (approx. 50 million 5 years) and can be shown as contributing to the objectives of the current project particularly with regard to securing sustainable livelihoods, improving land productivity and improving rural incomes.

Another highly relevant baseline project is India's Recovery Programme for 16 Critically Endangered Species, which includes Hungul, Markhor, and Snow Leopard launched in 2009 by the MoEFCC<sup>119</sup>. The project is implemented in five Himalayan States namely Jammu and Kashmir, Himachal Pradesh, Uttarakhand, Sikkim, and Arunachal Pradesh. The project adopts a landscape approach to conservation wherein smaller core zones with relatively higher conservation values will be identified and protected within the larger landscape conservation measures are implemented in such a way that it allows necessary development benefits to the local communities. The project includes focus on development of technical know-how and management models for landscape level conservation management, enhancing partnerships with and participation of local communities and devising and implementing appropriate coordination mechanisms that involve all key stakeholders such as Village and Landscape-level Conservation Committees, State SL Conservation Societies at the local and state level and the National Steering Committee at the centre. This national initiative has a total estimated budget of US\$ 1 million per year (around \$5 million over 5 years).

Finally, the current project builds on the *Global Snow Leopard and Ecosystem Conservation Program* (GSLEP). The GSLEP unites Governments, UN Agencies, NGOs and Researches of the SL range in the effort to conserve this species, as postulated by the International Agreement on SL signed in Bishkek in 2013 (India was one of the signatories). At the national level, as part of the GSLEP, India has the *National Snow Leopard and Ecosystem Protection* (NSLEP) Priorities; India's commitments under the NSLEP include the following: (1) Engaging Local Communities & Reducing Human-Wildlife Conflict; (2) Strengthening Capacity of National & Local Institutions; (3) Transboundary Management & Enforcement; (4) Addressing Knowledge Gaps through Research & Monitoring; (5) Strengthening Policies & Institutions; and (6) Awareness & Communication. The NSLEP in India is also consistent with and complementary to the country's Project Snow Leopard, designed for all biologically important habitats within the SL's range, irrespective of their ownership (e.g. Protected Areas, common land, etc.).

#### The proposed alternative scenario, with description of expected outcomes and components

The objective of the project is to engineer a paradigm shift from the current approach of relying solely on small, isolated Protected Areas and other conservation actions to deliver biodiversity conservation including conservation of threatened species to one that takes an integrated approach – that considers PAs as corner stone of biodiversity conservation but whose integrity and effectiveness can only be attained by working in important areas outside PAs, and also working with sectors and partners outside the conservation sector to effectively reduce threats to globally significant biodiversity. This approach recognizes that the major and emerging threats to biodiversity in the region, including to the survival of threatened species such as the snow leopard, stem from beyond protected areas and also in several cases beyond the conservation sector (and in some cases beyond the region) – these consists of land use change

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scientific and professional investigation, assistance to authorities in other countries for a coordinated universal action towards control of Wild Life crime and to advise the government on various policy and legal requirements.

<sup>119</sup> Other species include Bustard (including Floricans), Dolphin, Hangul, Nilgiri Tahr, Marine Turtles, Dugongs, Edible Nest Swiftlet, Asian Wild Buffalo, Nicobar Megapode, Manipur Brow-antlered Deer, Vultures, Malabar Civet, Indian Rhinoceros, Asiatic Lion, Swamp Deer and Jerdon's Courser

demands for development especially infrastructure development; harmful practices by production sectors and heavy reliance on natural resources by local communities; and emerging threats of illegal wildlife trade and wildlife crime etc. It further recognizes the importance of a landscape approach to the conservation and management of important areas in the Indian Himalayan region, by ensuring that key biodiversity areas, buffer zones, corridors are sustainably managed in tandem with the sustainable use and management of areas that are contingent to these conservation areas or outside of it in the wider landscape. Further, the project recognizes that these landscapes and ecosystems underpin the lives and livelihoods of a large number of local communities and that implementation of coherent strategy to secure livelihoods and promote alternative livelihood options is an integral part of the solution. The project will be implemented over a 6-year period within the snow leopard ranges region<sup>120</sup> and based on the following principles:

- Supporting implementation of an up-front participatory/consultative bottom-up project planning and approach/process that focuses on community priorities and decisions that are linked to conservation outcomes;
- Supporting decentralization by strengthening the role of communities, local government institutions (Panchayat Raj Institutions, community based organizations, such as Biodiversity Management Committees, etc.) in planning and implementation, and increasing their potential for becoming agents of sustainable natural resource management;
- Ensuring that community decisions on resource and income generating options are guided by appropriate knowledge and information about alternatives to existing unsustainable resource uses;
- Adopting an integrated multi-sectoral approach as a strategy for improving the management of natural resources within the landscape; and building on successful lessons and experiences from the previous and on-going programs.

The three components proposed by this project address the corresponding three barriers.

**Component I:** *Securing sustainable community livelihoods in high range Himalayan ecosystems.*

Under this component, the project will seek to improve and diversify livelihoods of local communities in selected areas of the Indian Himalayan region (Ladakh region of Jammu & Kashmir, Himachal Pradesh, Uttarakhand, Sikkim and Arunachal Pradesh), so that local livelihoods can be secured / improved while improving biodiversity conservation outcomes. This will include improvements in current practices of livestock management and protection through measures such as technological/design inputs for predator-proof corrals/livestock enclosures, and modification of herd management such as community agreements for voluntary herd size reductions, identification and demarcation of rangelands for grazing to reduce pressure on and competition with wild ungulate and herbivore populations for pastures. In addition, incentives to conserve some indigenous breeds of livestock will be considered. Likewise, given the limited availability of arable land, measures to enhance agricultural/horticultural crop productivity and quality will also be supported.

These efforts will be complemented by initiatives aimed at diversification of existing/traditional livelihoods in the region such as (indicatively) the development of plans for and initiation of community managed enterprise such as eco-tourism (including homestays; capacity building/training in various aspects of eco-tourism) and identification and development high value NTFPs such as *Cordyceps sinensis* and other medicinal and aromatic plants. It is expected that approximately 15% of communities (tentative estimate) in target area will be supported. The feasibility of increasing the incomes of local communities from biodiversity-compatible activities by approximately 10-15% is estimated to be realistic and is based on past experience in the region. In addition, the project will also seek to enhance local communities and local institutions capacities for formulating and implementing community based approaches to biodiversity conservation: in this regard, the project will help local communities adjust and adapt agri-livestock practices to be more biodiversity friendly while also evolving mechanisms whereby local communities assess, monitor and integrate biodiversity related information into local development plans and strategies. Finally, given the significance of conservation-livelihood conflicts, the project will support identification of and implementation of measures that reduce such conflicts such as promotion of wildlife friendly crop and herd management, use of deterrent systems to minimize

<sup>120</sup> Selection of sites will be carried out through a comprehensive multistakeholder process to identify suitable areas, but is likely to include, indicatively, the Leh District of Ladakh in Jammu & Kashmir; the Chamba, Lahaul and Spiti, Kullu, and Kinnaur Districts of Himachal Pradesh; and the Uttarkashi, Chamoli, and Pithoragarh Districts of Uttarakhand.

incidences of human-wildlife conflict and in some cases mitigating the losses to local communities through compensation and insurance schemes.

**Component II:** *Conservation of key biodiversity areas and effective management of PAs and securing ecosystem resilience, habitat connectivity in wider landscapes in high range Himalayan ecosystems:*

Under this component, the project will seek to minimize threats and disturbance to critical wildlife habitats (especially that of endangered species such as the SL) in the wider landscape outside PAs through planning land uses better – preparing an integrated land, forest and pasture management plans that will include (i) identification of functional zones in selected areas considering natural ecosystem types; (ii) identification and spatial assignment of appropriate land use types that consider conservation needs and development priorities of target areas; (iii) identification of existing and potential conflicts among different land-user and of measures to mitigate or eliminate such conflicts; and (iv) development of a GIS-based land use concept and its dissemination to relevant government bodies. Existing sectoral plans (e.g. forestry and rangeland management plans) will be reviewed and updated/revised to integrate and reconcile conservation and economic needs of the high range Himalayan ecosystems and the promotion of sustainable land use and natural resource management practices in the landscape.

To secure critical biodiversity areas such as HCVPs, the project will identify and protect at least 15,000 ha HCVPs. Protection will be ensured using locally appropriate conservation regimes, which may include the category of Biodiversity Heritage Sites<sup>121</sup>. In addition, boundaries of existing protected areas, buffer zones and biodiversity corridors will be delineated and existing management regimes of the PAs in the region will be reviewed and revised appropriately. It will also facilitate the preparation of management plans for these conservation areas. These plans will be informed by comprehensive and participatory biodiversity assessments and socio-economic considerations to ensure that they provide acceptable and appropriate levels of protection of High Conservation Value Forests (HCVPs). The plans will guide the management of these areas focusing on securing fragile ecosystems and enhancing connectivity. Thus, the project will avoid conversion of at least 15,000 ha of such forests. The project will also support improvement/assisted regeneration of rangelands/pastures (of at least 40,000 ha) through community forestry and collaborative forestry programmes and promote improved pasture management practices including pasture rotation and management plans/regimes that consider feeding grounds and wildlife migration routes (and timing) and while also managing grazing timing, cattle densities etc.

Moreover the project will also seek to build systems for long-term effective conservation of globally significant biodiversity in PAs in selected areas of the high range Himalayan Ecosystem (Himachal Pradesh, Ladakh region of Jammu & Kashmir, Uttarakhand, Sikkim and Arunachal Pradesh) through building/enhancing capacities of all stakeholders to effectively engage in spatial planning and development coordination, increase habitat connectivity with specific focus for restoration of degraded rangeland and wetland habitats. In addition, the project will also seek to develop collaborative efforts and knowledge exchange among PA managers on improvement in the quality and sustainability of protection and management activities. The initiative will also include development and fostering of mechanisms for coordination with other sectors, sector agencies, and planners on dealing with macro threats posed by development and management of land and natural resources in the areas adjacent to PAs in a way they are rationalized and in line with reducing impacts on the PAs. The project will also build in climate change impacts (i.e., boundary shifts of species, communities) in the frame works for PA management in higher Himalaya.

**Component III:** *Enhanced enforcement and monitoring to reduce threats from wildlife crime and other related threats:*

Under this component, the project will help develop and demonstrate effective wild life monitoring, prosecution and other deterrent systems. It will also increase international cooperation through establishing cohesive linkages with global and regional programmes such as linkages with the GSLEP and other relevant initiatives. The project will put in place improved anti-poaching and surveillance measures (including involvement of local communities in anti-poaching and surveillance/wildlife monitoring efforts) backed by efficient and effective information sharing and management systems to reduce incidences of wildlife poaching and illegal trade. In doing so, the project will focus on strengthening the enforcement capacities of environmental inspectors, police, and border guards (including the ITBP, Indian army, customs officers, etc.) through trainings on integrated wildlife

<sup>121</sup> As defined under the Guidelines for Identification, Notification and Management of Biodiversity Heritage Sites, National Biodiversity Authority, India.

law enforcement (e.g. identification and prosecution of wildlife crime; inter-agency cooperation; risk management; investigative procedures etc.) and also strengthen the implementation of CITES, in close cooperation with the Wildlife Crime Control Bureau (WCCB) of the MoEFCC. The project will draw on international best practice and experience for models of wildlife crime reduction (including building awareness of wildlife laws, reducing demand through behavior change campaigns, and strengthened enforcement of wild life laws including supporting fast prosecution of wildlife crimes) while also working actively to co-opt local communities for wildlife crime monitoring and reduction.

The project will also support partnership development and emplacement of mechanisms for trans-boundary coordination and cooperation on conservation efforts and improved information management related to wildlife crime and illegal wildlife trade. The mechanisms for partnerships will include both within the country (inter-state) and with neighboring countries (e.g. with Nepal, Bhutan and China) and make use of existing regional conservation initiatives and networks (such as GSLEP, SAWEN) to build on. The project will also build monitoring capacities (e.g. expertise and monitoring equipment), expanding monitoring of SL and prey populations (e.g. camera traps, line transects, distance sampling, occupancy surveys) and establishment of GIS based information management system (initial development, design and deployment).

### Incremental cost reasoning and global environmental benefits

The table below provides a summary of the current scenario, the changed scenario that would result from the GEF investment and the increment and global environmental benefits that will be generated.

Summary of baseline scenario	Summary of GEF scenario	Increment
	<u>Biodiversity</u>	
<ul style="list-style-type: none"> <li>- The PA system leaves out significant areas of the range of key wildlife species in the region</li> <li>- Absence of or very basic management/business plans at PAs and limited funding for species conservation;</li> <li>- Limited research, mapping only ad-hoc monitoring of keystone wildlife</li> <li>- Construction of roads, communication lines and other economic infrastructure disrupts migration routes of keystone wildlife species without compensatory activities</li> <li>- Very limited or no engagement of communities in protected area management</li> <li>- High incidence of human-wildlife conflicts and wildlife crime</li> <li>- Populations of threatened/endangered mammals present in wider landscape outside of PAs likely to fall.</li> <li>- Biotic pressures on prey species exceed sustainable limits and undermine its food base of keystone predator species.</li> </ul>	<ul style="list-style-type: none"> <li>- Better-managed and financially sustainable ecological network including PAs in the region offer improved threatened species representation of key predators and its prey species.</li> <li>- Business and management planning concept widely used,</li> <li>- Reduced human-wildlife conflicts and wildlife crime</li> <li>- Compliance of economic resource-users with biodiversity standards is monitored and enforced in and around the newly established and existing PAs, as well as in buffer zones and migration corridors.</li> <li>- Under-represented biodiversity is studied and monitored on a systematic basis.</li> <li>- Communities are actively engaged in ecologically compatible activities in and around PAs.</li> <li>- Management systems developed/strengthened to ensure sustainable food base for keystone wildlife species.</li> <li>- PA managers, foresters and communities trained in land use compatible with SL ecology, as well as in wildlife crime prevention.</li> </ul>	<ul style="list-style-type: none"> <li>- Financial sustainability and management effectiveness of selected PAs in Himachal Pradesh and Uttarakhand is increased by 25% over the baseline (measured by METT).</li> <li>- Threat and disturbance reduction (coverage to be determined during project planning): ~15% reduction in illicit Juniper/other species forest cuts; ~20% reduction in predator kills by herders; ~17% reduction in poaching (these and further indicators will be finalized based on PPG research, both for baseline and target values)</li> <li>- Up-to-date data on SLs and keystone wildlife species and expanded international cooperation in SL and other keystone wildlife species conservation, research and monitoring,</li> <li>- Contribution to implementation of CBD PoWPA (expansion of PAs, integration of PAs in wider landscapes, and community engagement schemes).</li> <li>- Innovative institutional arrangements for active community involvement in conservation</li> <li>- Improved/enhanced contribution to relevant MEAs including CITES</li> </ul>
	<u>Sustainable Land Management</u>	
<ul style="list-style-type: none"> <li>- Overgrazed pastures exceeding carrying capacity resulting in erosion,</li> </ul>	<ul style="list-style-type: none"> <li>- Integrated land use planning in select PAs and in the wider landscape in the region,</li> </ul>	<ul style="list-style-type: none"> <li>- Competitive pressures between land uses in mountain steppe/pasture</li> </ul>

<p>vegetation loss and water deficiencies.</p> <ul style="list-style-type: none"> <li>- Pasture rotation absent;</li> <li>- No use of outlying pastures due to absence of advanced of livestock trails, bridges and watering points</li> <li>- Infringement of grazing onto protected areas</li> <li>- Limited support for communities in the region focusing on livestock and agriculture and no opportunities for ecosystem-friendly alternative livelihoods</li> <li>- High vulnerability of homesteads, livestock, and other community assets to climate change, especially run-off and flooding from extreme weather events</li> </ul>	<p>juxtaposing economic use maps with ecosystem condition and biodiversity distribution maps,</p> <ul style="list-style-type: none"> <li>- Incentives for reducing pressures on pastures stimulated through micro-credit</li> <li>- Rehabilitation and sustainable management of pasture planning with engagement of local communities; rotational grazing, investments in repair and maintenance of pasture infrastructure (bridges, wells) allows greater flock mobility; regeneration of the natural pasture covers using natural pasture seeds.</li> <li>- Improved vegetation covers and reduced erosion in areas of investment</li> <li>- Sustainable alternative livelihoods, benefitting recipients (coverage numbers to be determined during project planning) in the 7-10 years immediately after the project.</li> <li>- Local communities (coverage numbers to be determined during project planning) and their assets in selected project areas become more resilient to climate variability and extreme weather events</li> </ul>	<p>landscapes reduced in productive lands covering ~ 40,000 ha:</p> <ul style="list-style-type: none"> <li>- Decrease in grazing pressure and improved condition of mountain steppe ecosystems,</li> <li>- Improved vegetation cover, fodder productivity and pasture regeneration,</li> <li>- Innovative mechanisms for SLM and biodiversity in increased in targeted districts</li> <li>- Innovative mechanisms for local climate risk assessments and adaptation interventions based on these developed and replicated across</li> <li>- Increased soil carbon as a result of above of 1,853,353 tCO<sub>2</sub>-eq/10y (based on FAO Exact model)</li> </ul>
<ul style="list-style-type: none"> <li>- High dependence on biomass based energy for lighting, cooking and heating</li> </ul>	<p><i>Climate Change</i></p> <ul style="list-style-type: none"> <li>- Introduction/promotion of energy efficient and renewable energy technologies such as solar lighting, etc. and energy efficient cook stoves</li> </ul>	<ul style="list-style-type: none"> <li>- Reduction in biomass usage in selected intervention areas, in and around centres/pockets of human habitation</li> </ul>
<ul style="list-style-type: none"> <li>- Excessive logging/extraction of key species such as Juniper and other hardy herbaceous species such as Artemisia by local communities,</li> <li>- Uncontrolled collection of non-timber/medicinal/aromatic products in the region resulting in their degradation,</li> <li>- Infringement of agricultural and other anthropogenic activities on Juniper and other hardy herbaceous species such as Artemisia,</li> <li>- Livestock grazing destroying undergrowth and clashing with migration routes of keystone wildlife species,</li> <li>- HCVA's not/inadequately classified;</li> <li>- Weak capacities of foresters and poor collaboration with local communities.</li> </ul>	<p><i>Sustainable Forest Management</i></p> <ul style="list-style-type: none"> <li>- Identification and good management practices in HCVA with involvement of communities;</li> <li>- Adjustment of volume, timing and mode of harvesting of timber and non-timber resources in areas of high concentration of Juniper and other hardy herbaceous species such as Artemisia, in line with ecosystem carrying capacity principles and SL and other keystone wildlife species migration;</li> <li>- Reforestation of degraded areas of Juniper and other hardy herbaceous species and grazing management in such areas;</li> <li>- Training of foresters and communities in forest management planning and enforcement of the HCVA standards</li> </ul>	<ul style="list-style-type: none"> <li>- HCVA's identified and designated (at least 15,000 ha) including biological corridors adequately managed and protected ensuring stability of ecosystem functions including provision of wildlife habitat and migration routes ensuring avoided carbon emissions of 3,559,845 tCO<sub>2</sub>-eq/10 y (<i>based on Tier-1 FAO Exact model</i>).</li> <li>- Degraded forests (1,000 ha) restored ensuring carbon sequestration of 168,675 tCO<sub>2</sub>-eq/10 y (<i>based on Tier-1 FAO Exact model</i>).</li> </ul>

### Innovativeness, sustainability and potential for scaling up

*Innovativeness:* The landscape approach of the project is an innovation for the region: PA efforts alone are not adequate to ensure conservation due to the fact that threats to conservation emanate beyond PA boundaries. The project recognizes that in order to improve conservation outcome in the Himalayan landscape, it is important to evolve strategies to reduce the negative effects of competing land uses on natural resources, such as addressing natural resources and land degradation, improve and secure local livelihoods, and reduce incidences of wildlife crime. The project's investment in integrated land use planning for pasture and forest use outside PAs that will secure and conserve key wildlife areas such as

buffer zones, corridors is designed to meet this need and is innovative in the country. Similarly, employment of a range of conservation-livelihood conflict mitigation measures in particular, crop and livestock insurance schemes together with efforts to espouse new models and ways of working with local communities including appropriate governance models and mechanisms is an innovation. Identification and designation of HCVA's and designing special regimes with communities on forest restoration and agroforestry is another important innovation for the Ladakh region of Jammu & Kashmir, Uttarakhand and Himachal Pradesh.

*Sustainability, replication and dissemination:* It is expected that in the 7-10 years after implementation, the central and state governments will replicate/upscale the project's initiatives to cover all the PAs as well as the entire snow leopard range in the Indian Himalayas. The project would explicitly focus on (i) scaling up of successful landscape conservation models; (ii) raising awareness; (iii) promoting explicit linkages between conservation and development; (iv) and replicating participatory conservation mechanisms to other PAs and biodiversity. The operational and financial sustainability of the expanded ecological network in the selected project areas of the region will be ensured by commitment of Government to allocate core financing for PAs completed to a large extent by revenue generated through tourism and other mechanisms including allocations from other development sectors as conservation and sustainable resource use will be integrated into land-use plans in the wider landscape. The engagement of India in the international GSLECP as well as by participating in high-level negotiations on the future policy and land use improvements aiming at conservation of this species will ensure the longevity of the results in the areas of monitoring, research, mapping and policymaking.

A.2. *Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

Stakeholder	Role
<i>Government agencies</i>	
Ministry of Environment, Forests and Climate Change (MoEFCC) and its constituent departments/wings/agencies	MoEFCC is the focal point institution of the implementation of the Convention on Biological Diversity in India. It is the key implementing partner of the project, responsible for its coordination across Governments, and with local communities and private sector stakeholders. The project will coordinate with the Mountain, Biodiversity and the Wildlife Division within the Ministry for achieving the outcomes. The Ministry will also support the climate change resilience and adaptation elements of the project in coordination with the relevant state government departments, including, indicatively, the State Watershed Management Directorates. Coordination with the National Biodiversity Authority and State Biodiversity Boards for relevant components will be ensured.
Department of Science and Technology (DST)	DST is the focal point for India's National Mission on Sustaining the Himalayan Ecosystem (NMSHE), and has an integrated focus on ecosystems in the Indian Himalayan Region
State Forest Departments	Primary partners for implementation in Jammu and Kashmir, Himachal Pradesh, Uttarakhand, Sikkim and Arunachal Pradesh as custodians and managers of PAs and other High Value Conservation Areas (Reserved Forests)
Ministry of Agriculture	The Ministry is a key partner in the development and implementation of the agriculture related management plans in target areas. Along with its research centers under the Indian Council for Agricultural Research (ICAR) and Indian Agricultural Research Institute (IARI) as well as its local offices are key for coordinating the activities with local authorities and also development of strategies, methods and technical assistance for improvements in agriculture in the target areas
Ministry of Rural Development Ministry of New and Renewable Energy (MNRE)	Links will be established with the State Livelihood Missions for convergence and leveraging support in various rural livelihoods activities MNRE will support/foster the energy related components of the project
District administrations	The local administrations are critical providers of community engagement in the project. They will have an important role to play in all project activities: planning and establishment of the ecological network, land use changes, planning and establishment of the buffer zone and corridors, innovative pasture management, alternative livelihoods support program, etc.
ITBP, Indian Army etc.	The Indian paramilitary and armed forces based in the target regions will be important stakeholders and partners given their presence in the region through the year including winters, when much of the region becomes snow bound and inaccessible.

Stakeholder	Role
<i>Non-government organizations and local communities</i>	
Snow Leopard Trust and the Nature Conservation Foundation	The SLT and the NCF are actively engaged in India's Project Snow Leopard and are implementing a livelihoods and conservation project in the Upper Spiti region of Himachal Pradesh. SLT and NCF will be key knowledge and capacity building partners in the project, and will help cross-pollinate experiences from their Upper Spiti into the project
Snow Leopard Conservancy	SLC have been successfully running livelihoods (ecotourism focused, including homestays) and conservation program in the Hemis National Park in the Ladakh autonomous region of Jammu and Kashmir. The project will partner SCF to cross-pollinate their experiences from Ladakh into the project
Other local NGOs/CBOs	Other NGOs and CBOs in Himachal Pradesh and Uttarakhand will be identified and co-opted as required during planning and project implementation.
Local communities in the targeted areas of Himachal Pradesh, Uttarakhand, and Ladakh	Primary beneficiaries under Component I of the project; active users of ecosystem services and beneficiaries of project results in Component II
<i>Research expertise</i>	
Wildlife Institute of India (WII)	As India's premier institute and research centre for wildlife studies and conservation, WII be a key partner for all wildlife and conservation aspects of the project
G B Pant Institute of Himalayan Environment and Environment (GBPIHED)	GBPIHED, as a key national research centre on Himalayan environment and development issues will be a key partner in all aspects of the project. It is the Centre of Excellence for the MoEFCC and is hosted in the Mountain Division of the MoEFCC.
International Centre for Integrated Mountain Development (ICIMOD)	ICIMOD will be a key partner across multiple areas of project planning and implementation including planning; will also be a key policy and knowledge partner and facilitator for transboundary cooperation and landscape level conservation and management interventions.
<i>Private sector</i>	
Various agencies	Active collaboration with the private sector in the project will be sought. Collaboration is likely to include provision of services such as microcredit, crop and livestock insurance (including, potentially, index-based micro-insurance), infrastructure design and support, as well as management inputs, etc. as required by the project from time to time. Various universities and other academic/research institutions in the target states are likely to be potential key partners, and will be identified and co-opted as appropriate.

**A.3 Risk.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

Risk	Level	Mitigation
Continued exacerbation of the threats connected to the undermining of the food base of SLs and other keystone wildlife species in the target areas	M	Without the project, this threat is material because of systemic issues outlined above in the barriers section. As a response, the project will design an improved policy aiming at reducing the pressure on keystone wildlife species, and will work to separate livestock transhumance from SLs and other keystone wildlife species migration. The feasibility of successfully implementing these activities is believed to be high, and therefore, the risk of the food base disruption will be minimized.
Communities might not buy in to the new approaches in planning and managing the use of pastures as they might perceive the risk of losing income, at least temporarily (due to perceived reduction in stocking density)	M	While efforts will be made under the project, where required to support voluntary herd-size reductions, sustainable pasture management plans will presuppose such scenarios where amount of livestock does not necessarily need to decrease, therefore loss of income would not actually happen. The project will design measure to enable comfortable access to more distant pastures and start proper pasture rotation (necessary activities and budget had been factored in under Component II). This will decrease the density (and hence the pressure on grassland and forest ecosystems) without reduction in livestock numbers. Communities will be broadly consulted during the design and testing of this approach.

Risk	Level	Mitigation
Disease or climate change have an adverse impact on population of SLs and other keystone wildlife species	L	According to current scenarios, changes in the species compositions in most ecosystems of India are not expected to be catastrophic. In the mountains, the rise in temperature is expected to be mitigated by elevated humidity and relief conditions. Mammals with a large home range and endemic vegetation are most vulnerable to predicted aridization of climate and shift in ecological zones, but will be able to adapt if they have space for movement. This is one of the key reasons that the project has chosen to emphasize landscape-level actions together with protected area expansion. The project will enable the emergence of a supportive matrix of land uses, including the ecological corridors to connect protected areas. In addition, this approach will limit climate change risk by providing pathways along macro-climatic and upland-lowland gradients to enable species movement in a context of potentially shifting ecological zones.

#### A.4. Coordination. Outline the coordination with other relevant GEF-financed and other initiatives:

The proposed project will coordinate with on-going GEF-financed Biodiversity projects in the country as described below:

The UNDP-GEF implemented *India high range Landscape Project - Developing an effective multiple-use management framework for conserving biodiversity in the mountain landscape of the high ranges, the Western Ghats, India* that will build effective collaborative governance framework for multiple use management of forest landscapes will generate lessons on land use planning and permitting framework that considers both ecological /environmental priorities and development objectives. The current project can benefit from this in particular in the design of measures to reduce conflicting land use demands at the landscape level in the fragile SL landscapes; in addition, the current project will complement the work under the former project in areas of development of guidelines / tools for integrating biodiversity into production sector practices; and also share lessons with each other for cross-fertilization of ideas and approaches to promote sustainable use and management of wild resources by local communities.

Similarly, the recently approved WB-GEF project “*Integrated Biodiversity Conservation and Ecosystem Services Improvement Project*” will also build capacities in relevant government agencies at the central and state level to mainstream biodiversity conservation into development plans and policies while also demonstrating means and strategies to improve conservation status of forest ecosystems including development models for enhancing and measuring carbon stocks and carbon sequestration in production and other types of forests in tandem with development of models for sustainable use of biodiversity for increased incomes and improved livelihoods. The current project will directly complement efforts under the WB-GEF project and will make use of the models for carbon stock improvement and measurement in promoting sustainable forest management practices in the wider landscapes in the SL ranges.

In addition the GEF-UNDP project “*Mainstreaming conservation, sustainable use and cultivation of medicinal and aromatic plants in the forestry sector in three Indian States*” will form the basis of some of the work that will be taken forward in engaging local communities in inventorisation and monitoring of medicinal plants found in their jurisdiction and adding value to select medicinal and aromatic plants using their traditional knowledge and validation and commercial use of this traditional knowledge. Similarly another UNDP project “*Biodiversity Conservation through Community Based Natural Resource Management*” will serve as the lessons bank to enhance community capacities in resource management and securing livelihood opportunities from initiatives related to ecotourism, community conserved areas and enrichment plantations of degraded forest lands through indigenous and endemic high value medicinal plant.

The project complements the global UNDP-GEF project *Transboundary Cooperation for Snow Leopard and Ecosystem Conservation*. This Global project designs tools, methods and guidelines for identification of SL landscapes; enhances enforcement capacities of local protection agencies through training; puts in place unified mapping and monitoring protocols; supports cross-country coordination and dialogue and private sector engagement. Finally, the project will link with and share lessons across the portfolio of GEF financed biodiversity projects within the country and will take proactive steps to document and disseminate lessons through national and regional fora.

Description of the consistency of the project with:

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSEMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO**

**ACHIEVING. (YES  /NO  ). IF YES, WHICH ONES AND HOW: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCS, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURS, ETC.:**

Given the focus on Himalayan environment and ecosystems, the project is consistent with the imperatives of the National Mission on Sustaining the Himalayan Ecosystem (NMSHE), as well as with the recently announced (October 2014) National Mission on Himalayan Studies. The project is closely related to the *National Biodiversity Strategy and Action Plan of India* since it develops improved policies for use of natural resources, forest conservation, expands protected areas and raises the engagement of communities in their management, all of which are the NBSAP priorities. It also demonstrates an integrated approach to the management of PAs for under-represented ecosystems, covering a number of topics, ranging from technical aspects (capacity building of existing and new protected areas, harmonization of PA, management planning, development and implementation of a comprehensive monitoring system for biodiversity and ecosystems) to socio-economic dimensions (support for alternative income-generating activities for local communities such as ecotourism, and apiculture, to integration of PAs with biodiversity conservation and sustainable land use in adjacent areas. The project will also be complementary to the various national initiatives in the region such as the Cold Desert Biosphere Reserve in Himachal Pradesh, the Nanda Devi Biosphere Reserve in Uttarakhand, the Kanchenjunga Biosphere Reserve in Sikkim, the recently declared UNESCO heritage site, the Great Himalayan National Park in Himachal Pradesh, the Project Snow Leopard, as well as with India's NSLEP.

Further, as part of the country's commitment to the achievement of the global Aichi Biodiversity Targets, the project directly supports the achievement of at least 4 Aichi targets (target 12, 5, 11 and 15). In addition, India has established 12 national biodiversity targets (NBTS). These NBTS, its associated indicators and monitoring framework along with the NBAP form the blueprint for biodiversity conservation in India. The current project contributes directly to the following targets 3,5, and 6 while the project will also have auxiliary contributions to the targets 1, 4, 7, 9 and 11. The project is consistent with the recommendations of the GSLEP process and has been a direct response to the implementation of the GSLEP priorities in the country.

## 10. Combatting illegal and unsustainable trade in endangered species in Indonesia (Indonesia)

### PART I: PROJECT INFORMATION<sup>122</sup>

Project Title:	Combatting illegal and unsustainable trade in endangered species in Indonesia
Country(ies):	Indonesia
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Environment and Forestry (Directorate General for Forest Protection and Nature Conservation - PHK); Indonesian National Police (Criminal Investigation Division - CID) ; Wildlife Conservation Society (WCS)
GEF Focal Area(s):	Biodiversity

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>123</sup>:**

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-2 Programme 3	GEF TF	6,988,853	42,000,000
Total Project Cost		6,988,853	42,000,000

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

**Project Objective:** To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia

Project Components	Financing Type <sup>124</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Effective national framework for managing wildlife trade	TA	<ul style="list-style-type: none"> <li>• Enhanced legal and policy environment with necessary subsidiary regulations enacted and operationalized, removing loopholes and inconsistencies.</li> <li>• Appropriate institutional frameworks in place to coordinate implementation of wildlife trade policy and action to combat illegal wildlife trade, both nationally and with other countries</li> <li>• Domestic and international information systems established accurately tracking and sharing legal trade volumes and revenues, enforcement effectiveness, reliable intelligence on illegal trade and its impacts across sectors, and in situ status of traded species, allowing rapid feedback in regulatory system.</li> <li>• Increase in state revenue from regulation of legal wildlife trade.</li> </ul> <p><i>Baseline and targets will be established during the PPG.</i></p>	1,000,000	2,000,000
2. Institutional capacity for implementation	TA	<ul style="list-style-type: none"> <li>• Increased institutional capacity of the law enforcement agencies indicated by increase in the UNDP capacity development</li> </ul>	2,000,000	10,000,000

<sup>122</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how

it will contribute to the overall Program.

<sup>123</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>124</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>124</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
and enforcement at the national and international levels		<p>scorecard developed for wildlife trade control</p> <ul style="list-style-type: none"> <li>• Increased rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases</li> <li>• Increased and more effective enforcement of cooperation between Indonesia and other key states along the wildlife trafficking value chain (e.g. Viet Nam, China, Malaysia), leading to multiple arrests and convictions, disrupting and dismantling significant wildlife crime syndicates</li> </ul> <p><i>Baseline and targets will be established during the PPG.</i></p>		
3. Scaling-up improved enforcement strategy at key trade ports and ecosystems	TA INV	<ul style="list-style-type: none"> <li>• Increased enforcement effectiveness at 5 key trade ports, indicated by: (i) Reduction in trade of tiger, rhino, elephants, pangolin, manta rays, hornbills, cockatoos, birds of paradise and other species; measured by status in wild trade volume, seizures, arrests, prosecutions; (ii) Reduction in volume of legal wildlife trade, matched by <i>increasing</i> state revenues, for a suite of 10 commonly traded species, accounting for the bulk of the volume; measured by status in the wild, trade volume, prices and revenue.</li> <li>• Effective management of two landscapes of critical importance for tigers, rhinos, orang-utans, etc. measured by: (i) increase in Protected Area Management Effectiveness of 20% at the two target PA landscapes; (ii) stable or increasing populations of tiger and rhino measured through population assessments in the target PAs; (iii) reduction in poaching cases and increase in arrests and convictions at the two sites.</li> </ul> <p><i>Baseline and targets will be established during the PPG.</i></p>	3,658,000	29,200,000
Subtotal			6,658,000	41,200,000
Project Management Cost (PMC) <sup>125</sup>			330,853	800,000
<b>Total Project Cost</b>			<b>6,988,853</b>	<b>42,000,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

<sup>125</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME**

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Ministry of Environment and Forestry, Indonesian National Police etc.	Grants	40,400,000
GEF Agency	UNDP	Grants	100,000
CSO	Wildlife Conservation Society	Grants	1,500,000
<b>Total Co-financing</b>			<b>42,000,000</b>

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS<sup>a)</sup>**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEF TF	Indonesia	Biodiversity	N/A	6,988,853	628,997	7,617,850
<b>Total GEF Resources</b>					<b>6,988,853</b>	<b>628,997</b>	<b>7,617,850</b>

a) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

c) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

**PART II: PROJECT JUSTIFICATION****PROJECT OVERVIEW***A.1. Project Description*

**The Problem:** The illegal trade in fauna and flora (other than fisheries and timber) has been estimated by different sources to be worth US\$ 7-23 billion dollars annually<sup>126</sup> and US\$ 2.5 billion in East Asia and the Pacific alone<sup>127</sup>. This trade has already caused the decline and local extinction of many species across SE Asia, including those inside protected areas. Much of the trade is highly organized, benefits a relatively small criminal fraternity, whilst depriving developing economies of billions of dollars in lost revenues and development opportunities. Within Southeast Asia, a significant amount of this trade starts from Indonesia, one of the world's top 10 'megadiverse' countries and the largest supplier of wildlife products in Asia, both 'legal' and illegal. Illegal wildlife trade is the preeminent threat to Sumatran Rhinoceros (Critically Endangered; population 100-120 individuals), Sumatran Tigers (Critically Endangered; 650 individuals), Asian Elephants (Endangered) and Sunda Pangolin (Critically Endangered). Indonesia is also becoming an important transit point for the illegal wildlife trade from Africa to East Asia, such as African Ivory<sup>128</sup>. The consequence of the unsustainable trade is a massive threat to globally important wildlife. The value of the *illegal* trade in Indonesia alone is estimated at up to US\$ 1 billion per year. Factoring in the unsustainable *legal* trade, the value rockets, translating into an enormous economic, environmental, and social loss.

Combatting illegal wildlife trade in Indonesia is hindered by a lack of interest and poor collaboration between law enforcement agencies, lack of understanding regarding laws and enforcement procedures, and regulatory loopholes and inconsistencies that prevent successful prosecutions. For example, inside Indonesia the trade and sale of African ivory and non-native tiger or rhino parts is legal. Regulatory reform is critical to address these issues. The underlying socio-economic factors contributing to these threats include population growth and poverty in rural and protected

<sup>126</sup> Nellemann, C., Henriksen, R., Raxter, P., Ash, N., Mrema, E. (Eds). 2014. The Environmental Crime Crisis – Threats to Sustainable Development from Illegal Exploitation and Trade in Wildlife and Forest Resources. A UNEP Rapid Response Assessment. United Nations Environment Programme and GRID-Arendal, Nairobi and Arendal, [www.grida.no](http://www.grida.no).

<sup>127</sup> UNODC. 2013. Transnational Organized Crime in East Asia and the Pacific. A threat assessment. United Nations Office on Drugs and Crime.

<sup>128</sup> CITES. 2013. Status of African elephant populations and levels of illegal killing and the illegal trade in ivory: A report to the African Elephant Summit. December 2013, CITES Secretariat, IUCN / SSC African Elephant Specialist Group, TRAFFIC International.

area boundary zones, which reduce the ability of local communities to practice sustainable agriculture and natural resource use. Productive job opportunities – which might provide local residents with an alternative source of livelihood – are limited, driving some to engage in illegal poaching activities.

**Baseline:** Indonesia was a signatory to the Declaration agreed upon at the London Conference on the Illegal Wildlife Trade in February 2014. Ministry of Environment and Forestry (MoEF) is the focal agency for wildlife crime via the Directorate General of Forest Protection and Nature Conservation (PHKA). PHKA also manages the national protected area system, and has a budget of US\$ 148 million, including the conservation agency (BKSDA) in each province. PHKA has around 7,908 forest rangers across Indonesia of which about 2,999 are protected area rangers. These are supported by 1,025 forestry civil investigators, including some under the authority of local government, and 11 brigades of SPORC (special ranger investigation units), consisting of 796 personnel. Rangers do not have powers of arrest, so patrolling is not very effective and there is a need for improving coordination with the police and the army. Much of the enforcement effort is directed towards forestry offences.

The Criminal Investigation Division (CID, Bareskrim POLRI) of the Indonesian National Police (INP) is a key player in combatting nationwide illegal wildlife trade. Unit 1 is specifically tasked with targeting environmental crimes, and has 7 staff and an annual budget of \$50,000. It has played a leading role in the majority of high-profile prosecutions brought successfully in Indonesia over the past 5 years, however is hampered by limited staffing, budgets, capacity and the limited importance attached to wildlife crimes by prosecutors, the judiciary and customs. Other relevant Indonesian Law enforcement agencies include the Attorney General's Office (AGO), the Ministry of Marine Affairs and Fisheries, Customs, Quarantine, the Corruption Eradication Commission (KPK) and the Financial Trans-projects Analysis and Reporting Centre (PPATK).

The government's effort has been complemented by investments from bilateral and multilateral agencies, and international NGOs over the past years. Since 2003, the Wildlife Conservation Society (WCS) has pioneered an innovative approach to working with law enforcement agencies across local, regional and national scales to combat illegal wildlife trade in Indonesia, called the "*Wildlife Crime Unit*" (WCU). Over 290 test cases have been prosecuted by government law enforcement agencies based upon information provided by the WCU, with a successful prosecution rate of >90% and including the 10 largest wildlife crime cases ever prosecuted in Indonesia. This is unparalleled in the Southeast Asian context, and the WCU is the most successful example of an approach to combat illegal wildlife crime in the region. WCS currently invests c.\$250,000/year in work on illegal wildlife trade in Indonesia.

Under a 2014 MoU between the Government of Indonesia and the United States Government (USG), US Government agencies are providing capacity-building assistance to law enforcement agencies on environmental crimes (including wildlife trafficking) and are facilitating regional dialogues of action to reduce illegal wildlife trade. These are implemented by US Department of Justice (US-DoJ) International Criminal Investigative Training Program (ICITAP), US-DoJ Office of Overseas Prosecutorial Development, Assistance and Training (OPDAT), and the US Agency for International Development (USAID). Regional initiatives include USAID-ARREST (Asia's Regional Response to Endangered Species Trafficking, 2010-2016); The Association of Southeast Asian Nations' Wildlife Enforcement Network (ASEAN-WEN); efforts by the International Consortium for Combatting Wildlife Crimes (ICCWC) partners, including the CITES secretariat, Interpol, World Customs Organisation, United Nations Office on Drugs and Crime and the World Bank. In December 2012, Indonesia and Vietnam also signed a MoU on Wildlife Law Enforcement, which is driving bilateral cooperation within the region.

The baseline activities, although significant, fall short of the proposed **long-term solution**: to conserve key wildlife species in Indonesia, by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country. Even biodiversity within the PA system is not shielded from poaching to supply the domestic and international illegal wildlife trade. Wildlife is a natural resource that if exploited well can fuel development, provide considerable state revenues and provide financial incentives to manage wildlife and ecosystems.

**Barriers:** Although the government has made tremendous efforts to control poaching and illegal wildlife trade as described above, its efforts have been impeded by a number of barriers. These include (1) Weak policy and regulatory framework and insufficient information and tools to understand, regulate and combat illegal wildlife trade; (2) suboptimal institutional capacity for compliance monitoring and enforcement; and (3) Ineffective enforcement at the site and landscape level.

### **The Proposed Alternative Scenario**

**The Project:** The objective of the proposed project is to *reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-east Asia*.

The objective will be achieved through three interconnected components with the set outcomes, as summarised in the project framework table in Section B. This project will implement activities at three geographic levels; the national (central government) level in Indonesia; at a number of key sites *within* Indonesia that are significant for domestic and export trade, and; a selected number of activities designed to facilitate inter-country coordination across the East and Southeast Asia region. The project will evaluate its impact against the rate of loss of biodiversity within Indonesia, achieved through a reduction in unsustainable trade. The project will use key indicator species (representative of the three main typologies of trade; given above) to monitor trade volume and economics and wild population status. These indicators are given in the Project Framework, above, and will be refined and the baseline and targets will be confirmed during the project inception.

**Component 1: Effective national framework for managing wildlife trade.** This component aims to enhance the legal and policy environment by creating subsidiary regulations and removing loopholes and inconsistencies that prevent enforcement of measures to combat illegal wildlife trade. Appropriate institutional frameworks will be put in place to ensure inter-agency coordination domestically and internationally. National and international information systems will be established accurately tracking and sharing legal trade volumes and revenues, enforcement effectiveness, reliable intelligence on illegal trade and its impacts across sectors, and on the in situ status of traded species. Furthermore, a cost recovery system will be established from regulation of wildlife trade. The project will support establishment of the National Wildlife Crime Taskforce, involving the Indonesian National Police, MoEF and Attorney General.

**Component 2: Institutional capacity for implementation and enforcement at the national and international levels.** Under this component, the project will support key law enforcement institutions to ensure that institutional capacity, including development of tools to support for continued effective actions for combatting illegal wildlife trade. Increased capacity will be gauged using a capacity development scorecard tailor made for wildlife trade control, increased rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases. Increased and more effective enforcement cooperation between Indonesia and other key states along the wildlife trafficking value chain (e.g. Vietnam, China, Malaysia) is expected, leading to multiple arrests and convictions, disrupting and dismantling significant wildlife crime syndicates.

**Component 3: Scaling-up improved enforcement strategies at key trade ports and ecosystems.** This component will focus on scaling-up of on-the-ground implementation of improved enforcement capacity and strategies supported under component 1 and 2, including the Wildlife Crime Unit approach.

### **Summary of Incremental Approach and Global Environmental Benefits**

**The incremental approach can be summarised as follows:** The government of Indonesia has clearly identified preventing domestic and transnational illegal wildlife trade issues as a priority action items in conserving biological diversity. However, despite strong commitment from the government, actions are seldom taken to concretely remove the barriers to effective enforcement against trafficking and poaching of highly threatened species. In particular, legal inconsistencies, regulatory loopholes and unclear institutional arrangements (e.g. responsibilities of different line agencies) limit the potential for effective action. The capacity and understanding amongst law enforcement agencies is low, regional partnerships are not being implemented, and mechanisms to regulate legal wildlife trade are not being appropriately applied. The proposed intervention is particularly timely given the sharp increase in illegal wildlife trade volume globally and the emergence of Indonesia as a key source country in regional wildlife trade networks as well as significant transit country for transnational wildlife trafficking.

**In the baseline situation**, regulatory loopholes, lack of coordination between enforcement agencies, a lack of capacity and resources, and an inability to upscale successful models (e.g. the Wildlife Crime Units) will mean that wildlife trade, both illegal and legal, will substantially increase or, at best, will continue unabated, resulting first in local declines followed by outright extinctions of key Indonesian wildlife species, including tigers and rhinos. Illegal wildlife trade will continue to operate as organized crime, while legal wildlife trade will remain poorly regulated, raising few revenues for the state, and acting as a cover behind which illegal trade can flourish.

**In the alternative scenario enabled by the GEF**, systemic and institutional barriers to effective action to combat illegal wildlife trade and regulate the legal wildlife trade will be removed at national, provincial and landscape levels through improved regulatory and institutional frameworks, and enhanced and coordinated government action. The main loopholes and channels by which illegal trade can masquerade as legal will be closed. Irresponsible legal trade will become more tightly regulated, while responsible legal trade will be given more freedom. Capacity amongst national and regional enforcement agencies will be increased; there will be greater awareness of the importance of

reducing the use of wildlife products, and enhanced high-level political will to act. A nation-wide system for monitoring wildlife trade and wildlife crime cases will be established for the first time and operationalised. The Indonesian state and people will benefit economically while the globally significant wildlife of Indonesia, such as rhinos and tigers, will be lifted from the threat of extinction caused by unsustainable exploitation.

**Global Environmental Benefits:** Indonesia is one of the most biodiverse regions in the world, and supports many mammal and bird species including endemic and endangered species threatened by commercial wildlife trade such as Sumatran tiger, Sumatran and Javan rhinoceros, orang-utan and elephants. The country is located in the biodiversity distribution path of the Asian continent (Java, Sumatra and Kalimantan islands) and Australia (Papua), and is in the transitional zone of the Wallace line (Sulawesi, Maluku and Nusa Tenggara islands), and therefore harbours the biological richness of Asia, Australia and the transitional zone of the two continents. GEF funding will secure populations of globally significant species through dramatically improving the systemic and institutional capacity of the nation to control commercial wildlife trade and associated overexploitation of species. In addition, the GEF finance will significantly reduce the role of Indonesia as a transit and destination country in transnational wildlife trafficking networks, such as for African Ivory.

**Innovativeness, Sustainability and Potential for Scale-up:** The development of cost-effective and sustainable solutions to reduce the detrimental impacts of wildlife trade is central to all aspects of this project. The project will work to support and strengthen Indonesian and regional institutions and authorities to reduce poaching and illegal wildlife trafficking. The underlying premise of the project is that interest already exists within the Government of Indonesia, especially its enforcement agencies, in controlling poaching and wildlife trafficking; what is needed is a combination of facilitation and demonstration to show that those resources can be applied for the benefit of globally important biodiversity and Indonesia's economic development. Following the completion of the project, these institutions and authorities will be empowered and better equipped to exercise their mandates, without requiring further external resources. The project will build on existing initiatives and policies to develop better collaboration and information exchange, rather than creating new costly systems. The project will promote the legitimate industry over unscrupulous traders by developing the market and regulatory environment into one, which provides a clear competitive advantage to legal, sustainable and responsible trade. The project's goal is to put in place a comprehensive system to control trade which will eliminate the risk of further loss and extinction of wildlife, *and* which requires no further donor input. Particularly innovative aspects of this project include scaling-up the Wildlife Crime Unit (WCU) approach and the development of cost recovery mechanisms. The WCU is already one of the most successful approaches to combat illegal wildlife trafficking in Southeast Asia, albeit on a modest scale currently, and key to the success is the partnership of Indonesian law enforcement agencies (MoEF, INP, MMAF, AGO, PPATK, etc.) working together to combat wildlife crimes. Scaling-up this innovative approach has huge potential to serve as a model for other countries in the region. The project will also test cost-recovery mechanisms from illegal trade seizures using money-laundering legislation and from legal trade through fiscal regulations to ensure trade is taxed at a level commensurate with the cost of regulating it. These types of approaches have been often discussed with respect to wildlife trade, but have never been trialled in the region.

A.2. *Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes X /no ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

The following stakeholders have been identified. Many of the stakeholders have been consulted to develop this concept. All the stakeholders here will be extensively consulted and the stakeholder table will be further refined during the PPG.

STAKEHOLDER	MANDATE AND RELEVANT ROLES IN THE PROJECT
Ministry of Environment and Forestry (MoEF)	The national executing agency for the project. It is responsible for biodiversity conservation, protected area and wildlife management, as well as forest management. It is a principal agency responsible for licensing and regulating most legal trade, approving quotas and policing illegal trade. It is the focal ministry for various environmental conventions including the Convention on Biological Diversity and the Convention on International Trade in Engaged Species of Fauna and Flora (CITES), and houses the National GEF Secretariat office. The Directorate General of Forest Protection and Nature Conservation (PHKA) will be the lead implementer for the project. It is responsible for species conservation and enforcement of forestry and conservation laws, including implementation of CITES, regulation of legal wildlife trade, and action to reduce poaching and combatting illegal wildlife trade. Within PHKA, the Directorate of Forest Protection and Investigation (PPH) is charged with law enforcement and forest crime prevention, the Directorate of Biodiversity Conservation (KKH) is charged with safeguarding biodiversity, and the Directorate of Protected Areas (KKBHL) is responsible for protected area management.

BAPPENAS	National government agency responsible for national economic and development planning, as well as development of strategies and policies in determining financial allocations for the various sectors of the national economy. Therefore it is an important stakeholder of the project in particular in the financing component.
Indonesian National Police	A lead implementing partner for the project. The Criminal Investigation Division (CID, Bareskrim POLRI) is responsible for investigating and combating organized crime, including environmental offences and transnational crime. It will be a key co-implementer of the Intersectoral National Crime Task Force and Wildlife Crime Unit and many other interventions of the project, as well as a beneficiary of institutional capacity development.
Ministry of Marine Affairs and Fisheries	National government agency responsible for management of marine resources and fisheries, including regulation of trade in and protection of marine species.
Attorney General's Office (AGO)	Oversees prosecutors throughout Indonesia from its headquarters in Jakarta. It will be a key co-implementer of the component related to the capacity of the Judicial system, as well as a project beneficiary.
Financial Trans-projects Analysis and Reporting Centre (PPATK)	National agency to regulate financial transactions and combat money laundering. It will be a key co-implementer of the Intersectoral National Crime Task Force and Wildlife Crime Unit
Customs & Excise	National agency responsible for overseeing customs departments at international border crossings. It will be a key co-implementer of the Intersectoral National Crime Task Force and Wildlife Crime Unit, as well as a beneficiary of institutional capacity development.
Eijkman Institute	Non-profit, government-funded, research institute with a mission to develop the domestic science base in the field of medical molecular biology and biotechnology. The Institute is at the forefront of efforts to develop forensic science techniques in Indonesia for law enforcement, including wildlife forensics.
National Parks Agencies	Subsidiary units of the MoEF. They are responsible for managing individual national parks. These agencies will be the primary implementers of the project within each national park.
Indonesian Institute of Sciences (LIPI)	LIPI is the governmental authority for science and research in Indonesia. It consists of 47 research centers in fields ranging from social to natural sciences. MoEF collaborates with LIPI for species conservation work, and it is responsible for setting offtake quotas. LIPI will be collaborator for the systematic biodiversity monitoring strengthening component of the project.
Provincial agencies for Natural Resource Conservation	Provincial unit of the Ministry of Forestry and responsible for managing wildlife trade and protected areas except for national parks, including nature reserves, wildlife sanctuaries, nature recreation parks and hunting parks. They will be a primary stakeholder at the provincial and local level activities of the project.
Provincial Police	Provincial unit of the Indonesian National Police responsible for investigating crimes and undertaking law enforcement actions. It will be a key co-implementer of the Wildlife Crime Unit element, as well as a beneficiary of institutional capacity development.
Local communities	Key users and beneficiaries of forest biodiversity. They are the affected parties of human wildlife conflict, and have the potential to play a major role in local habitat conservation, poaching control, and natural resource management. Critical participants of the project at the local level.
Wildlife Conservation Society (WCS) and other Indonesia-based CSOs	WCS is the leading international organisation in Indonesia supporting government agencies to develop approaches to combat illegal wildlife trade. WCS will be a co-financier and key implementing partner to this project.
International Organisations such as UNODC, Interpol and CITES Secretariat	International organisations working to combat illegal trade such as the UNODC, Interpol, World Customs Organisation, CITES Secretariat, ASEAN WEN are key partners of this project, in particular for the components to strengthen regional and international cooperation.

**A.3 Risk.** The following risks have been identified. These will be further investigated and updated during the PPG phase.

RISK	LEVEL	MITIGATION MEASURES
<i>Mal-governance and Corruption:</i> A major factor in wildlife trade, and accordingly one that has not been underestimated. Even when laws and mandates are clear, the mandated response is not always forthcoming. This is related to low motivation, as discussed above, poor resource allocation, as discussed below, but also to the insidious effects of corruption, that thrives in the poorly regulated environment.	H	Addressing corruption requires considerable high-level political support. Reducing its impact requires action against corruptors, but can also be addressed through tighter regulatory structures and improved monitoring that highlight when appropriate action is <i>not</i> being taken. Many of the described project components are designed to specifically address corruption and other forms of mal-practice and mal-governance. For example, strengthening the regulatory framework and government capacity will enhance oversight and limit opportunities for malpractice. Presence of an internationally funded high profile project will further support the government's efforts for stumping out corruption.
<i>Lack of industry support:</i> The wildlife trade industry is secretive, fragmented as well as multi-national. There is often a link to criminal syndicates. This presents challenges	M-H	The project implementers have considerable experience with such trade participants, and will seek to engage industry at all levels, as well as devise a strategy with international organisations to counter criminal syndicates. The project activities will be developed based on a thorough situation analysis based on the latest global information, data and

RISK	LEVEL	MITIGATION MEASURES
for project implementation, industry engagement and enforcement		knowledge on the structure of the international and national trade compiled by international organisations and individuals.
<i>Suboptimal collaboration:</i> Coordination between various agencies proves to be suboptimal due to sectionalism and bureaucracy.	M	This project has been developed in full collaboration with the Indonesian government and its agencies. There have already been considerable discussions and joint efforts between key government law enforcement agencies. The momentum created by the project will further strengthen and institutionalise the coordination and joint action mechanisms. Joint work will be demonstrated at both national and local levels and necessary systemic and institutional capacities will be installed to ensure sustainability.
<i>Major natural disasters:</i> Natural disasters such as earthquake, floods, volcanic eruption etc. inhibit the increase in national and provincial government's attention and investment in combatting illegal trade.	L	This risk is every prevalent in Indonesia. The project will elevate the illegal wildlife trade issues to the national political and economic agenda, as well as developing the National Strategy to Combat Illegal Wildlife Trade. Increased awareness that illegal wildlife trade is a national and global crisis and security issues should minimise shifting of resources away from the work to natural disaster emergency work. In addition, the project is designed to institutionalise every output and install the necessary systemic and institutional capacity for tackling illegal wildlife trade, operationalising essential inter-agency coordination at both national and local level, and this will ensure continuation of core work even in the event of natural disasters.
Climate change may undermines the conservation objectives of the Project	L	The nature of the project means climate change effects are unlikely to impact.

#### A.4. Coordination. Outline the coordination with other relevant GEF-financed and other initiatives:

The proposed project forms a part of the Programmatic Approach to Prevent the Extinction of Known Threatened Species. Given that Indonesia is a key transit point for the illegal wildlife trade from Africa to Asia, the project will contribute directly to combatting illicit wildlife trade between the continents by strengthening the national framework and capacity for improved enforcement and effective coordination with trade source and destination countries. The project will directly contribute to protecting populations of threatened species in Africa as well as in Indonesia and more widely in the Asia. Coordination between the projects under the programme will be assured by the global steering committee for the programme and bilateral / multilateral communication channels that will be established between projects, as well as through existing regional platforms for tackling wildlife trafficking.

The proposed project will directly complement the UNDP-GEF project *Enhancing the Protected Area System in Sulawesi (E-PASS) for Biodiversity Conservation* (2014-2019) and UNDP-GEF project PIMS No. 4892 *Transforming effectiveness of biodiversity conservation in priority Sumatran landscapes* (2015-2021). These two projects address the main threats to biodiversity across the islands of Sumatra (home to Indonesia's remaining Sumatran tiger, Sumatran Rhino and Sumatran Orang-utan populations) and Sulawesi (notable for its high rate of endemism); through interventions, including strengthening protected area management and site-level actions to reduce poaching. By targeting the regulatory, institutional and capacity barriers to effective action to combat illegal wildlife trade at the national level, the proposed project will complement these landscape-level GEF initiatives.

The proposed project will similarly complement other landscape-focused initiatives, including the US Government - Government of Indonesia debt-for-nature swap under the *Tropical Forest Conservation Act*, USAID's investments in landscapes through its forestry programme, and the German Government's investments in landscapes through the International Climate Initiative and bilateral development cooperation.

The proposed project will coordinate closely with other smaller-scale initiatives to strengthen enforcement capacity and institutional frameworks to address environmental crimes in Indonesia, including ICITAP's training programs, OPDAT's work with the AGO, UNODC and Interpol. Representatives from these programmes will be invited to participate in the PPG phase consultations to ensure that project activities complement and strengthen, rather than duplicate, activities by other bilateral or multilateral donors.

UNDP has a large presence in Indonesia and, in its country operations, the project fits within the UNDAF (2011 – 2015), in particular, Outcome 5 Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities. UNDP Country Programme Document (CPD), covering 2011-2015, in particular Country Programme Outcome 2.1. Enhanced capacity of GOI to manage natural resources and energy. More precisely, the project will contribute to the CPAP outcome 2.1 Responsible national institutions and relevant stakeholders are more effective in managing environmental resources and addressing environmental pollution by implementing the intended output of Government, private sector and CBO partners to stimulate coherent and effective policy frameworks, action plans, implementing arrangement and

funding arrangement to sustainably manage terrestrial ecosystems. Wildlife trade is essentially a governance issue, and herein lies the main strength of UNDP. Aspects of this project relating to the development of sustainable supply chains also lie firmly in UNDP's field of expertise. Within Indonesia and the region, UNDP is also very well placed to implement this project as the leading UN agency assisting the Government of Indonesia in implementing NBSAP towards achievements of the Aichi Targets under the CBD. The UNDP Country Office (CO) will assign an experienced biodiversity conservation programme manager within the Energy and Environment Unit, guided by the head of the Unit and supported by the alternate staff, administrative assistant, and the UNDP finance office. The UNDP Regional Technical Adviser based in Bangkok, as well as the global adviser on wildlife trade and enforcement based in Addis Ababa, will provide technical support to the CO for implementation, monitoring and evaluation of the project.

#### **DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:**

**B.1** Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? For biodiversity related projects, please reference the Aichi Targets that the project will contribute to achieving. (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.:

The Government of Indonesia (GoI) has demonstrated its commitment toward conserving biodiversity by signing all major international treaties on environment protection. Domestically it has enacted many laws, regulations and decrees designed to protect natural resources. The Indonesian Biodiversity Strategy and Action Plan 2003 – 2020 (BAPPENAS 2003), in identifying actions to tackle the threat of illegal logging and wildlife trade, highlighted the need to address not just the direct enforcement of relevant laws but also the underlying causes, including a lack of political will, weak sectoral linkages and the low capacity of local constituencies. This project has been designed to meet all major objectives of the IBSAP (2003) concerning wildlife trade, improved law enforcement and implementation of CITES. In particular, the project is fully in line with the IBSAP Policy: "To build and develop effective institutional arrangement and policies at the national and local levels, accompanied by effective law enforcement for biodiversity management, which is synergic, responsible, and accountable and in conformity with international agreements on biodiversity management." Goal 4.3 is: "Elimination of illegal logging and harvesting of flora and fauna, including their illegal trade"; Goal 4.12 is: "Improvement in the capacity of government and communities, at the national and regional level, to sustainably use biodiversity, but ensuring conservation priorities"; and Goal 4.13 is: "Better coordination in the implementation of CBD between government and nongovernment agencies, and improved coordination in the implementation of various other international conventions such as CITES." Program 4.10 is "improving law enforcement to protect conservation areas" and Program 4.11 "improvement of law enforcement to prevent and control the overharvesting and degradation of biodiversity outside of conservation areas".

The proposed project will also assist Indonesia to meet its commitments under the 2014 London Declaration on Illegal Wildlife Trade, including Articles I, II and V ("Eradicating the market for illegal wildlife products"), Articles VIII, IX, X and XI ("Ensuring Effective Legal Frameworks and Deterrents"), Articles XIII, XIV and XV ("Strengthening Law Enforcement"), Article XX ("Sustainable Livelihoods and Economic Development") and Article XXIV ("Way Forward"). The project also targets three of the 14 target species identified by the Ministry of Forestry (tigers, rhinos and orang-utans).

This project directly addresses the CBD Objective to conserve biological diversity while enabling the sustainable use of its components. It contributes towards Strategic Goals 'A', 'B' and 'C' under the 2011-2020 Strategic Plan for the CBD, approved in Nagoya in 2010. The project will contribute towards achieving the following Aichi Biodiversity Targets: Elimination of incentives harmful to biodiversity (Goal A, Target 3); Sustainable production and consumption of natural resources (Goal A, Target 4); Sustainable management of fisheries and forest areas (Goal B, Targets 6 and 7); Effective management of protected areas covering 17% of terrestrial and 10% of marine and coastal areas (Goal C, Target 11); Prevention of extinctions and improvements in the conservation status of threatened species (Goal C, Target 12); and improvements in scientific knowledge and technologies relating to the status, trends and use of biodiversity (Goal E, Target 19).

Furthermore, this project directly supports the implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), arguably one of the most important global instruments for addressing illegal wildlife trade. The CITES Strategic Vision 2008-2020 emphasizes the importance of national commitment to implementation of the Convention and its principles. This project will support compliance through strengthening legislation and policy, improving sharing of information between Parties, enhancing effective

enforcement of illegal trade and support capacity building of officers tasked with enforcing national implementing legislation. The project will also facilitate a number of decisions from the CITES Conference of the Parties 16th Meeting in 2013. As a major source, country for regional trade in species of freshwater turtles and tortoises this project will support efforts to examine and enhance enforcement of trafficking in these species in line with Decisions 16.118 and 16.121. The project will enable greater interagency information sharing among the police, customs and the CITES Management Authority (MA) that will allow the MA to compile data and report to the Secretariat on seizures, disposition of specimens, arrests, and convictions of cases that will result in more accurate reviews by the Standing Committee on trade in Asian pangolin species (16.41), Asian big cat species (Decision 16.68, Res. Conf. 12.5 Rev. CoP16), freshwater turtles and tortoises (16.113, 16.114, 16.115), and rhino specimens (16.84, 16.86) in the Asian region.

## 11. Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach

### PART I: PROJECT INFORMATION<sup>129</sup>

Project Title:	Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach
Country(ies):	Kenya
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Environment, Water and Natural Resources; Kenya Wildlife Service
GEF Focal Area(s):	Biodiversity; Land Degradation

### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>130</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-1 Improve Sustainability of Protected Area Systems; Program 2 Expanding the Reach of the Global Protected Area Estate	GEFTF	1,500,000	6,059,000
BD-2 Reduce threats to globally significant BD; Program 3 Preventing the extinction of known threatened species	GEFTF	1,409,174	7,000,000
LD-3 Reduce pressures on natural resources by managing competing land uses in broader landscapes; Program 4 Scaling-up sustainable land management through the Landscape Approach	GEFTF	917,431	7,500,000
Total Project Cost		<b>3,826,605</b>	<b>20,559,000</b>

### B. CHILD PROJECT DESCRIPTION SUMMARY

Project Objective: To combat poaching and illegal wildlife trafficking in Kenya through an integrated approach.				
Project Components	Financing Type <sup>131</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Strengthening capacity for effective BD and IWT governance in Kenya.	TA	1.1. Formulation and implementation of Kenya's National IWT Strategy to promote the value of wildlife and biodiversity for Kenya's national development and to combat IWT through a coordinated approach.  <i>Indicator: Significant improvements in capacity of key role-players as indicated by customized Capacity Development Scorecard.</i>	1,380,000	5,520,000
2. Reducing poaching and illegal trade in threatened species [site level].	INV	2.1. Wildlife crime is combated in and around targeted sites [Tsavo 22,000 km <sup>2</sup> and Maasai Mara 1,510 km <sup>2</sup> ecosystems covering 23,510 km <sup>2</sup> combined; in addition to buffer zones, conservancies to be determined at PPG] through strengthened	1,365,000	5,460,000

<sup>129</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how

it will contribute to the overall Program.

<sup>130</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>131</sup> Financing type can be either investment or technical assistance.

		enforcement operations on the ground.  <i>Indicators: METT scores improved by at least 20% in Tsavo East and West National Parks and Maasai Mara; Increased arrests, prosecutions and convictions [means of measurement, baselines and targets to be determined at PPG]</i>		
3. Establishing at least 2 new Community Conservancies in Tsavo and Maasai Mara ecosystems, with sustainable land management and livelihoods promotion.	TA	3.1. At least 2 new Community Conservancies are created in critical areas to secure seasonal migrations of wildlife, effectively expanding area of protection within 1-2 landscape, leading to reduced wildlife crime, effective co-management of wildlife and their habitats, restoration of degraded landscapes and sustainable local income generation.  <i>Indicator: At least 2 new conservancies are established and gazetted, increasing the area under protection and sustainable land and forest management; Area to be determined during PPG. Establishment of community-based IWT monitoring network; Number of small grants disbursed in support of SLM and CBRNM; Area adopting SLM and CBRNM practices to be determined at PPG.</i>	899,386	8,600,000
Subtotal			3,644,386	8,600,000
Project Management Cost (PMC) <sup>132</sup> at 5%			182,219	979,000
<b>Total Project Cost</b>			<b>3,826,605</b>	<b>20,559,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Government	Ministry of Environment, Water and Natural Resources	Grant	17,059,000
Multilateral Donor	USAID	Grant	1,500,000
Multilateral Donor	DFID	Grant	1,000,000
GEF Agency	UNDP	Grant	500,000
NGO	A number of NGOs are expected to co-finance this work, confirming at PPG	Grant	500,000
<b>Total Co-financing</b>			<b>20,559,000</b>

<sup>132</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

#### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee at 9% (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEFTF	Kenya	Biodiversity		2,909,174	261,826	3,171,000
UNDP	GEFTF	Kenya	Land Degradation		917,431	82,569	1,000,000
<b>Total GEF Resources</b>					<b>3,826,605</b>	<b>344,395</b>	<b>4,171,000</b>

k) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

m) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

#### E. PROJECT PREPARATION GRANT (PPG)<sup>133</sup>

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

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

Project Preparation Grant amount requested: \$100,000					PPG Agency Fee: 9,000		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee <sup>134</sup> (b)	Total c = a + b
UNDP	GEF TF	Kenya	Biodiversity		100,000	9,000	109,000
<b>Total PPG Amount</b>					<b>100,000</b>	<b>9,000</b>	<b>109,000</b>

### PART II: PROJECT JUSTIFICATION

#### Project Overview

##### The problem:

Kenya's biodiversity is amongst the richest and most diversified in Africa, and constitutes a unique natural heritage of great national and global importance. It harbors biological resources of considerable global and national economic value. Specifically, Kenya harbors roughly 25,000 animal species, 7,000 plant species and at least 2,000 species of fungi recorded so far<sup>135</sup>; occupying a wide range of ecosystems, from coral reefs and mangroves, through semi-desert and dry savannahs, saline and freshwater lakes, to moist forests (including coastal forests in coastal areas and Afromontane forests in interior mountain areas), which give way at high altitudes to afroalpine vegetation. The country is rich in species, with 359 species of mammals, 1,100 of birds, 324 of herpetofauna, and 7,000 species of vascular plants<sup>136</sup>.

The Maasai Mara and Tsavo landscapes (as well as the Greater Amboseli and the Laikipia-Samburu landscapes) are of particular interest as their dispersal areas contain large species aggregations, especially of globally significant mammals and birds, which motivated their early inclusion in Kenya's protected area (PA) system. Today, the PA system includes National Parks, National Reserves, local sanctuaries, private sanctuaries, Forest Reserves, County Council forests and National Monuments managed primarily by the Kenya Wildlife Service (KWS). The PA estate consist of more than 50 National Parks and National or Forest Reserves covering both terrestrial and marine environments and spanning roughly 11% of the country's land area (or approximately 44,000 km<sup>2</sup>). The majority

<sup>133</sup> PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$50k for PF up to \$2m (for MSP); up to \$100k for PF up to \$3m; \$150k for PF up to \$6m; \$200k for PF up to \$10m; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

<sup>134</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

<sup>135</sup> NBU 1992. *The costs, benefits and unmet needs of biological diversity conservation in Kenya. A study prepared for the Government of Kenya and the United Nations Environment Programme*. Nairobi: National Biodiversity Unit.

<sup>136</sup> NEMA (2011). *Kenya State of the Environment and Outlook 2010*. National Environment Management Authority, Nairobi

of Kenya's National Parks and National reserves are located within rangeland ecosystems. These include the Tsavo East and Tsavo West National Parks, the Maasai Mara and assorted national reserves and conservancies.

In Kenya, PAs constitute the primary biodiversity conservation reserves; however, they are not entirely representative of the country's biodiversity endowment, thus a great deal of the country's biodiversity is located outside of protected areas. Kenya undertakes wildlife conservation in private, state and trust lands (lands held in trust for the benefit of resident communities by the local government) that harbor more than 70% of wildlife, outside protected areas. For the communities that live in these ecosystems, agriculture, livestock and forests account for most of the subsistence and cash economy, employment and export earnings. Following 20 years of experimentation by communities and landowners, conservancies have become the preferred avenue for securing land rights, settling resource use conflicts, pasture management, drought management strategy and an avenue for creating institutions that support benefit sharing and enterprise development. The movement has grown from 4 conservancies in the early 1990s to 150 today covering 15 million acres and spread in 19 counties. These include both privately owned land and communal trust lands.

Yet, over the last three decades, Kenya has lost more than half of its wildlife resources. Kenya relies extensively on wildlife for its tourism base. Wildlife attracts over one million tourists per year, generates over 12% of the national GDP, and directly employs over 230,000 Kenyans officially, and more informally; this is now at risk, and communities and landowners that depend on the diminishing natural resources base face growing poverty. While Kenya has established one of the best-trained, equipped and well-funded wildlife authorities in Africa, the systematic poaching of elephants and rhino and the subsequent trafficking of wildlife products continues to rise. This is due in large part to the rapidly increasing global illegal wildlife trade industry. As of 2011, the value of global trade of wildlife (excluding fisheries and timber) was calculated to be between USD7.8 billion and USD10 billion per year<sup>137</sup>. Together with illegal fish and timber utilization, this industry comprises the fourth largest global illegal trade after narcotics, humans and counterfeit products<sup>138</sup>.

In Kenya, the poaching of elephants has risen significantly since 2007. This is directly related to an increasing demand for ivory (and rhino horn) from Asia. It is thought that 35,000 elephants are killed per year for their ivory to supply strong and rising demand, particularly in countries such as China and Thailand, although the United States of America (USA) and Europe are also major players. With a decline of almost 10% from 554,973 elephants between 2007 and 2012, it is considered that this is the worst crisis faced by elephants since 1989<sup>139</sup>.

Poaching and illegal wildlife trade activities also put national security at risk. Sudanese militias are thought to have poached ivory for sales in Chad, Kenya and elsewhere<sup>140</sup>; these parties use violence whenever necessary in order to complete their operations. Furthermore, poaching and wildlife trade fuels corruption within governments, reducing economic stability and hindering growth as well as influencing decision-making among government leaders and reducing the trust of the nation in its leaders. In addition, the intermediaries involved in the trade of animal products are becoming more skilled at disguising their goods and avoiding arrests at country exit and entry points. As a result, it is extremely urgent to combat the ivory trade and slaughter of elephants through a multi-pronged national and international approach.

**Threats:** Although the Tsavo and Mara ecosystems form the bedrock of Kenya's tourism, their biodiversity is threatened by declining ecological integrity of the ecosystem, habitat degradation, loss of migration and dispersal areas and insularisation, encroachment of incompatible land uses and escalating human-wildlife conflicts. In addition, according to a recent INTERPOL report<sup>141</sup>, Kenya is currently the most frequently used country for transiting of ivory in Africa. Escalating poaching and trafficking has serious implications for the country's development and its tourism-based economy. It threatens communities and livelihoods and is associated with other organized crimes and terrorism. Countering these threats requires an approach that aims to stop the supply of ivory

<sup>137</sup> Myburgh, J. in: Haken, J. 2011. *Transnational Crime in the Developing World*, Global Financial Integrity, Washington, DC, USA.. In: WWF / Dalberg. 2012. *Fighting illicit wildlife trafficking: A consultation with governments*. WWF International, Gland, Switzerland.

<sup>138</sup> Global Financial Integrity, 2011. *Transnational Crime in the Development World*. [online] Available at: <http://transcrime.gfintegrity.org/> [Accessed 01 December 2013]

<sup>139</sup> UNEP, CITES, IUCN, TRAFFIC 2013. *Elephants in the Dust – The African Elephant Crisis*. A Rapid Response Assessment. United Nations Environment Programme, GRID-Arendal.

<sup>140</sup> Begley, S. 2008. Extinction Trade: Endangered animals are the new blood diamonds as militias and warlords use poaching to fund death. *The Daily Beast*. <http://www.thedailybeast.com/newsweek/2008/03/01/extinction-trade.html>. In: WWF / Dalberg. 2012. *Fighting illicit wildlife trafficking: A consultation with governments*. WWF International, Gland, Switzerland.

<sup>141</sup> Insert title of report

and horn from Kenya. This deterrent approach includes: achieving successful anti-poaching operations on the ground; cracking down on trafficking on highways and in towns, land, air and seaports; legal reform from investigations through to prosecutions and sentencing; successful arrests and prosecutions; creating public stigma against poaching and demand through outreach; and the creation of community-led conservancies that support sustainable local income generation.

**Baseline:** The following policies and programmes form the backdrop to the baseline for the proposed project:

- **Wildlife Policy (1975)** provides guidelines for the protection, conservation and management of wildlife in Kenya. The Wildlife Policy stressed the need for an integrated approach to wildlife conservation and management to minimize human-wildlife conflict.
- **Environmental Management and Coordination Act (1999)** has served as the main framework of environmental law in the absence of a National Environmental policy. It was enacted to provide an appropriate legal and institutional framework for the management of the environment. The act deals with all aspects of the procedural and substantive process in relation to environment and development including law enforcement and monitoring of compliance.
- **Vision 2030 Plan (2005)** places emphasis on the need for provision of appropriate labor training on environmental management. The plan focuses on four sectors for sustainable development: the conservation of natural resource, pollution and waste management, ASALs and high-risk disaster zones and environmental planning and governance. The inclusion of ASALs in government policy will lead to the integration of concerns specific to rangelands into national planning and development. Environmental considerations fall under the social pillar of Vision 2030 and identify securing wildlife corridor and migratory routes as a priority.
- **Forest Act (2005)** provided for the establishment of state, local authority and private forests, as well as the operation of Community Forest Associations (CFAs). CFAs may be registered of under the Societies Act and may be granted certain rights upon application to the Director of the Kenya Forest Service. The kind of uses typically allowed under this arrangement include the use of a forest for eco-tourism and recreation, honey harvesting, collection of medicinal herbs and grazing.
- **The National Trade Policy (2008)** has direct implications on natural resource management and conservation, especially about the extraction and trade in nature-based products. The policy matrix is broadly cognizant of the contribution of natural resources to the economy, livelihoods and social progress.
- **The National Land Policy (2009)** reclassifies land according to three categories: Public, Private and Community land. The policy places emphasis on sustainable and productive management of land-based resources.
- **Tourism Act (2011)** seeks to provide for the development, management, marketing and regulation of sustainable tourism and tourism-related activities and services.
- **National Climate Change Action Plan (2013-2017)** addresses the options for a low-carbon climate resilient development pathway as Kenya adapts to climate impacts and mitigates growing emissions. It supports efforts towards the implementation of the Kenya Constitution 2010 and the attainment of Vision 2030; and encourages people-centered development, ensuring that climate change actions help the country move toward its long-term development goals.
- **Conventions.** Kenya is a member of the Convention on Biological Diversity (CBD), the Ramsar Convention, the United Nations Convention to Combat Desertification (UNCCD), Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), United Nations Framework Convention on Climate Change (UNFCCC), the World Heritage Convention (WHC) and the World Conservation Union (IUCN).

Kenya's First Lady Margaret Kenyatta, has also been active in the spearheading the campaign against elephant poaching. She launched and spearheaded the “#HandsOffOurElephants” online campaign in late 2013 and has helped raise awareness, both nationally and internationally, about the plight facing Kenya's wildlife. The commitment shown by the First Lady is a powerful expression of Kenya's stance against wildlife crime.

In terms of planned investment forming the baseline against which the project is proposed, Kenya has a strong reputation on conservation and has been at the forefront of the movement for a long time. During the past twelve months, the Government of Kenya has invested heavily to improve anti-poaching on the ground and will over the

project period be investing significant resources in the creation and operation of an elite anti-poaching unit with the Administrative Police and General Service Unit (GSU). On the legal front, both the Judiciary and the Office of the Director of Public Prosecutions (ODPP) have also committed to far-reaching reforms, training and cooperation with civil society. It is estimated that the Government of Kenya will be investing several million (to be determined at PPG) in direct anti-poaching investments over the next three years.

Recognizing that wildlife numbers continue to drop outside of protected areas, and even within due to the current poaching crisis, Kenya is taking steps to safeguard wildlife resources by supporting conservancies to provide income to communities and safeguard wildlife outside national parks and reserves. An increasing number of communities are engaging in tourism through the conservancy model, where conservancies are being set up across Kenya on both private ranches and in communal lands, such as Maasai and Samburu group ranches. They are organized under the Kenya Wildlife Conservancies Association (KWCA). It is estimated that the Conservancies in Kenya will be investing an estimated several million (to be determined at PPG) in the management of the conservancies targeted by this project over the next three years.

The baseline will include major public sector spending in Kenya over the next five years by the Ministry of Water, Environment and Natural Resources, as well as project interventions by donor agencies such as USAID and DFID. These will be detailed during the PPG phase.

**Barriers:** This project is structured around the two main barriers currently preventing the effective combat of poaching and illegal trafficking of wildlife in Kenya:

1. *Lack of coordinated capacity at national level:* A primary barrier obstructing effective law enforcement for wildlife and forestry crime is that, despite the implications of wildlife trafficking with corruption, civil unrest and violence, national economic damage, wildlife crime is not recognized as a serious crime, and therefore there are no systems in place to link criminal activities in national parks (for example) to national police and criminal investigative services. Insufficient communication (both within the wildlife sector and between that and security sectors) results in efforts made by anti-poaching units often being ineffective due to lack of investigative capacity; this allows criminal activities to continue, in some cases at a highly sophisticated level, with minimal risk of exposure. Gaps and weaknesses in legislation are being exploited by poachers and organized criminals and reduce the ability of law enforcement officials to tackle these crimes. The role of the judiciary in applying the full weight of the law to wildlife crime is vital. Kenya's Wildlife Conservation and Management Act, enacted in January 2015, sends a strong message that this country will defend its wildlife, and the law now must be upheld. Capacity and resources available for law enforcement in and out of protected areas is generally weak.
2. *Weak law enforcement at site level:* Despite new investments in rangers and police reservists on the ground in Kenya's protected areas, they are ill equipped and insufficiently trained in patrolling, evidence gathering and data recording to effectively enforce the law. In addition, given the size of many protected areas, the number of staff often remains inadequate in controlling criminal activity because law enforcement activities are relatively basic and routine, with a relatively randomized spread of effort, and so rely on numbers of staff and area coverage of monitoring to increase chances of arrest. A lack of intelligence-led law enforcement is restraining the ability to better target efforts and resources. With better intelligence of the type and location of criminal activity, efforts may be targeted at specific geographical areas, with appropriate resources and support allocated based on the intelligence findings, thereby greatly increasing efficiency.
3. *Insufficient stake by local communities:* There are a number of barriers to the involvement of communities on the ground in protecting the wildlife resource. This relates to poverty, absence of livelihood opportunities and inadequate sharing of benefits, from wildlife tourism for example, amongst local stakeholders, as well as direct losses experienced by rural communities who bear the costs of living amongst wildlife, including damage to crops and livestock, but who often receive little or no compensation. This makes the earning of a little income from poaching and illegal wildlife trafficking-related activities a more attractive prospect than abiding by the law, unable to feed one's family. Although conservancies have made big strides in some areas, many communities are not involved in efforts to co-manage natural resources, and do not have a stake in the preservation of the wildlife resource on a sustainable basis. Support is needed for the diversification and enhancement of income generating activities for benefits to reach households more

directly, and to promote co-management. There is also a need to involve communities in intelligence gathering networks and equip them for this role, as effective “eyes and ears” of enforcement efforts.

### **The Alternative Scenario**

**The long-term solution** is to strengthen capacity to tackle poaching and wildlife trafficking in and around targeted sites, specifically the Tsavo and Maasai Mara ecosystems (covering 23,510 km<sup>2</sup> combined), adjacent buffer zones and 1-2 new conservancies through strengthened enforcement operations on the ground.

The project will address both supply and demand aspects, to include: strengthening the national biodiversity and IWT governance framework; strengthening cross-sectoral collaboration and coordinated, intelligence-led law enforcement on the ground; increasing community involvement in wildlife crime enforcement through the establishment of community conservancies and community monitoring activities; the promotion of sustainable livelihoods that reduce dependency on vulnerable habitats/wildlife; and raising awareness of conservation and wildlife crime, and the ivory trade, among citizens and authorities in Kenya and in neighboring countries.

This will be achieved through three interconnected components with the set outcomes, as summarised in the project framework table in Section B. This project will implement activities at three geographic levels; the national (central government) level in Kenya; at a number of key sites within Kenya that harbour globally significant biodiversity threatened by increasing rates of wildlife crime and poor management; including protected areas and their wider landscapes within which conservancies will be expanded; and a small and select number of activities designed to facilitate transboundary coordination to prevent IWT. The project will evaluate its impact against the rate of loss of biodiversity within Kenya, achieved through improved biodiversity management in targeted sites and a reduction in wildlife crime.

### **Component 1: Strengthening capacity for effective biodiversity and IWT governance in Kenya.**

Outcome 1.1: Formulation and implementation of Kenya’s National IWT Strategy to promote the value of wildlife and biodiversity for Kenya’s national development and to combat IWT through a coordinated approach.

#### Outputs:

- 1.1.1. A Ministerial Committee on Wildlife Security will be formed, chaired and hosted by the Minister for Environment, Water and Natural Resources to provide oversight of the formulation and implementation of Kenya’s new IWT Strategy, and the newly formed national Wildlife Crime Unit (to be housed in Kenya Wildlife Service; see below). Other line ministries, including the Ministry of Defense, Attorney General, Office of the President and Ministry of Home Affairs, will serve as members of the Committee.
- 1.1.2. A national-level inter-agency Wildlife Crime Unit (WCU) will be established within Kenya Wildlife Service to unite the wildlife and security sectors in addressing wildlife crime. The WCU include representatives of the National Parks Authorities and other relevant agencies, with secondments from the judiciary, police, customs, immigration, intelligence and public prosecutions.
- 1.1.3. Wildlife Task Forces (WTFs) will be set up in the Tsavo and Maasai Mara. These will be ‘inter-agency’ TFs, reporting to the national WCU, and will be resourced to achieve intelligence-led enforcement in support of rangers, etc. in key ecosystem-level poaching and IWT hotspots.
- 1.1.4. Kenya’s National Strategy to Prevent Poaching and Illegal Wildlife Trade will be formulated, grounded in extensive consultations with key stakeholders, and implemented. The national policy and legislative framework will be strengthened to ensure greater support against wildlife crime. This will include completion of amendments and ancillary legislation to Kenya’s Wildlife Conservation and Management Act (WCMA) 2013. A process will be conducted to review current policies and legislative frameworks and to strengthen these in order to deter poachers and illegal traders.
- 1.1.5. A National Wildlife Crime hotline will be established to promote rapid response to potential threats on the ground and enhance accountability.
- 1.1.6. A national assessment of Kenya’s wildlife and forestry crime issues, the mitigation required and relevant capacity needs will be completed to gain full understanding of the true situation and the degree of support required.

- 1.1.7. A national system for monitoring wildlife crime cases and trials will be established and operationalized for the first time. This will provide accurate, factual and up-to-date information of elephant and rhino populations, poaching incidents and trends, as well as ivory and horn seizures and stockpiles. It will constitute an important anti-corruption measure.
- 1.1.8. The capacity of key staff (i.e. relevant ministries and agencies including Kenya Wildlife Service, the police, Office of the Director of Public Prosecutions (ODPP), judiciary, customs, police, immigration, intelligence, etc.) will be developed in relation to IWT legislation, enforcement systems, intelligence gathering, forensic investigations, human resources management and operations management, etc.
- 1.1.9. Transboundary cooperation will be strengthened with neighboring countries to promote enforcement [border controls, immigration, Interpol, UNODC].

## **Component 2: Reducing poaching and illegal trade of threatened species [site level]**

Outcome 2.1. Wildlife crime is combated in and around targeted sites, specifically the Tsavo and Mara ecosystems (covering 23,510 km<sup>2</sup> combined), adjacent buffer zones, including corridors and dispersal areas and expanded conservancies, through strengthened enforcement operations on the ground.

### Outputs:

- 2.1.1. Enforcement and crime scene management capacity (forensic, judiciary, police, intelligence) is strengthened in and around target sites to proactively target criminal activities, support criminal investigations and prosecute wildlife crime cases.
- 2.1.2. Capacity development and training support is provided to the staff of the newly formed inter-agency WTFs to ensure that they are fully operational and can function effectively as mobile rapid response units.
- 2.1.3. Capacity development and training support is provided to the cadre of park rangers, who are responsible for mobilizing WTFs in Mara and Tsavo to respond rapidly and effectively to arrest suspected criminals and prevent loss of threatened species.
- 2.1.4. Basic infrastructure and field equipment (e.g. buildings, transport, communications/radio, GPS, night vision, etc.) are deployed for rapid response to poaching and IWT threats.
- 2.1.5. Improved mechanisms for biodiversity monitoring and data collection are set up to support intelligence gathering to prevent wildlife crime.
- 2.1.6. Private sector enterprises (e.g. tourism) and NGOs (including the Tsavo Trust, Space for Giants, Wildlife Direct and the Conservancies Associations) are integrated into dialogue with government on their role in IWT management and wildlife/habitat protection.

## **Component 3: Establishing at least 2 Community Conservancies in Tsavo and Maasai Mara ecosystems, with sustainable land management and livelihoods promotion.**

Outcome 3.1. At least 2 Community Conservancies are created, effectively expanding area of protection within the Tsavo and Maasai Mara ecosystems [area to be determined at PPG], leading to reduced wildlife crime, effective co-management of wildlife and their habitats, restoration of degraded landscapes and sustainable local income generation.

### Outputs:

- 3.1.1 Conservancy structures established or strengthened to promote integrated landscape management based on gender sensitive needs
- 3.1.2 Capacity development for community co-management of wildlife and their habitats in Tsavo, Mara and adjacent zones.
- 3.1.3 Human-wildlife conflict resolution measures (including community courts) are put in place to foster and regenerate a culture of tolerance between people and threatened species.
- 3.1.4 Extension support to farm households to undertake sustainable land management activities,

including intensified crop farming with soil and water conservation, and agroforestry.

3.1.5 Through a small grants facility, grants are channelled to communities to make investments in sustainable land management and farming, ecotourism, and (where appropriate) sustainable bushmeat hunting and processing for sale].

3.1.6 Community-based monitoring networks are established and operationalized in poaching hotspots to support WCU and WTFs in information gathering, to determine and manage potential conservancy sites, and to assess capacity to operate conservancies.

3.1.7 Wide public awareness of EBD conservation and wildlife crime is achieved through comprehensive multimedia outreach and education campaigns with national and international impact. Kenyan conservation heroes and champions led by the campaign patron, Her Excellency Margaret Kenyatta – the First Lady of Kenya, will be leveraged.

### **Incremental Reasoning**

**The incremental approach can be summarised as follows:** The government of Kenya has clearly identified the formulation and implementation of the National Strategy to Combat Poaching and Illegal Wildlife Trade as a priority action for conserving biodiversity and preventing domestic and transnational illegal wildlife trade. However, despite strong commitment from the government, actions are seldom taken to concretely remove the barriers to effective wildlife/habitat management and enforcement against trafficking and poaching of highly threatened species. In particular, legal inconsistencies and weak institutional arrangements at the national (and regional) level are compounded by the lack of management and enforcement capacity at the site level. Together these limit the potential for effective action. In terms of IWT, the capacity and understanding amongst law enforcement agencies is low, regional collaboration is weak, and mechanisms to regulate legal wildlife trade are not being appropriately applied. The proposed intervention is particularly timely given the sharp increase in illegal wildlife trade volume globally, and Kenya's role as a key source country in regional wildlife trade networks. With more than 70% of wildlife outside state protected areas, the creation of new community conservancies will be crucial to the survival of Kenya's wildlife and its tourism sector.

**In the baseline situation,** globally significant biodiversity in Kenya, particularly elephants, will continue to be ever-increasingly threatened by the illegal wildlife trade. Despite the significant efforts of the Government of Kenya (described in the baseline section), without implementation of this national and local level, multi-pronged approach to combat ivory demand, rural poverty and weak law enforcement, iconic wildlife species will continue to decline to extinction. Wildlife management and security is currently poorly coordinated between various types of protected area and unprotected lands due to separate management systems for each and insufficient communication. It is also poorly coordinated between wildlife authorities and general security and law enforcement authorities, meaning that neither have the full capacity to tackle wildlife crime. Resources, including human, equipment and intelligence, are insufficient for effective wildlife security, meaning that operations are inefficient and very much response-based rather than targeted and preventative. Gaps and weaknesses in legislation also hamper law enforcement efforts to address this crime. In addition, those who bear the greatest costs of living with wildlife currently receive the lowest benefits, through poor local governance and management of wildlife and other natural resources. Community conservancies have the potential to improve the equitable distribution of benefits across rural communities, and represent an opportunity for communities to benefit from tourism and related business opportunities while protecting the resources that are key to their survival. Awareness is relatively poor with regards to the impacts of wildlife poaching and trading upon wildlife, security and rural development.

**In the alternative scenario enabled by the GEF,** wildlife security will be highly coordinated within and between both wildlife and law enforcement authorities, with the creation of an all-encompassing Ministerial Committee on Wildlife Security and a Wildlife Crime Unit, which will provide the link between conservation authorities and general policing and immigration authorities. The work of the WCU will be intelligence-based, with increased capacity for evidence gathering, monitoring and rapid responses to IWT crime. Revised and improved legislation will facilitate an increase in successful prosecutions and a reduction in poaching. Natural resources will be locally-managed through the creation of a suite of new Community Conservancies, with benefits being seen directly and

fairly among rural communities. Communities will realize the benefits of conserving wildlife and will take ownership over their own resources, becoming advocates for conservation across the country. Extensive awareness and education campaigns will ensure that communities in Kenya prefer to avoid poaching, whether due to knowledge of the risks involved or of the potential benefits of wildlife to people, and sustainable livelihoods will be piloted to promote alternative forms of income generation. Without local community support, poachers will face far greater difficulties and risks in attempting to poach and traffic wildlife. Through this project, Kenya can demonstrate to consumer countries the impacts of their demand for ivory products, leading to reduced demand and lessened incentives for IWT and poaching.

**Global Environmental Benefits:** Enhanced law enforcement will help protect wildlife populations by removing established poachers/traders and disrupting illegal wildlife trade syndicates. Immediate global benefits include the conservation of globally important and iconic mammal species, including the elephant, which are recognized globally as critical areas in which to implement wildlife protection actions. Successful implementation of Kenya's proposed National Strategy to Combat Poaching and IWT will ensure that the country contributes to the achievement of objectives laid out in the international plans and strategies described above (such as the CITES Action Plan for the control of trade in elephant ivory, the *African Elephant Action Plan and the urgent measures established during the African Elephant Summit in Botswana*), thereby contributing to the conservation of the elephant (a migratory species) and other traded species, each of which provide benefits to the countries which they inhabit, for example through wildlife tourism and the maintenance of ecosystems. By safeguarding key natural elephant habitats through the establishment of Community Conservancies, the project will directly contribute to arresting and reversing global trends in land degradation, and will enhance socio-ecological resilience in the face of climate change. Illegal wildlife trafficking is a transnational crime; as a result, strengthening transboundary enforcement will lead to the arrest of IWT criminals and prevent their activity in other countries.

**Innovativeness, Sustainability and Scaling Up:** The development of cost-effective and sustainable solutions to reduce the detrimental impacts of poor biodiversity and ecosystem management and associated wildlife trade is central to all aspects of this project. The project will work to support and strengthen Kenya's institutions and authorities to more effectively manage critical ecosystems and reduce poaching and illegal wildlife trafficking. The underlying premise for the project is that interest already exists within the Government of Kenya, given its commitment to formulate and implement a National Strategy to Combat Poaching and Illegal Wildlife Trade. What is needed is a combination of facilitation and demonstration to show that resources can be applied for the benefit of globally important biodiversity and Kenya's sustainable economic development. Following the completion of the project, national institutions and authorities will be empowered and better equipped to exercise their mandates, without requiring further external resources. The project creates national capacity that integrates directly into current law enforcement efforts, as well as national policies and priorities. Communities will gain socio-economically from strengthened wildlife crime response capacity, which will ultimately increase criminal conviction rates and decrease poaching and trafficking of wildlife. By reducing rural wildlife crime, the project will contribute to creating a platform for sustainable economic growth, rather than the unsustainable and destructive removal of collective natural resources. By establishing community conservancies and enabling rural communities to gain income from conservation, the project will support Kenya in achieving its MDGs and other global initiatives aiming to reduce poverty. Particularly innovative aspects of this project include: i) the development of capacity to take national level intervention to address IWT and monitor trends in Kenya, bringing together state and private sector actors alongside civil society and local communities, to manage biodiversity, reduce resource exploitation and protect ecological functions while minimizing pressures on natural resources; and ii) benefits from community-based natural resource management and monitoring contribute to combat wildlife crime and its wider impacts, including poverty alleviation.

A.2. *Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes X /no )

Stakeholder	Role and Responsibilities
Local Communities	Maintaining support to conservancy authorities, benefitting from community outreach programmes, taking personal responsibilities for protected areas.
Village Councils	Overall management and accountability of community managed areas to wider rural communities, coordination with District Authorities and outsiders.
District Councils	Protected area policy implementation and support of communities sustainable conservation programmes
County Governments	With the devolution of rights established in the new constitution, the Governor or Narok has the authority and responsibility for the management of the Massai-Mara. The Governor would be engaged during the establishment of the Conservancies in the Mara.
Government Departments	Manage the processes of biodiversity conservation and management on a national level, implementing relevant policies, linkages with other government departments
Central Government	Developing directives, policy, guidelines and monitoring progress as well as coordinating sectors involved
Private Sector	Support development of markets and economic growth that take into account the true value of biodiversity and ecosystems, and the costs of loss. Provide financial incentives for best management of protected areas, work with government and villages to support good practice in natural resource management.
CBOs	Develop local capacity to support socially, environmentally and economically sustainable development; emphasis on effective management of biodiversity and ecosystems, and reduction of poaching and IWT
National and International NGOs [including the Tsavo Trust, the Maasai Mara Conservancies, KWCA, Wildlife Direct, Space for Giants, Northern Rangelands Trust, etc.]	Strengthen capacity at a national level to support socially, environmentally and economically sustainable development; emphasis on effective management of biodiversity and ecosystems and reduction of poaching and IWT

**A.3 Risk.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

Risk	Level	Mitigation
Poaching pressure fueled by the existence of global illegal wildlife trade may fast decimate the elephant population	H	Given the high level of this risk, one of the pillars of the Project design is to increase Kenya's capacity for surveillance and intelligence driven law enforcement across the poaching hotspots of the country, to fully implement the existing wildlife laws. It will also strengthen the country's capacity for communication with consumer countries in order to make efforts to reduce demand.
Complexity in stakeholder collaboration	L	The wide range of stakeholders involved in the project make collaboration difficult as access to information and representation of all relevant stakeholders within the project could make coordination of project activities difficult.
Complexity in establishing the project	L-M	The formalisation of the structure of the project could be delayed due to complexity arising from ensuring stakeholder inclusion and lack of support from national institutions and the local communities. Resistance to the project could delay its implementation as stakeholder support is sought.
Climate change may undermine the conservation objectives of the Project	L	The Project will work to address the anticipated negative impacts of climate change by increasing resilience of natural landscapes, through promoting sustainable management of natural resources. The elephant is a keystone species of the Tsavo and Mara ecosystems and so its conservation will help to ensure that such habitats and their wildlife remain healthy and robust against climate change.

**A.4. Coordination.** Outline the coordination with other relevant GEF-financed and other initiatives:

This project will collaborate closely with, and build on the findings of, other GEF projects in Kenya. These include:

**Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya.** Coming to an end, this project has brought an additional 75,000 ha of land into PA categories designed to conserve biodiversity,

including unprotected forestlands and reserve forests being managed for production. The interventions planned have indirectly improved the status of the entire western forest estate and improved accountability for decision-making, monitoring and adaptive management.

**Enhancing Wildlife Conservation in the Productive Southern Kenya Rangelands through a Landscape Approach:** Currently under implementation, this project seeks to provide a resource governance model that allows communities and conservationists to utilize revitalized skills, and, guided by a knowledge based landscape planning, take advantage of modified policies and market based incentives to balance resource use and resource conservation across the greater Amboseli, to secure a broader range of benefits for the onsite and offsite dependents, in a more equitable and sustainable manner. The project partners (Kenya Wildlife Service, Maasai Wilderness Conservation Trust, African Conservation Centre, Big Life and Nature Kenya) are collaborating, according to designated roles and responsibilities, to support national efforts to secure conservancy management, set up a series of conservancies across the landscape, map out and secure wildlife dispersal areas, secure connectivity corridors between the core PAs of Amboseli, Tsavo and Chyulu Hills, to offer greater protection of selected species. The partners are also catalyzing a shift from the current sector-focused planning to a more integrated land use planning system; thus increasing productivity of livestock and agriculture while protecting environmental services, including the watershed services of the Chyulu Hills.

**Capacity building for community managed wildlife areas in Kenya (KEN/SGP/OP5/FSP/LD/13/024):** SGP has recently awarded a grant of US\$129,494 to the Kenya Wildlife Conservancies Association to work with several group ranches to build the capacity of communities in wildlife-managed areas in Kenya.

Description of the consistency of the project with:

B.1 Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? For biodiversity related projects, please reference the Aichi Targets that the project will contribute to achieving. (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.:

The Government of Kenya is committed to protecting biodiversity. The major policy tool guiding national development in all sectors is the National Development Plan (NDP), which takes into consideration all other plans and strategies from various sectors. Of relevance are the Poverty Reduction Strategy Paper, the Economic Recovery Strategy Paper, the National Biodiversity Strategy and Action Plan. Others include the Kenya Wildlife Service Strategic Plan and the Forest Masterplan. The project is aligned with the National Forest Policy, the Wildlife Policy and Environmental Policy and Strategies. The National Biodiversity Strategy and Action Plan (2000) stresses the importance of conserving natural forests within a representative and effectively managed national protected area estate in order to maintain species diversity and endemism. The NBSAP further stresses the need to develop a representative and sustainable national PA system.

The Environmental Management & Coordination Act, 2000, and Forest Act, 2005 provide for the establishment of Community Conservation Areas (CCAs) with the intention that such areas be co- managed by the Government, local communities and, where feasible, the private sector (for example Land Trusts). Kenyan law has provision for the creation of conservancies as it stands, both from communal lands such as group ranches as well as through private ownership. With the success of the newly introduced national Constitution, a number of bills are expected to be updates including the Wildlife act and the Land Act. These are expected to be finalized in process during the latter part of 2010 and in draft form offer an encouraging picture for the legal status of conservancies in the future.

In order to deliver this project, UNDP will work closely with the Office of the First Lady and Wildlife Direct through a partnership announced by the First Lady of Kenya, Margaret Kenyatta and UNDP's Administrator Helen Clark at State House in June 2014. The initiative will put communities at the center of anti-poaching drive. The scheme will create new livelihoods for communities living on the outskirts of Amboseli, an 8,000 square kilometer natural reserve spanning the border between Kenya and Tanzania. By investing in sustainable farming, eco-tourism, and conservancy, the programme is expected to provide people with an alternative to killing wild animals. In addition to creating new sources of revenue, the programme will give local communities, through the creation of village councils, the authority and capacity to plan and manage the use of their own land. The scheme will also aim to create better processes for information sharing between communities, park rangers and national authorities, while raising awareness of the impact of poaching in affected areas. The Government of Kenya has accelerated its efforts to control poaching, increasing surveillance and passing a law making it easier to convict those responsible. The project

will be linked with NGO investments at both national and site levels. Engagement with other UN partner agencies, especially UNODC, is being pursued. Support from bilateral partner investments is also expected, with initial dialogue with Dutch, American and British governments to align investments.

## **12. Strengthening Landscape Connectivity and Management to Improve Livelihoods and Conserve Wildlife for Key Biodiversity Areas in Malawi**

### **PART I: PROJECT INFORMATION**<sup>142</sup>

Project Title:	Strengthening Landscape Connectivity and Management to Improve Livelihoods and Conserve Key Biodiversity Areas in Malawi
Country(ies):	Malawi
GEF Agency(ies):	World Bank
Other Executing Partner(s):	Ministry of Natural Resources, Energy and Mining (Environmental Affairs Department, Department of National Parks, and Wildlife, and Department of Forestry), and Ministry of Agriculture, Irrigation and Water Development (Department of Fisheries)
GEF Focal Area(s):	Biodiversity; Climate Change; and Sustainable Forest Management

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>143</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-1 Improve Sustainability of Protected Area Systems; Program 2 Expanding the Reach of the Global Protected Area Estate	GEFTF	548,624	5,000,000
BD-2 Reduce threats to globally significant BD; Program 3 Preventing the extinction of known threatened species	GEFTF	1,250,000	20,000,000
BD-3 Sustainably Use Biodiversity: Program 8 Implementing the Nagoya Protocol on access and benefit sharing	GEFTF	550,000	5,000,000
SFM 2: Enhanced Forest Management: Maintain flows of forest ecosystem services and improve resilience to climate change through SFM	GEFTF	1,862,385	5,000,000
CC-2: Demonstrate systemic impacts of mitigation Options; Program 4: Promote conservation and enhancement of carbon stocks in forest and other land-uses and support climate smart agriculture	GEFTF	1,376,147	10,000,000
Total Project Cost		<b>5,587,156</b>	<b>45,000,000</b>

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

Project Objective:				
Project Components	Financing Type <sup>144</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Sustainable Use of Biodiversity	TA	<p>1.1. Legal capacity and preparedness strengthened in Malawi to develop effective legal, regulatory and administrative frameworks for access and benefit sharing of genetic resources</p> <p>1.2. Institutional support for strengthening implementation of the Nagoya Protocol on Access and Benefit Sharing dialogue between stakeholders in Malawi and neighboring countries.</p>	550,000	9,523,810

<sup>142</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how

it will contribute to the overall Program.

<sup>143</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>144</sup> Financing type can be either investment or technical assistance.

		1.3. Support to EAD in the enforcement of legislation, capacity building, promoting participation of local communities, NGOs and CBOs in biodiversity conservation		
2. Preventing the extinction of known threatened species	INV	2.1. Support Wildlife Conservation and Sustainable Livelihoods with focus on the Elephant Protection and combating illegal wildlife trade 2.2. Restoration of declining fish species promoted 2.3. Update the Red Data List for Malawi	2,997,401	23,333,333
3. Sustainable Forest Management	TA	3.1. Develop legal and regulatory framework to address drivers of increased emission from, and depletion of carbon dioxide in agriculture, forests and other land uses 3.2. Increased contribution of sustained forest ecosystems to national economies and local livelihoods for both men and women 3.3. Develop a REDD+ baseline and investment proposal for forest resources in the upper, middle and lower Shire (including assessment and inventory of forest carbon stocks, development of scenarios for business as usual and REDD+ supported rates of carbon loss)	1,773,700	10,000,000
Subtotal			5,321,101	42,857,143
Project Management Cost (PMC) <sup>145</sup> at 5%			266,055	2,142,857
<b>Total Project Cost</b>			<b>5,587,156</b>	<b>45,000,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	World Bank (Shire River Basin Management Program)	Loan	30,000,000
GEF Agency	World Bank (Pilot Program for Climate Resilience – PPCR)	Grants	15,000,000
<b>Total Co-financing</b>			<b>45,000,000</b>

<sup>145</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

#### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee at 9% (b) <sup>b)</sup>	Total (c)=a+b
WB	GEFTF	Malawi	Biodiversity		2,348,624	211,376	2,560,000
WB	GEFTF	Malawi	Climate Change		1,376,147	123,853	1,500,000
WB	GEFTF	Malawi	MFA	SFM	1,862,385	167,615	2,030,000
<b>Total GEF Resources</b>					<b>5,587,156</b>	<b>502,844</b>	<b>6,090,000</b>

n) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

p) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

#### E. PROJECT PREPARATION GRANT (PPG)<sup>146</sup>

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

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

Project Preparation Grant amount requested:					PPG Agency Fee:		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee <sup>147</sup> (b)	Total c = a + b
<b>Total PPG Amount</b>							

### PART II: PROJECT JUSTIFICATION

#### Project Overview

##### The problem:

This Multi-Focal Area program to Strengthening Landscape Connectivity and Management to Improve Livelihoods and Conserve Key Biodiversity Areas in Malawi has multiple environment and development benefits, within the framework of the Malawi Growth and Development Strategy II 2011-2016, which includes the Goal: "to conserve and manage biodiversity in both protected areas and natural habitats. " This also builds on the strong commitment by the Government of Malawi, under President Mutharika's leadership, to the Elephant Protection Initiative. Malawi has a total STAR allocation of \$9.76m (CC- \$3m; BD- \$5.32m, and LD- \$1.44m). \$4m of this allocation was utilized for the GEF Integrated Approach on Food Security, programmed through IF AD while \$1. 7m was allocated for a Medium Sized Project on the control of Invasive Alien Species. A total of \$6, 060,000 is available for programming under this proposed project, through a combination of the remaining STAR funds US\$2.56 million (STAR allocation for biodiversity); US\$1.5 million (STAR allocation for climate change mitigation) as well as accessing the Sustainable Forest Management set-aside incentive (US\$2,.03 million).

1. **Malawi has a population of just over 16.3million<sup>148</sup>: The country** is one of southern Africa's most densely populated countries (estimated at 134 people per km<sup>2</sup>)<sup>149</sup>. Approximately 85%<sup>150</sup> of the population live in rural areas, and are engaged in smallholder, rain-fed agriculture for

<sup>146</sup> PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$50k for PF up to \$2m (for MSP); up to \$100k for PF up to \$3m; \$150k for PF up to \$6m; \$200k for PF up to \$10m; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

<sup>147</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

<sup>148</sup>2013 World Bank data (<http://data.worldbank.org/country/malawi>)

<sup>149</sup>2012 UN data (<http://data.un.org/CountryProfile.aspx?crName=malawi>)

<sup>150</sup>2012 UN data (<http://data.un.org/CountryProfile.aspx?crName=malawi>)

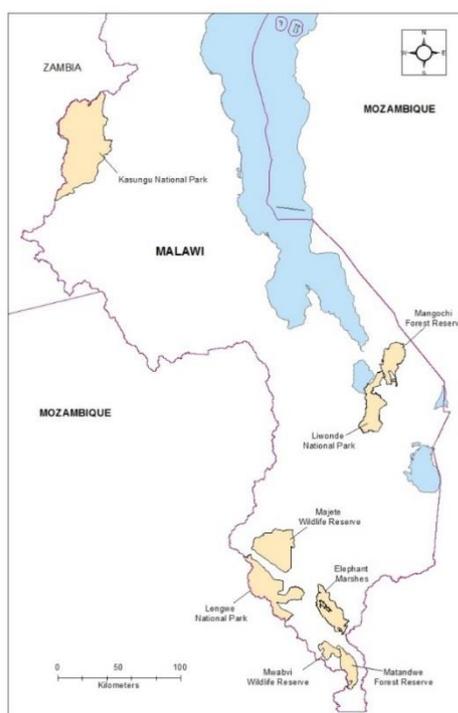
subsistence. Over 70% of all farmers cultivate less than one hectare, and struggle to produce enough food for their consumption needs. Malawi's economy is based on agriculture, comprising of around 40% of the GDP and 90% of the export revenues predominantly from tobacco, tea and sugar processing. Malawi has experienced uninterrupted solid growth from 2006-2010 with real GDP growth averaging about 7.4%, compared to an average of 2% for 1999-2004<sup>151</sup> amid a decline in inflation. In addition to a positive macroeconomic environment, good weather and a fertilizer subsidy program have also made significant contributions to the growth in agriculture. Growth slowed in 2011 to 4.3% due to a poor agricultural season. In 2010, approximately 50% of the population was living below the poverty line<sup>152</sup>, though the implementation of Government strategies and supporting organizations, this is decreasing.

2. **Malawi has a diverse natural resource base. If managed sustainably, these resources could** provide a sustainable socio-economic contribution to the development of the country. Malawi is dominated by its inland waters, with Lake Malawi comprising of 20% of Malawi's 119,140km<sup>2</sup>, and Malawi's largest and most important river, the Shire, whose source is at the southern tip of the Lake. The Shire River is an important watershed for wildlife, human settlements, ecosystem services, and industry. The Shire River and its tributaries combine to form the Shire River Basin. The size of its catchment is 3.1 million hectares covering a third of the country. Over 5.5 million Malawians live, work and depend on the Shire River Basin. It provides water for generating 98% of Malawi's electricity through hydropower, agriculture (such as farming maize, sorghum, sugarcane and rice) fisheries, transport, forestry, tourism, and water for domestic and commercial use in urban and rural areas.
3. **Malawi's forest reserves and conservation areas play a key role in delivering goods and services:** These services are key to Malawi's economic development and of particular importance to the rural poor. Over 80% of domestic energy needs are sourced from forest resources. These resources also help to stabilize steeply sloping catchments, preventing land degradation and soil loss that can have serious implications for downstream water use – including for irrigation schemes and hydropower generation. These conservation areas protect major water sources (e.g. Shire River) but also provide important ecosystem services such as ecotourism and carbon sequestration.

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<sup>151</sup><http://data.worldbank.org/country/malawi>

<sup>152</sup><http://data.worldbank.org/country/malawi>



**Figure 1. Map of Malawi and the focal protected area network**

### **Biodiversity and Ecosystem Values**

4. **Malawi supports high levels of biodiversity:** The inland waters of Malawi hold the most diverse freshwater fish species in the world, with over 800 species of fish, 90% of which are endemic, and 15% of the world's freshwater fish species can be found in Lake Malawi. The Protected Area Network in Malawi totals over 1.8million hectares and includes five National Parks, (Nyika, Kasungu, Lake Malawi, Lengwe and Liwonde), four wildlife reserves (including Majete and Mwabvi), three nature sanctuaries (Mzuzu, Lilongwe, and Michiru) and 87 forest reserves. National Parks, Wildlife Reserves and Nature Sanctuaries are managed by the Department of National Parks and Wildlife (DNPW), housed within the Ministry of Tourism, Wildlife and Culture. Forest reserves are the responsibility of the Department of Forestry and the Forestry Research Institute of Malawi, housed within the Ministry of Natural Resources while aquatic biodiversity specifically fisheries resources are managed by the Department of Fisheries under the Ministry of Agriculture, Irrigation and Water Development.
  
5. **Malawi's forest reserves and conservation areas play a key role in protecting biodiversity:** Liwonde National Park is joined to Mangochi Forest Reserve by a wildlife corridor, and together with neighboring Namizimu Forest Reserve; they protect one of the most important remaining forested landscapes in Malawi (collectively over 1700km<sup>2</sup>) which supports an important population of African Elephant that moves throughout the landscape and into adjacent Niassa Province of northern Mozambique. The landscape also supports populations of other species typical of floodplain wetlands, Mopane forests and grasslands – including a small population of Black Rhino, Sable Antelopes, and Lion. In the lower Shire, Majete Wildlife Reserve also hosts impressive populations of Elephant, Black Rhino, Lion, Leopard, and Kudu; while neighboring Lengwe National Park is home to the most northern naturally occurring populations of Nyala. Further south are the Elephant Marshes that cover an area up to 1200km<sup>2</sup> and are internationally recognized for water birds (African Skimmer, African Pygmy Goose, and Pel's Fishing Owl) and important fish species (Chambo and Tiger Fish). In the very south is Mwabvi Wildlife Reserve, once home to the

last naturally occurring populations of Black Rhino in Malawi, it boasts a stunning landscape with many species of antelope and occasional lion from Mozambique. It borders the larger Matandwe Forest Reserve thus providing a much larger protected area landscape for animals to disperse. Matandwe Forest Reserve is home to the endemic Chapman's Pygmy Chameleon. Key to most of these protected areas is the Shire River Basin, which connects these sites through an aquatic network of streams and river tributaries.

6. **Malawi's elephant populations have declined from 4000 to 2000 in the past 15 years:** Predominantly this decline has been driven by the global trade in ivory but also because of retaliatory killings due to human-elephant wildlife conflict. For example, Liwonde National Park is home to approximately 700 elephants; which regularly cause human wildlife conflicts and are subject to high incidences of poaching. Additionally, Malawi is targeted as a wildlife trafficking transit point, with ivory coming from neighboring countries, such as Tanzania, Zambia, and Mozambique, and smuggled through Malawi to destination countries, often in Asia. Malawi has recently joined the Elephant Protection Initiative (EPI) which is a regional approach that requires partner states and organisations to work towards closing domestic ivory markets and to put all stockpiles beyond economic use. This will be coordinated by the respective government departments who also lead on this concept.
  
7. **Malawi's high population density and poverty is a crucial factor in the significant human pressure on biological resources and protected areas:** As the human population increases, the pressure to over-harvest forest and biodiversity resources and to convert land for cultivation will increase. As outlined in the National Biodiversity Strategy and Action Plan (NBSAP), addressing conservation issues and sustainable use of natural resources in the face of rapid population growth, extreme poverty, high illiteracy levels, and HIV/AIDS is one of the Malawi's greatest challenges. This is particularly relevant to Malawi's forest reserves and the intense pressure for the production of charcoal from these reserves to fuel the urban communities. Fuel-efficient measures to address unsustainable resource use are urgently required.
  
8. **The Government of Malawi is committed to working with communities:** These efforts seek to find ways of strengthening community engagement and benefit sharing from the management of national parks and forest reserves. DNPW is working with communities to reduce human wildlife conflicts and support development initiatives around a number of protected areas. More generally, the development of nature-based tourism – which accounts for a substantial share of Malawi's tourism sector, offers real opportunities of bringing benefits for local communities living in and around key biodiversity-rich landscapes. Progress in recent years has been impressive - for example, the Department of Forestry is expanding the use of Participatory Forest Management as an approach for engaging local communities in the management of forest reserves, and importantly, in sharing the benefits from such management. This approach has been supported by the European Community and more recently as part of the Shire River Basin Management Program. The Department of National Parks and Wildlife have introduced a financial mechanism that enables benefit sharing of revenues from Parks (for example from concession and gate fees) with local communities and this mechanism is now under operation at some conservation areas. Participatory Fisheries Management was introduced in the 1990s to enhance community involvement in the management of fisheries resources. So far over 300 local user committees (Beach Village Committees) are in place in fishing areas of Lakes Malawi, Malombe, and Chilwa Chiuta and Lower Shire system with varied levels of performance. They are engaged in formulating by-laws, enforcement and message delivery, among other devolved functions within the decentralized framework.

9. **Transfrontier Landscape Management:** Government of Malawi is working with its regional neighbors to promote trans-frontier landscape conservation. The Shire River is a tributary to the larger Zambezi River and part of the wider regional Zambezi basin. Activities upstream in Malawi greatly affect those further downstream in neighboring countries. In terms of fisheries, the Government of Malawi through the Ministry of Agriculture, Irrigation and Water Development signed a Memorandum of Understanding (MoU) on 23 October 2014 to promote joint fisheries management programmes in the shared ecosystems including Lakes Malawi, Chilwa, Chiuta and the Shire River basin.
10. **Anti-poaching and addressing illegal wildlife trafficking:** The Government of Malawi is promoting efforts to combat the poaching crisis and address illegal wildlife trafficking as outlined in the NBSAP. However, efforts are constrained by weak capacity and awareness and lack of experience in working with other enforcement agencies both domestically and regionally to tackle this growing problem. Addressing the issues of the use of Malawi, as a transit country will require understand, analyzing, and possibly strengthening the capacity of the National Wildlife Crimes Investigation Unit, combined with more effective protection at landscape level.
11. **Climate Change Resilience:** Malawi can address Climate Change through the protection, expansion, and integrated management of its protected area network. Currently national parks, wildlife reserves, and forest reserves cover 18% (1.7 million hectares) of the land mass of Malawi. This is a large area that if properly protected will contribute significantly to address the drivers of climate change through afforestation and reforestation practices, carbon storage and sequestration, and through best practice land management to combat land degradation. Such measures will form part of Malawi's 'Reducing Emissions from Deforestation and Forest Degradation' (REDD+) initiatives. Central to these protected areas are the Shire River and the associated wetlands that form an aquatic network between these sites. The largest of which is the Elephant Marshes (Figure 1) that covers an area of up to 1200km<sup>2</sup> in the flood season and is vital to the functional ecology of the Shire River, acting as a filter to the main river course, a floodplain to both the Shire and Ruo Rivers, and a source of livelihoods to local communities. Sustainable management of these marshes, together with a comprehensive catchment restoration approach that combines protection of natural habitats with improved land management in production landscapes, will mitigate flood damage and support climate resilient livelihoods based on sustainable natural resources management principles. The Elephant Marshes are also home to significant rare and threatened biodiversity and need to be protected as a wetland of international importance such as under the RAMSAR convention. Need to identify climate change adaptation measures and undertake lake-wide monitoring of Lake Malawi in terms of climate change has been highlighted in the National Adaptation Programme of Action (NAPA). While some initiatives on building resilience of the local communities in climate change have been on-going or designed like the Fisheries Integration of Society and Habitat (FISH) project and Lake Chilwa Basin Climate Change Adaptation Project, there is need to cover other areas as the on-going initiatives are targeting Lakes Malawi (South), Chilwa, Chiuta, and elements of the Shire River Basin. Gender specific vulnerability aspects need to be identified for sustainable climate change adaptation measures.
12. **Governance and Coordination:** Malawi has committed to implementing measures to promote access and benefit sharing in the utilization of its genetic resources, since its accession to the Convention on Biological Diversity in 1992 and ratification to the Nagoya Protocol on Access and Benefit Sharing in 2014. The Environmental Management Act 1996 protects the country's genetic resources in the interest of future generations, requiring the prior informed consent of the Ministry

of Environment before any collection or export. The Genetic Resources and Biotechnology Committee (GRBC) of the National Research Council of Malawi (NCRM) was empowered to grant approvals for the collection and exportation of genetic resources by local and foreign researchers. However, the system was not fully implemented and in 2002, the Procedures and Guidelines for Access and Collection of Genetic Resources were put in place to stem the continued loss of genetic resources and ensure their utilization derived benefits towards Malawi's development goals. However, a need has been recognized for Malawi to build on this wealth of experience and action on ABS issues, to develop a comprehensive policy and legislative approach on access and benefit sharing. New ABS regulations and guidelines which when developed and adopted will be amongst the first ABS implementing measures developed since the 2014 entry in force of the Nagoya Protocol. The undertaking is ambitious, with support needed to raise legal awareness, build an effective legal and institution framework, build capacity of national lawyers and ABS institutions, and share experiences to foster further ABS innovation across the country.

- 13. Malawi is now introducing a more integrated approach to landscape management:** This involves focusing support to improving ecological connectivity between woodlands, forests and wetlands ecosystems within key biodiverse landscapes, such as National Parks and Forest Reserves, to reduce fragmentation of natural ecosystems within the landscape and to create a more integrated, ecologically representative, and well-connected systems of protected areas (as stipulated by the Aichi Biodiversity Target 11). This integrated approach should also help build resilience of these natural ecosystems to increasing human pressures and to environmental change – in particular to climate change. Part of this approach involves strengthening institutional cooperation and coordination between key agencies. As a result DNPW and DOF are now building closer operational linkages to jointly manage forest, woodland and wetland areas in the Liwonde - Mangochi Protected Area Complex and a much wider range of institutions, that includes the Environmental Affairs Department, Department of National Parks and Wildlife, Department of Forestry, Department of Fisheries, and the Department of Water and Irrigation, come together to coordinate planning and share experience and ideas as part of the integrated watershed management strategy for the Shire River Basin.

**Baseline:** The following programs form the backdrop to the baseline for the proposed project:

**Shire River Basin Management Program (SRBMP)** is a 15-year Malawi Government program, in three phases, that has the objective of improving living standards and reducing poverty throughout the Shire River Basin. It is funded by the International Development Association (IDA) of the World Bank with additional financial support from the Global Environmental Facility (GEF) and the Least Developed Countries Fund (LDCF). It aims to bring many different people and sectors together to plan, develop and manage the natural resources of the Shire River Basin for the benefit of all now and in the future. The coordinating agency is the Ministry of Water Development and Irrigation supported by most government departments including EAD, DNPW, DoF, and Fisheries Department under the guidance of the World Bank. GEF funding is currently secured for the first phase of the SRBMP only, which ends on 31 January 2018. The SRBMP is establishing an integrated catchment management regime for the Shire Basin and replacing the Liwonde Barrage within phase 1.

### **The Alternative Scenario**

GEF 6-support will assist Malawi to implement its National Biodiversity Strategy and Action Plan and Climate Change Adaptation Plans among other plans. It will support already ongoing projects like the Shire River basin Management Program (SRBMP), the Malawi-Zambia Transfrontier programme and other on-going environment management programme~ to increase the protected area network, and balance in-field investments in implementing agencies such as EAD to enhance the conservation and sustainable use of biodiversity for the environment and human wellbeing.

The objective of GEF 6 support will be to *develop and implement sustainable natural resource strategies at landscape level for key biodiverse landscapes*. This objective will be achieved through support for innovative investments that sustain and enhance ecological connectivity and climate resilience in five forest and wetland landscapes. Investments will focus on institutional coordination at regional, national and landscape level, a strong focus on engagement with local communities as partners for sustainably managed corridors and ecological assets within the landscape; and for strengthening environmental reporting and improved environmental planning at landscape level. It will address the main threats to Malawi's biodiversity such as habitat loss and fragmentation, invasive alien species, overexploitation, pollution and climate change.

The following are the three components that will help achieve this objective:

**Component 1: Sustainable Use of Biodiversity: Lead Government Institution: EAD**

- 1.1 Legal capacity and preparedness strengthened in Malawi to develop effective legal, regulatory and administrative frameworks for access and benefit sharing of genetic resources
- 1.2 Institutional support for strengthening implementation of the Nagoya Protocol on Access and Benefit Sharing dialogue between stakeholders in Malawi and neighboring countries.
- 1.3 Support to EAD in the enforcement of legislation, capacity building, promoting participation of local communities, NGOs and CBOs in biodiversity conservation

**Component 2: Preventing the extinction of known threatened species.**

**2.1 Support Wildlife Conservation and Sustainable Livelihoods with focus on the Elephant Protection and combating illegal wildlife trade - Lead Government Institution: DPNW**

- 2.1.1 Support implementation of national anti-poaching strategies and approaches to curtail illegal wildlife trade through strengthened protected area and habitat management and law enforcement;
- 2.1.2 Increasing capacity for implementation and cooperation among law enforcement agencies and relevant international organizations in range, transit and consumer states to reduce trafficking
- 2.1.3 Reduce consumer demand for illegally traded wildlife through targeted and evidence-based, behavior change strategies implemented at national level.
- 2.1.4 Designing and implementing national strategies to improve wildlife and protected areas management, enhance community livelihood benefits, reduce poaching, and eliminate illegal wildlife trade. :In Kasungu National Park which has been chosen as a landscape that sustained significant populations of African Elephant, the GEF support to Kasungu will therefore:
- 2.1.5 Help local communities develop practical strategies that address wildlife-human conflicts
- 2.1.6 Demonstrate and implement practical actions in support of the Elephant Protection Initiative, to which Malawi was a key signatory at the recent London high-level conference.
- 2.1.7 Support the restoration of elephant populations that would include the construction of an elephant sanctuary fence, the restocking of a sizeable elephant population, and the management of these important species including an exclusive law enforcement link between Kasungu- National Park and Lukusuzi Forest Reserve
- 2.1.8 Focus on the Elephant Protection Initiative (EPI) and a complete restoration of the elephant populations linking this with the TFCA approach in preparation for the twining of Kasungu National Park with the Zambian Lukusuzi Forest Reserve East. It will not only help protect important populations of Elephant but also the Wild Dog, which move between Malawi and Zambia within this landscape. Currently there is little protection to these animals at this site and levels of poaching are very high.

- 2.1.9 Support for national and landscape level elephant population census counts, with particular focus on the Elephant Protection Initiative (EPI) regional objectives.
- 2.1.10 Address human elephant conflicts through evaluating and developing sustainable approaches such as environmental risk insurance schemes, locally-based community reserve compensation schemes, promotion of existing HEC methods (including scale-up of community-managed fencing pilots). Landscapes shortlisted for support are as follows:
- 2.1.10.1 *Liwonde – Mangochi –comprising Liwonde National Park and Mangochi Forest Reserve (and neighboring Namizimu Forest Reserve) – including a forest corridor linking the two areas, which enables wildlife populations – including a sizeable African elephant population to move through the landscape. Support would strengthen inter-agency planning and implementation between DNPW, DoF; promote wildlife-based tourism and community management of corridor areas, support management, and local community livelihoods.*
- 2.1.10.2 *MwabviMatandwe –comprising Mwabvi Wildlife Reserve and Matandwe Forest Reserve – the largest remaining block of woodlands and forests remaining in the Lower Shire valley and key for protecting environmental services on the steep slopes of the western escarpment. Support would strengthen inter-agency planning and implementation between DNPW, DoF and develop nature-based tourism to deliver livelihood benefits for local communities and revenues to sustain landscape management. Support would also extend ongoing PFM management and link to wider tourism packages for the Lower Shire that includes a selection of sites.*
- 2.1.10.3 *Elephant marshes—these wetlands are critical for supporting dry season agriculture for communities in the lower Shire. The wetlands also ‘soak-up’ major flood peaks from the Shire and Ruo rivers and sustain internationally important wetland biodiversity. Support would enable the implementation of the first phase of the Community-based Management Plan for the Elephant marshes. It would also support conservation measures for the remaining wildlife populations through areas of usage and non-usage zones including an explicit development of ecotourism based on the marshes to model that of the Okavango delta.*
- 2.1.10.4 *Lengwe-Majete – Collectively the Lengwe-Majete protected-area-complex covers a large area (>1500km<sup>2</sup>), and is strategically placed within the lower Shire biodiversity network. It maintains important populations of Elephant, Black Rhino, and naturally occurring Nyala. GEF-6 support to these sites would build on prior investments to Lengwe and leverage the current support to Majete currently under the Private Sector (African Network) and look to secure remote areas through infrastructure development and capacity building, and in particular work with local communities through a range of co-management agreements.*
- 2.1.10.5 *Kasungu-Zambia - Support to this site would focus on connectivity between the neighboring PAs in Zambia. It would also help protect important populations of Elephant and Wild Dog, which move between Malawi and Zambia within this landscape. Currently there is little protection to these animals at this site and levels of poaching are very high.*

## **2.2 Restoration of declining fish species promoted - Lead Government Institution: DEPARTMENT OF FISHERIES**

- 2.2.1 Support to Fisheries Department in sustainable fisheries management that include management measures (gear and mesh size restrictions, closed seasons, closed areas or sanctuaries); and monitoring of fish (fish biodiversity, population surveys, biodiversity

monitoring, and law enforcement) within the Participatory Fisheries Management arrangement; and sustainable aquaculture development.

- 2.2.2 Promote restoration of declining fish species
- 2.2.3 Promote the on-going fisheries co-management and fish quality as a climate change adaptation measure. This will involve formulation of participatory fisheries management plan and by-laws to ensure sustainable utilization of the fisheries resources and promote use of energy saving smoking kilns as an adaptation strategy.

### **2.3 Update the Red Data List for Malawi - Lead Government Institution: EAD**

- 2.3.1 Conduct assessment and update the red data list for Malawi to include threatened, endangered, endemic and rare species
- 2.3.2 Mapping of key biodiversity areas including wetlands to ensure their conservation and sustainable use
- 2.3.3 Update the gene bank collection for plant and genetic resources
- 2.3.4 Promote underutilized and rare species cultivation

### **Component 3: Sustainable Forest Management - Lead Government Institution: FORESTRY DEPARTMENT**

- 3.1 Develop legal and regulatory framework to address drivers of increased emission from, and depletion of carbon dioxide in agriculture, forests and other land uses
- 3.2 Increased contribution of sustained forest ecosystems to national economies and local livelihoods for both men and women
- 3.3 Develop a REDD+ baseline and investment proposal for forest resources in the upper, middle and lower Shire (including assessment and inventory of forest carbon stocks, development of scenarios for business as usual and REDD+ supported rates of carbon loss).

### **Monitoring and evaluation and project management - Lead Government Institution: EAD**

Various monitoring, evaluation, and project management activities will provide support to EAD, DNPW, DoF and Department of Fisheries, for management, coordination, monitoring and reporting on institutional and landscape level interventions.

### **13. Community-based natural resource management that resolves conflict, improved livelihoods and restores ecosystems throughout the elephant range (Mali)**

#### **PART I: PROJECT INFORMATION**<sup>153</sup>

Project Title:	Community-based natural resource management that resolves conflict, improved livelihoods and restores ecosystems throughout the elephant range
Country(ies):	Mali
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Mali Elephant Project (MEP), Ministry of the Environment and Sanitation and its National Directorate of Water and Forests (DNEF)
GEF Focal Area(s):	Biodiversity, Land Degradation, Multifocal Area

#### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>154</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-2 Reduce threats to globally significant biodiversity / Program 3 Preventing the extinction of known threatened species	GEFTF	1,858,864	3,803,300
LD-2 Forest Landscapes: Program 3: Landscape Management and Restoration	GEFTF	885,173	2,500,000
SFM 3: Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes	GEFTF	1,372,018	2,500,000
Total Project Cost		<b>4,116,055</b>	<b>8,803,300</b>

#### **B. CHILD PROJECT DESCRIPTION SUMMARY**

<b>Project Objective:</b> To protect Mali's elephants in key sites and enhance the livelihoods of the local communities that live along the migration route to reduce human-elephant conflict				
Project Components	Financing Type <sup>155</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Protecting Gourma elephants in N.E. Mali from poaching and securing seasonal migration routes.	Inv	<p><u>Outcome 1:</u> Reduction in rates of poaching of elephants</p> <p><i>Indicators:</i> 1) Elephant population in the Gourma stabilized. 2) Decrease in PIKE value</p> <p><u>Outcome 2:</u> Mali's anti-poaching capacity increased in N.E. Mali for the protection of the Gourma Elephants</p> <p><i>Indicators:</i> 1) 10 operational forester posts undertaking frequent patrols and conducting anti-poaching activities in conjunction with local communities; 2) Number of arrests and convictions increased by 50%.</p> <p><u>Outcome 3:</u> Lake Banzena is protected for elephant use to provide</p>	1,858,864 (BD)	3,842,000

<sup>153</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>154</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>155</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>155</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		<p>them with a secure late-dry season refuge with adequate water and food.</p> <p><i>Indicators:</i> 1) Access to Lake Banzena increased by 50%, measured using camera traps and remote sensing. Baseline and targets will be defined during the PPG phase.</p>		
2. Community-based natural resource management that resolves conflict, improved livelihoods and restores ecosystems throughout the elephant range	TA/INV	<p><u>Outcome 1:</u> The elephant migration route and its habitats are protected from human settlement, clearance and degradation through community–government resource management. These systems include Sustainable Land Management practices and the restoration of Sudan-Sahelian and Sudano-Guinean native forests by reduction of pressures to secure the supply of timber and non-timber forest products and the safeguarding of essential ecosystem services across the landscape.</p> <p><i>Indicators:</i> 1) Number of communities engaged and level of resource management, area of elephant range covered, number and area of protected pastures and forest; 2) Number of ha. under SLM (target tbd during PPG); 3) Number of ha. of restored threatened ecosystems in the landscape (including wetlands, grasslands and woody savannahs) inhabited by both local population and the elephants; 4) increase in carbon benefits (target tbd during PPG)</p> <p>Baseline and targets will be defined during the PPG phase.</p>	1,669,189 (LD:\$835,173 SFM:\$834,016)	3,442,000
3. Monitoring, oversight and quality control	TA	<p>Technical oversight and monitoring, including:</p> <ul style="list-style-type: none"> <li>• Creation and maintenance of central databases</li> <li>• Remote sensing studies to monitor impact of CBNRM</li> <li>• Socio-economic studies</li> </ul>	392,000 (SFM)	1,100,095
Subtotal			<b>3,920,052</b>	<b>8,384,095</b>
Project Management Cost (PMC) <sup>156</sup> LD: 50,000; SFM: 146,000			196,003	419,205
Total Project Cost			<b>4,116,055</b>	<b>8,803,300</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

<sup>156</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME**

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Donor Agency	International Conservation Fund of Canada	Grant	390,000
Donor Agency	UK government's Darwin Initiative	Grant	495,000
Donor Agency	UK government's Illegal Wildlife Challenge Fund	Grant	495,000
Donor Agency	USFWS African Elephant Fund	Grant	150,000
CSO	Tusk Trust	Grant	150,000
CSO	Mali Elephant Project ( anti-poaching provision)	Grant	913,300
Recipient Government	Mali government (anti-poaching provision)	In kind	4,400,000
Recipient Government	Mali government (anti-poaching provision)	Grant	1,350,000
CSO	New applications submitted	Grant	310,000
GEF Agency	UNDP	Grant	100,000
Beneficiaries	Flier Group - aerial surveillance system	Grant	50,000
<b>Total Co-financing</b>			<b>8,803,300</b>

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEFT F	Mali <input type="checkbox"/>	Biodiversity	n/a	1,858,864	167,298	2,025,000
UNDP	GEFT F	Mali <input type="checkbox"/>	Land Degradation	n/a	885,173	79,666	990,000
UNDP	GEFT F	Mali <input type="checkbox"/>	SFM	SFM	1,372,018	123,482	1485,000
<b>Total GEF Resources</b>					<b>4,116,055</b>	<b>370,445</b>	<b>4,486,500</b>

q) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

s) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

**E. PROJECT PREPARATION GRANT (PPG)<sup>157</sup>**

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

<sup>157</sup> PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$50k for PF up to \$2m (for MSP); up to \$100k for PF up to \$3m; \$150k for PF up to \$6m; \$200k for PF up to \$10m; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

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

Project Preparation Grant amount requested: \$150,000					PPG Agency Fee: 15,500		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee <sup>158</sup> (b)	Total c = a + b
UNDP	GEF TF	Mali	Biodiversity		67,742	6,097	73,839
UNDP	GEF TF	Mali	Land Degradation		32,258	2,903	35,161
UNDP	GEF TF	Mali	SFM	SFM	50,000	4,500	54,500
<b>Total PPG Amount</b>					<b>150,000</b>	<b>15,500</b>	<b>163,500</b>

## **PART II: PROJECT JUSTIFICATION**

### Project Overview

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE<sup>159</sup>:** 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; 5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

### **The problem, Root Causes and Barriers:**

**The Malian context** – Mali is a landlocked country, with a total area of 1,241,138 sq km, and characterized by five primary ecosystem types: the Saharan desert (covering almost half the nation’s territory), the Sahelian steppe, the Western Sudanian savanna, the Sudano-Guinean ecosystem (a mosaic of savanna and light forests), and the Niger River Inner Delta (which contains biodiversity-rich wetlands). Nationally, Mali has high levels of faunal diversity with 136 species of mammals (including 70 species of large mammals), 191 bird species (breeding in Mali), 106 reptile species, and 30 amphibian species; as well as floral diversity (1,741 species of higher plants). The region of the proposed project, located in SW Mali in the transition zone between the semi-arid Sudano-Sahelian ecosystem, the Western Sudanian savanna, and the Sudano-Guinean ecosystem, is of particular ecological value from a national and global point of view, as it is able to support water dependent flora and fauna that would not survive in true deserts and it harbors much of Mali’s mammalian diversity. The area of intervention is dominated by bands of low and relatively thick ‘tiger bush’ complex, dominated by *Grewia bicolor*, *B. aegyptiaca* and *Acacia spp.*, alternated with dune open steppe and vegetated dune formations. Trees are small in size, but crucial to the landscape in combatting erosion and maintaining the integrity of the habitat. Their density and height increase from north to south. Isolated forest patches usually surrounding waterholes, provide the main elephant habitat. All protected areas are under pressure and the main threats are poaching, exploitation of natural resources, and the increase of human pressure. Limited staff and other resources mean that it is almost impossible to monitor large protected areas, law enforcement is considered very limited in many parts of the country and this is compounded by incidences of graft in some cases. The inventories of biodiversity in Mali’s protected areas are relatively out of date and even where data have been collected, they are not easily available. Management capacity is often low. Financial and human resources are generally insufficient to carry out routine management activities in most parks: very few protected areas have dedicated staff and where there are people in posts they typically do not have the necessary skills to perform their duties. Infrastructure and transportation are also inadequate. There is very limited technical capacity and resources for conservation, and historical underinvestment and lack of resources over many years compounded by weak governance

<sup>158</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

<sup>159</sup> For IAPs, please respond to these questions instead: 1) Proposed geography / landscape / agroecosystem for IAP, include rationale and justification for targeting; 2) Context and baseline scenario; 3) Priorities for IAP support, with brief descriptions of expected outcomes, based on program components and results framework; 4) Global environmental benefits

and no independent autonomous management structure for protected areas in Mali. According to Mali's Programme of Work on Protected Areas of the Convention on Biodiversity (the PoWPA) Action Plan, there is also little formal acknowledgement of the "substantial contribution of goods and services that biodiversity provides to the national economy and the well-being of communities". Mali has experienced a protracted political and security crisis since 2012, but it is on the way to recovery. Northern Mali remains a region to be closely watched from a security point of view.

**The Gourma elephants** – This population of African elephants is regarded of national and international importance for several reasons: it represents 12% of all West African elephants; it is the most northerly population on the continent, and is accorded a high priority in the regional elephant strategy of the World Conservation Union (IUCN). The elephants make the longest annual migration of any elephants, from Mali to Burkina Faso and through an exceptionally harsh, arid environment suffering from high levels of resource degradation. The Gourma is mentioned in the National Biodiversity Strategy as one of the four natural regions of highest biodiversity value in Mali, and the elephants function as an important umbrella and key-stone species for the biodiversity of the area. Their continued existence is threatened by two main threats (described in more detail below): (1) global ivory trafficking and (2) human-elephant conflict generated through increasing human impact operating locally regionally and globally; exacerbated by low government capacity for their conservation. According to the last two aerial counts the number of elephants has decreased from 344-404 to 256-306, a decrease of 26%. There is high fertility but also high mortality in newborns and young elephants. They are especially susceptible to environmental stresses, such as drought and increased human presence. Part of their range is covered by an elephant Partial Reserve (La Réserve partielle des éléphants du Gourma) of 1,250,000 ha, created in 1959 under the law n°59-53/AL, however the only prohibited human activity in the reserve is the hunting of protected game species. Despite low capacity, there is a strong desire at high levels of government to conserve this elephant population. They have been discussed in cabinet three times and during a full session of Parliament, thanks to questions put to the Prime Minister by the leader of the Parliamentary working group on wildlife. The Malian army has also conducted successful anti-poaching investigations acting on local information.

### **Primary Threats and Barriers**

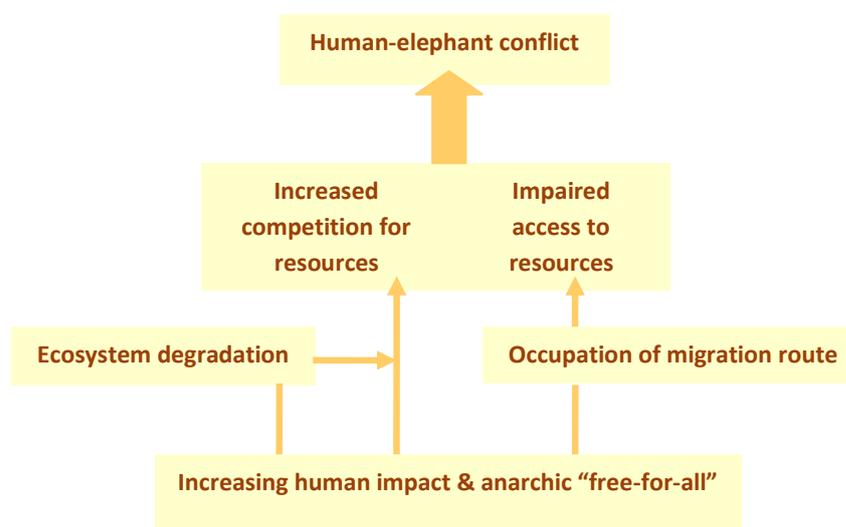
**1.: Global ivory trafficking** - There is currently an escalating poaching crisis of all wildlife but particularly the African elephant, fueled by the rise in disposable wealth in Asia, and most particularly China, that has greatly increased demand. The price of ivory has soared making the industry is now worth billions of dollars and attracting organized criminal trafficking networks and gangs who recruit poor local people to act as guides and/or kill the elephants themselves and retrieve the ivory for them. This poaching also de-stabilizes local communities, undermines local security, and exacerbates corruption. Across Africa elephant poaching varies vastly from country to country, and countries such as Uganda and Botswana show that with government support and strident conservation efforts, populations can recover. Before the conflict of 2012 Mali's iconic elephant population had not witnessed poaching but the first incident occurred in January 2012 following the return in 2011 of heavily armed Tuareg mercenaries from Libya reigniting the Tuareg rebellion. Following the coup of 2012 and the occupation of the elephant range by armed groups of Tuareg rebels and jihadists, government fled, the area became lawless and poaching continued although at a relatively contained level, and then after a period of stability these elephants experienced a sudden surge in poaching intensity in which three times as many elephants were killed in the first 6 months of 2015 as in the previous three years since poaching began. Post-conflict the area suffers from remnant insecurity as former fighters (who cannot return to their communities for fear of being handed over to the authorities) hide in forests and launch robberies and attacks. Despite high government commitment to protecting this elephant population the Direction National des Eaux et Forêts (DNEF) does not have the capacity to respond; nor do the police, gendarmes, customs or judiciary.

**2: Human-elephant conflict generated through increasing and anarchic human pressure operating locally regionally and globally** - Increasing human pressure throughout the elephant range is heightening the potential for human-elephant conflict at the same time as degradation impoverishes livelihoods and reduces the resilience of this naturally variable ecosystem to cope with environmental and social change. And yet successful mitigation methods, such as land-use planning and the integration of elephant conservation into community natural resource management plans and development plans, are still possible if action is taken soon. Scientific studies and community consultation indicate that the threats to the

elephants are the same as the threats to the livelihoods of the local population and the resilience of the ecosystem to cope with environmental and social change, namely:

- Population pressure from the south, as people search for new land to farm, while dispossessed herders try shifting agriculture that ultimately results in soil erosion and loss.
- Well intentioned development interventions that have exacerbated the problem such as the thoughtless provision of water-points encouraging settlement, social discord, and a natural resource "free-for-all"; and the provision of financial incentives to develop market gardens around water holes attracting agriculturalists from elsewhere.
- Livestock pressure from the river towns where middle classes amass huge "prestige" herds that need to travel further and further afield to find pasture. These have greatly increased in number while national statistics show that local livestock ownership has declined for over 2 decades. At Lake Banzena – the only perennial dry season water accessible to elephants and the lynch-pin of the migration – they make up 96% of the cattle using the lake. As a result the lake has become highly degraded, denuded, and is close to drying completely. The water quality is such that 54% of the local women suffer from water-borne disease and 37% have miscarried in the past 2 years. In 2010 such was the density of cattle that half the elephant population left to try to find water in the lakes of their old range in the 1970s to the west, and as a result 21 perished in the attempt.
- In addition, Lake Banzena has been a hotspot for poaching at the end of the dry season. The elephants are forced to congregate here at the end of the dry season, as do bandits and poachers. The latter hide among the local population making it difficult for law enforcement to identify them.
- Commercial interests from adjacent towns depleting forest and non-timber forest products through overharvesting.

Underpinning all these threats and barriers is the anarchic use of natural resources by multiple interests, clans and ethnicities, and while each has its systems of resource management, there is a disinclination to respect the resource management systems of another ethnicity. The resultant "free-for-all" has led to resource degradation, habitat destruction, impoverished livelihoods, and an increase in human-elephant conflict.



### **The Baseline Scenario**

**History** - The Mali Elephant Project (MEP) has been in existence since 2002 and works closely with the government and local communities. After three years of scientific studies, a period of stakeholder engagement and outreach followed to understand the social context and build a shared vision for human-elephant co-existence. This has been achieved on the basis of a project that, since 2009, empowers local communities to reverse the degradation of natural resources at the same time as protecting elephants, their habitats (and associated biodiversity) and the elephant migration route. Improved resource management allows the habitats and elephant migration route to be protected from clearance and set aside. A successful

“war-tested” model has been developed and this now needs scaling up and applied across the whole of the elephant range (40,000km<sup>2</sup>). The model uses the decentralization legislation of Mali to address the anarchic over-exploitation of natural resources through bringing the diverse ethnicities and clans together to agree a common system of resource management that improves local livelihoods, reverses environmental degradation, and thereby increases the resilience of the ecosystem to cope with environmental variability. Post-conflict it also enhances the resilience of the population to cope with the ongoing insecurity. The onset of conflict, the absence of government, and the new phenomenon of elephant poaching meant that the project’s resources were diverted to establishing community elephant protection systems across the elephant range as soon as possible that also addressed community concerns (inability to obtain grain and the recruitment of the youth by armed groups). Key to these systems were community brigades of young men who engaged in natural resource protection activities such as fire-break construction and patrols, at the same time as watching over the elephants and gathering intelligence related to poaching incidents. Although only paid in the equivalent of food, none of these 520 young men joined the jihadists groups who were paying \$30-\$50/day, because they said they had an occupation that held status within the local community. Post-conflict their numbers have swelled to over 600 and are helped by younger volunteers; so that all the youth who did not join, the armed groups are involved in some way or another. Overall, the MEP has invested approximately \$ 4.5 - \$5 million since its inception in 2002. The MEP has continued working in the area throughout the conflict. Future investment is expected from government, to some extent, as well as from grants submitted to UK, US and Canadian sources of donor funds.

**1) Protection against elephant poaching** - The ongoing insecurity and banditry means that the community brigades need armed governmental back-up so that their information can be acted on, inquiries conducted, arrests made and prosecutions secured. The MEP has invested \$913,300 and worked with DNEF to build government capacity in creating 10 new forester posts, training 50 newly recruited rangers, providing a radio-communications system, motorbikes and equipment. The government has provided salaries, uniforms, arms and ammunition as co-finance. The MEP has also raised money and liaised with the Malian army and MINUSMA (United Nations Multidimensional Integrated Stabilization Mission in Mali) to conduct military patrols until the foresters are ready for deployment. MINUSMA are also supplementing their training. The MEP has liaised with UN-POL regarding anti-trafficking investigations. The MEP is in contact with Flier Group about the potential donation of a system of aerial surveillance using drones. By the start of the GEF project, it is hoped that the MEP will have provided five vehicles and 10-15 motorbikes and worked with DNEF to provide oversight and ensure correct practice. The vehicles and motorbikes would represent an investment of \$260,000. Several donors have been approached or will be approached including the German government and the UK Illegal Wildlife Trade Challenge Fund. However much more is required to ensure they can function correctly and beyond 2016. Capacity building is also required within DNEF at all levels, as well as within the police, gendarmerie, customs and judiciary. The MEP is working with the MEA on the revision of the boundaries and legislation of the existing Elephant Partial Reserve to protect the whole of the elephant migration route through supporting the local resource management conventions and strictly protecting the core area of Lake Banzena. MEP is seeking funding for this and a report on the lake that will include recommendations regarding potential rehabilitation measures.

**2) Community-based natural resource management that resolves conflict, improved livelihoods and restores ecosystems throughout the elephant range** - The MEP would continue its work with communities. The size of the elephant range and the need to divert resources to elephant protection means that the degree of coverage of the CBNRM systems is patchy. Some communities are advanced in their resource management and receive significant benefits. Others do little. It is striking that CBNRM performance is closely related to the degree of social cohesion, and as the conflict has opened up many social divisions additional effort in understanding social dynamics and promoting reconciliation. CBNRM requires cohesive communities but it is also an excellent way to promote reconciliation and cohesion. The CBNRM systems encapsulate Sustainable Land Management Practices in managing rangeland and forests but the degree to which these are developed or implemented varies greatly, and there are many communities wishing to implement such systems and practices. Being able to work with more communities at once, across the elephant range would demonstrate the synergistic benefits at scale. There is also the danger of communities who experience high levels of transhumant pressure being demoralized by others benefitting from their hard work, if they have not yet advanced to the stage whereby they can charge for access to resources.

### 3) Monitoring, oversight and project management

The project is overseen and monitored closely by project personnel to be able to assess the best use of funds to adapt to an unpredictable and changing situation; quantitative monitoring data collected to measure impact; and studies are undertaken where necessary to guide interventions.

#### The Alternative Scenario

The GEF resources under the proposed project will support two inter-related and mutually dependent areas:

- Protect the elephant population through building DNEF capacity to conduct anti-poaching operations, in conjunction with local communities. A side effect of this is an increase in general security.
- Support the extension of the “war-tested” model of community engagement and resource management across the elephant range.

Supporting these two areas simultaneously is highly cost effective as they are mutually reinforcing. The final result is that the whole of the elephant range is protected by Malian law and enforcement is undertaken by the local communities, acting in their own self-interest, supported by government, with Lake Banzena protected area, to ensure dry season water for elephants.

#### **Component 1: Protecting Gourma elephants in NE Mali from poaching and securing seasonal migration routes.**

This involves building on the successful model of community-forester synergy whereby local community brigades provide the intelligence for government agents to act on and provide the enforcement at the local level. This will then be supported by capacity building within the relevant government agencies to ensure prosecutions

##### Outcome 1: Reduction in rates of poaching of elephants

- Conduct an ICCWC review to identify areas where the government needs to strengthen its legislation, institutions governance and criminal justice systems, and law enforcement; develop national legislation in line with CITES provisions and build capacity in these areas.
- Build the institutional and operational capacity of the Direction National des Eaux et Forêts to conduct anti-poaching activities in conjunction with local communities. The activities include patrolling, crime scene data collection and procedures
- Establish a system of elephant monitoring and communication network to collect, share, and record centrally data on poaching and trafficking between the relevant government agencies including the DNEF, gendarmes, customs, military, and judiciary

Outcome 2: Mali’s anti-poaching capacity increased in NE Mali for the protection of the Gourma Elephants. Support the operation of the Brigades de Surveillance through training in operations, networking, patrolling, information collection, and in working with government foresters.

- Strengthen the co-operation between local people, local elected representatives, government administration and technical services
- Ensure that all 10 forester posts are fully operational
- Establish a cadre of “Ecoguards” using the best-performing brigade members to act as auxiliary foresters
- Reinforce cross-border co-operation with the communities and structures in Burkina Faso to reinforce the relationships and synergy already established and support the newly created trans-border local institutions. This is of particular importance as a potential ivory smuggling route

Outcome 3: Lake Banzena is protected for elephant use to provide them with a secure late-dry season refuge with adequate water and food.

- Re-drafting of reserve legislation and boundaries

- Community engagement to discuss the reasons for the changes and allow input
- Undertake a study to understand the Lake's capacity and rate of siltation; recommend rehabilitation and management such as areas to deepen, & catchment stabilization.
- Pending the results of the study, possible interventions could be deepening a part of the lake and stabilizing the catchment through vegetation regeneration

### **Component 2: Community-based natural resource management that resolves conflict, improved livelihoods and restores ecosystems throughout the elephant range**

The approach involves engaging with the local people where they are and guiding them to actions that benefit them as well as the elephants. Once the benefit is felt and the actions become habitual, the project can begin to withdraw its support. All the activities listed below support the three outcomes, as sustainable land management and restoration of native forests are all integral parts of community resource management plans. Government agents support communities with technical knowledge and enforcement.

Outcome 1: The elephant migration route and its habitats are protected from human settlement, clearance and degradation through community–government resource management systems integrated from local to landscape level. These systems include Sustainable Land Management practices and the restoration of Sudan-Sahelian and Sudano-Guinean native forests by reduction of pressures to secure the supply of timber and non-timber forest products and the safeguarding of essential ecosystem services across the landscape.

- Establish a baseline of communities already undertaking CBNRM, identifying their actions and tangible results as measured by, for example, revenue from selling hay and wild foods, increase in livestock value etc.) to be able to measure progress.
- Support communities in establishing systems to protect the habitats and route of the elephant range, particularly in the most sensitive areas. This includes supporting reconciliation and building social cohesion in many cases to a greater or lesser degree. It will require recruiting and training a team of facilitators with a range of skills.
- Train communities in supporting skills such as firebreak protection, organization of patrols, national legislation and protected species, planning, keeping records, revenue collection and benefit sharing.
- Support communities in revenue-generating activities such as protection and harvesting of *Acacia seyal*, and *Commiphora africana*, enclosures for hay and wildlife rearing and potential reintroduction
- Ensure that Lake Banzena is kept free of human activity and settlement by support to adjacent brigades and local forester post
- Protection of other key habitats that provide essential ecosystem services within the elephant protection range, such as wetlands and grassed landscapes.
- Promote dialogue between the users and managers of resources and space, that includes local people, local elected representatives, government administration and technical services, at local communal and intercommunal levels, leading to the signature of 'community compacts' that binds the generation of socio-economic benefits to communities to the effective protection of elephants and threatened habitats.

### **Component 3: Monitoring, oversight and project management**

This component ensures quantitative data are collected to ensure the monitoring of impact, and that studies are conducted where necessary to guide activities.

- Creation and maintenance of central databases recording data on:
  - Elephant mortality
  - Anti-poaching activity: patrols, arrests, prosecutions
  - Communities and progress of CBNRM including SLM and the protection of forests and other habitats; revenue generated
  - Project activities: training courses, community meetings etc.
- Remote sensing studies to monitor impact of CBNRM
- Socio-economic studies to understand social dynamics and ensure that project interventions are targeted to achieve the desired effect

### **Incremental cost reasoning**

The Government of Mali has clearly identified the elephants as an important national heritage and the need to build capacity in the protection of its key biodiversity. The rapid escalation in illegal killing of elephants means timely action is essential; however, government resources and capacity are extremely limited. A successful cost-effective model has been developed for elephant conservation in the Gourma, however to be ultimately sustainable requires that it is scaled-up rapidly across the full extent of the elephant range, to ensure, for example, that impact is not displaced to other areas, and that those implementing the model are not discouraged by others reaping the benefits of their work without contributing. The baseline project alone does not have the resources to work across the whole of the elephant range to the depth required, and the results obtained by those communities implementing sustainable resource management will be vulnerable to disruption by others. Based on the community work, a bare minimum response has been mounted to cope with the immediate poaching problem, but it is likely to be inadequate to deal with the scale of the challenge. Without additional support to both rangers and community brigades to ensure effective functioning, poaching is likely to continue at unsustainable levels that risk extirpating this elephant population. Furthermore, without capacity building within DNEF, gendarmes, customs and the judiciary, prosecutions of poachers and traffickers are unlikely.

### **Global Environmental Benefits**

The Gourma elephants are regarded of national and international importance for several reasons. They represent 12% of all West African elephants and is accorded a high priority in the regional elephant strategy of the World Conservation Union (IUCN). This population is the most northerly population in existence, since the extirpation of the Mauritanian population in the Assaba mountains in the late 1980s, and one of two populations of “desert elephants” (the other being in Namibia). It has survived through making a striking annual, circular migration over an area of 32,000km<sup>2</sup> from Mali to Burkina Faso and back, picking its way through the landscape to find the resources of food, water and refuge required for its survival through the year. The African elephant is listed in Appendix Two of the CMS and the subject of a MoU. This population is listed under Appendix I of CITES. Securing these elephants not only protects an iconic elephant population but it also protects an important model of elephant conservation over large populated areas. This is particularly relevant as elephant habitat becomes more and more threatened by expanding human populations and their impact. At the same time, the model achieves the conservation and enhancement of carbon stocks in forests and soils; increased stability and resilience through reducing the vulnerability of people, livelihoods and natural systems to environmental and social change.

### **Innovation, Sustainability and Potential for Scaling up**

The project is innovative in its use of the local community working with government to provide a cost-effective solution to elephant protection over vast, remote, populated landscapes, and in the process tackle many other development and security issues. Taking an integrated multi-sectoral approach frames conservation in mainstream considerations, enabling it to contribute to issues of poverty reduction, youth unemployment, security, and the prevention of radicalization, all founded on wise resource management. The approach is particularly appropriate for Sahelian environments but can be implemented anywhere as long as the correct “generalities” are identified (particularly the process) and the focus does not rest on the form. The project is also innovative in establishing enforcement measures before revising the limits of the protected area to cover the whole of the elephant range. These enforcement measures are innovative in that they involve close co-operation and synergy between the local communities and government to mutual benefit. This is in contrast to a conventional approach whereby the limits and management plan are established first, with enforcement the responsibility of the government. By involving the local community enforcement is greatly facilitated, more cost-effective and more sustainable, and focused on the relatively small proportion of the community inclined to criminal activity

**A.2. STAKEHOLDERS.** Will project design include the participation of relevant stakeholders from civil society and indigenous people? (Yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

Co-operation and collaboration are the essence of the approach, as sustainable community-based natural resource management is not possible without this. All stakeholders are involved in meetings – traditional community leaders, elected leaders, government technical services from all relevant departments (forestry, agriculture, herding communities, planning), government administration, NGOs, and other projects and programmes if present.

<b>STAKEHOLDER</b>	<b>ROLE IN PROJECT</b>
Ministry of the Environment, Sanitation and Sustainable Development and its Direction National and Regional des Eaux et Forêts (DNEF)	Implementing partner
Mali Elephant Project	Likely Implementing partner (partial NGO execution anticipated)
Local communities	These are beneficiaries of the project and executors. They (particularly the Management Committees and Brigades) are responsible for devising resource management systems and structures and gathering intelligence
Other Mali government Ministries and Directions implicated by project activities such as those concerned with herding and agriculture, land use management, and rural development	Partnership and collaboration
Malian military, police and gendarmes	Support to local foresters in conducting anti-poaching operations
United Nations Multidimensional Integrated Stabilization Mission in Mali	Co-ordination in patrolling and border security
UN-Police	Support in trafficking investigations
Gourma Reserve foresters in Burkina Faso	Co-ordination with Malian foresters in anti-poaching

**A.3 RISK** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

<b>Critical risks</b>	<b>Risk level</b>	<b>Proposed measures</b>
Security situation in the Gourma	High	Anti-poaching and government presence working with local community intelligence will improve this
Personnel changes within DNEF means less support due to reduced capacity	High	Existing high-level stable relationships mitigate the impact
Low capacity/motivation among foresters	High	Performance monitoring to remove low performers. Ensure they are equipped to do the job. Support motivated brigade members as auxiliary foresters
Low motivation among communities whose leaders are primarily motivated by social positioning	Medium	Use of facilitators from same ethnicity to mediate and motivate using culturally adapted strategies
Social tensions due to legacy of the conflict and the distribution of aid render CBNRM difficult among some communities	Medium	Additional time and effort required for community reconciliation

**A.4. COORDINATION.** Outline the coordination with other relevant GEF-financed and other initiatives:

The development of this project will benefit from the mid-term evaluation of the GEF4 SPWA-BD project PMIS 3745 - UNDP - Expansion and Strengthening of Mali's PA System").

Description of the consistency of the project with:

B.1 Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? For biodiversity related projects, please reference the Aichi Targets that the project will contribute to achieving. (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.:

The project is consistent with Mali's strategies and plans. The protection of the environment is rooted in the Constitution of Mali of 1992. The policy framework is provided by the National Policy for Environmental Protection (NEPP) adopted in 1998. The Gourma is mentioned in the National Biodiversity Strategy (adopted in 2001) as one of the four natural regions of highest biodiversity value in Mali, and this project addresses four of its five specific programmes of work. It also addresses the key stated challenge (in the fourth and fifth national reports published in 2009 and 2014) of taking into account land-use rights of local communities. The project contributes to Mali's obligations under the Convention on Biological Diversity (CBD), CITES and the Convention on Migratory Species (CMS). The African elephant is listed in Appendix Two of the CMS and the West African elephant population is the subject of a MoU.

The project works closely with the DNEF, and has inspired the directorate to use its approaches elsewhere in Mali and move towards the establishment of a dedicated protected areas agency (see section 2). As the Gourma is one of the four highest priority areas for biodiversity in Mali, the project directly contributes to helping Mali achieve Aichi targets 1, 5, 7, 12, 14, 15, and 18.

It will achieve targets 1 and 4 through the tangible benefits of resource management demonstrated to local communities and national government, as well as using these results in outreach and awareness activities internationally. The project is contributing to target 5 through preventing habitat degradation, ensuring the protection of forests, lakes and pasture, and promoting habitat restoration, and to target 7 through community-devised local and inter-communal conventions enshrining sustainable resource use that prevents degradation, for example by banning practices such as abusive tree cutting, and tightly regulating resource extraction and hunting. It supports target 11 through contributing to the global 17% targets for terrestrial protected systems. Target 12 is supported through the prevention from extirpation of this unique elephant population, which nurtures biodiversity through its role as an umbrella and keystone species. Other important species are the near-threatened Dorcas gazelle and Nubian and Denhams bustards. The project will result in an increase in game species through its control on hunting and habitat protection will increase their abundance. By restoring ecosystems and preventing degradation the project improves the lives and livelihoods of local people including the provision of clean water for the communities of the Banzena area, which meant that the incidence of water-borne disease dropped dramatically, and target 14 is supported. The project is preventing forest clearance, annual burning of pasture, habitat degradation, thereby contributing to target 15; and target 18 is fulfilled because the project is founded on the effective participation of local communities and their traditional systems of resource management, which are then built on and developed to meet new challenges.

**14. Strengthening the conservation of globally threatened species in Mozambique through improving biodiversity enforcement and expanding community conservancies around protected areas (Mozambique)**

**PART I: PROJECT INFORMATION<sup>160</sup>**

Project Title:	<b>Strengthening the conservation of globally threatened species in Mozambique through improving biodiversity enforcement and expanding community conservancies around protected areas</b>
Country(ies):	Mozambique
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Gorongosa Restoration Project (GRP) and Wildlife Conservation Society (WCS), with National Agency for Conservation Areas (ANAC) under the Ministry of Land, the Environment and Rural Development (MITADER)
GEF Focal Area(s):	Multi-focal areas

**A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>161</sup>:**

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
<b>BD2 - Program 3: BD 2</b> [ <i>Reduce Threats to Globally Significant Biodiversity</i> ] <b>Program 3</b> : <i>Reducing Poaching and Illegal Trafficking of Threatened Species</i>	GEFTF	3,750,000	20,000,000
<b>BD-1 Program 2 BD 1:</b> [Improve sustainability of protected area systems] Program 2 : <i>Expanding the Reach of the Global Protected Area Estate</i>	GEFTF	3,750,000	15,000,000
<b>LD-3 Program 4: LD-3</b> [ <i>Reduce pressures on natural resources by managing competing land uses in broader landscapes</i> ], Program 4: <i>Scaling-up sustainable land management through the Landscape Approach</i>	GEFTF	3,000,000	9,500,000
<b>SFM 1:</b> [ <i>Maintained Forest Resources</i> : Reduce the pressures on high conservation value forests by addressing the drivers of and maintenance of high deforestation.]	GEFTF	1,750,000	2,500,000
<b>SFM 2:</b> [ <i>Enhanced Forest Management</i> : Maintain flows of forest ecosystem services and improve resilience to climate change through SFM]	GEFTF	1,750,000	2,500,000
<b>SFM 3:</b> [ <i>Restored Forest Ecosystems</i> : Reverse the loss of ecosystem services within degraded forest landscapes]	GEFTF	1,750,000	2,500,000
Total Project Cost		15,750,000	52,000,000

**B. CHILD PROJECT DESCRIPTION SUMMARY**

<b>Project Objective:</b> To strengthen the conservation of globally threatened species in Mozambique through implementation of the Conservation Areas Act – improving biodiversity enforcement and expanding protected areas through community conservancies and targeted rural development action				
Project Components	Fin. Type <sup>162</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. National strategy to promote the value of wildlife and combat illegal wildlife trafficking	TA	<b>Outcome 1. National strategy implemented to promote the value of wildlife and biodiversity for Mozambique's national development and to combat illegal wildlife trafficking through a coordinated approach</b>  <i>Indicators: Establishment of national strategy for combating wildlife crime; Significant improvements in capacity of key role-players as indicated by customized Capacity Development Scorecard</i>	6,100,000	23,800,000

<sup>160</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>161</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>162</sup> Financing type can be either investment or technical assistance.

Project Components	Fin. Type <sup>162</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
2. Strengthening enforcement capacity in key protected areas to combat wildlife crime on the ground	TA	<b>Outcome 2. Wildlife crime is combated on the ground through strengthening enforcement operations in targeted protected area complexes</b> <i>Indicators: Poaching of wildlife is prevented or reduced in target sites; Biodiversity enforcement improved over 6.3 million hectares of important PA Complexes</i>	3,500,000	13,000,000
3. Establishing conservancies to expand the Gorongosa PA complex, bringing sustainable land and forest management benefits, restoring degraded ecosystems and generating livelihoods	TA	<b>Outcome 3. Three new Community Conservancies are created in terms of the Conservation Act, effectively expanding Gorongosa National Park</b> <i>Indicator: Three new conservancies are established and gazetted, bringing 131,000 hectares under new protection and sustainable land and forest management within the wider 1.5 million hectares of landscape that compose the buffer zone of the Gorongosa-Marromeu Complex</i>	5,400,000	12,200,000
Subtotal			15,000,000	49,000,000
Project Management Cost (PMC) <sup>163</sup> GEFTF			750,000	3,000,000
<b>Total Project Cost</b>			<b>15,750,000</b>	<b>52,000,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Ministry of Finance and/or responsible entity	Grants	8,000,000
Recipient Government	Key government bodies involved in protected areas and biodiversity law enforcement	In-kind	800,000
Donor Agency	Bilateral and multi-lateral	Grants	1,000,000
CSO	Gorongosa Restoration Project (GRP)	Grants	30,000,000
CSO	Wildlife Conservation Society (WCS)	Grants	10,000,000
GEF Agency	UNDP and partner UN Agencies	Grants	2,000,000
Beneficiaries	Community-Based Organizations around Gorongosa National Park	In-kind	200,000
<b>Total Co-financing</b>			<b>52,000,000</b>

### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

a)

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Progr. of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEFTF	Mozambique	Biodiversity	SFM	7,500,000	675000	8,175,000
UNDP	GEFTF	Mozambique	Land Degradation	SFM	3,000,000	270000	3,270,000
UNDP	GEFTF	Mozambique	Sustainable Forest Management	SFM	5,250,000	472500	5,722,500
<b>Total GEF Resources</b>					<b>15,750,000</b>	<b>1,417,500</b>	<b>17,167,500</b>

a) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

b) Refer to the Fee Policy for GEF Partner Agencies.

c) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

## PART II: PROJECT JUSTIFICATION

<sup>163</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

## PROJECT OVERVIEW

### A.I. Project Description.

Briefly describe<sup>164</sup>: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; 5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

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

**Context, issues and global significance.** Mozambique still ranks among the least developed nations, with very low well-being indicators. About 70 percent of the country's 22.9 million people live and work in rural areas. Mozambique is also a major repository of biodiversity with profound international importance, and whose management has implications for the entire sub-region. The country contains three areas designated by Conservation International as Biodiversity Hotspots<sup>165</sup> and is rich in marine biodiversity. The country is equally endowed with a rich natural resource base including arable land, forest, water, natural gas and mineral resources. The central and northern regions harbor extensive miombo forests of varied density (i.e. degree of forest cover) and sub-types. These landscapes, north of 18<sup>th</sup> parallel south, are crisscrossed by a complex hydrographical network, the main basins being the Zambezi, Pungue, Lúrio and Rovuma. Although miombo forests are common in the sub-region, they are known to render essential ecosystem services to society, relating to food, fodder, water, wood, fiber, medicine, carbon sequestration and soil retention at the landscape level. Twenty-two broad vegetation communities are currently recognized in the country, supporting more than 5500 species of plants including 250 known endemic species, 222 mammal species including several endemic sub-species, and more than 600 species of birds – with many near endemic and restricted-range species. Protected Areas have provided the principle means for protecting the country's biodiversity. The national PA estate includes 47 areas designated for the conservation of flora and fauna, with seven National Parks, including the flagship Gorongosa National Park in the Zambezi Valley, and six National Reserves, including the Niassa Reserve on the northern border with Tanzania.

Several threats affect biodiversity in Mozambique. As one of the poorest countries in Africa, the livelihoods of most rural communities are highly dependent on the direct use of natural resources (land, water, game, fish and fuel-wood), leading often to overexploitation with few sustainable and economically viable alternatives. FAO reports that Mozambique lost some 4.3 million hectares of forests between 1990 and 2010. The vast savanna woodland plains in Mozambique, which cover 70% of the country's surface, are also generally rich in wildlife. It is known that populations of large mammals suffered a heavy toll during the civil war, but have been slowly recovering since the end of the conflict in 1992. However, for the past five years, the country has been experiencing a significant increase in wildlife crime, adding to the pressures caused by uncontrolled hunting. In Niassa Reserve alone, WCS reports that 2,600 elephants were poached between in 2010 and 2011. In 2013, after significant on-the-ground anti-poaching efforts, this had been reduced to approximately 300-500 animals. However, in 2014 the poaching has increased again. Niassa Reserve holds 70% of Mozambique's elephants, and pre-poaching; together with southern Tanzania was the world's second largest elephant population. Although elephant poaching in Gorongosa was virtually eliminated from 2004 onwards, it is of great concern that in 2014 already two elephants were poached for their ivory by obviously experienced poachers. This indicates that the wave of elephant poaching is descending from the north (Niassa), over Quirimbas National Park to the next target, which is the recovering population in Gorongosa.

<sup>164</sup> FOR IAPS, PLEASE RESPOND TO THESE QUESTIONS INSTEAD: 1) PROPOSED GEOGRAPHY / LANDSCAPE / AGROECOSYSTEM FOR IAP, INCLUDE RATIONALE AND JUSTIFICATION FOR TARGETING; 2) CONTEXT AND BASELINE SCENARIO; 3) PRIORITIES FOR IAP SUPPORT, WITH BRIEF DESCRIPTIONS OF EXPECTED OUTCOMES, BASED ON PROGRAM COMPONENTS AND RESULTS FRAMEWORK; 4) GLOBAL ENVIRONMENTAL BENEFITS

<sup>165</sup> Eastern Afromontane in various highland areas located in the center and west of the country; Coastal Forests of Eastern Africa, stretching along the coastal belt; the Maputaland-Pondoland-Albany Hotspot, located in the southern part of the country

The growing market for specific wildlife products is fueled by high profits as demand has grown in overseas markets, and low risks. Ivory is the biggest part of this trade, but rhinoceros and pangolin products are also being trafficked. Entire criminal organizations with international outreach are connecting a complex supply chain that links poor Mozambicans in remote areas, to professional poachers and traders of varied nationalities, to illegal transporting services, and ultimately to consumers, who ignore the full scope of their acts. Other globally threatened species in the greater Gorongosa ecosystem include leopards and African wild dogs. Local poaching of "ordinary" species also threatens other globally endangered species because the methods used are indiscriminate, as non-target animals such as lions are killed or maimed by snares.

New opportunities have opened up with the passing of the 2014 Conservation Act, strengthening the country's commitment to enforcing legislation against poaching and compliance with the CITES convention against wildlife trafficking, and creating new legal vehicles for community co-management of wildlife and associated ecosystems through conservancies. The project will bring together all national stakeholders – from government, the private sector and civil society – to engage in a national dialogue about the value of wildlife and their habitats to the national economy and to the socio-economic development of all Mozambique's people, and the potential for biodiversity-compatible development opportunities. This dialogue will be promoted through enhancing biodiversity education efforts and through stepping up efforts to develop and implement a national strategy against wildlife trafficking – involving all relevant ministries, public prosecution, police and customs, immigration and intelligence agencies. Part of the strategy includes conducting national enforcement training in Gorongosa National Park, through the Conservation Economy Centre and the new ANAC National Ranger Training Centre. The proposed flagship Parque Ecológico de Malhazine may also become a venue for training and public awareness raising. This will be complemented by strengthening enforcement capacity in key protected areas to combat wildlife crime on the ground – strengthening management effectiveness and anti-poaching operations and infrastructure in the Greater Gorongosa-Marromeu Landscape and the Niassa Reserve.

The project will also pilot the establishment of community conservancies through the new Conservation Act, supporting the operation of three new conservancies to expand the Gorongosa PA complex by 131,000 ha, bringing sustainable land and forest management benefits, restoring degraded ecosystems and generating livelihoods. This will include 26,500 ha of Miombo woodlands brought under protection, which might otherwise be gradually deforested for agriculture. In addition to this area, there will likely be agricultural areas in the eastern conservancy, where there are pockets of soil unsuitable for crops, where woodland can be preserved, and restoration carried out in areas important for connectivity. In and around these conservancies, efforts will be made to improve the management of land, water, soil, fire and natural resources, through a suite of sustainable forest and land management measures and techniques. This will include developing capacity for community co-management of wildlife and ecosystems, promoting public-private-community partnerships for biodiversity-compatible livelihoods, e.g. ecotourism and sustainable bushmeat. Gorongosa-based facilities will be used to conduct national biodiversity surveys that determine potential for other conservancies nationally and help develop capacity to operate them, for example through training community-based organizations in ecotourism.

## 2) The baseline scenario or any associated baseline projects

Wildlife crime is becoming a serious issue in Mozambique. It affects key protected areas directly by stripping them from some of their most precious resources. It can be a cause of institutional instability. It undermines governance and the livelihoods of local community that could otherwise benefit from the presence of emblematic wildlife populations. Addressing it through a 'national strategy' approach requires consistent collaboration and partnerships. It will involve a new level of coordination between a range of governmental sectors. The recently created Ministry of Land, the Environment and Rural Development (MITADER) will play a leading role in the implementation of this national strategy coordinating and coalescing the much needed partnerships.

**Sites.** The key geographic focus of this project is central and northern Mozambique. In particular, it will focus site-level efforts on two zones containing core and non-core protected areas: **(i) the Greater Gorongosa-Marromeu Landscape** and **(ii) the Niassa Reserve**:

**(i)** The former site includes the Gorongosa National Park and its northern, southern and eastern buffer zones (which includes Mount Gorongosa, various prospective community-based Conservancies and other sites

within the former Coutada No. 1), plus Coutadas No. 12, 11, 14 and 10 (which encompass part of the corridor between Gorongosa and Marromeu) and the Marromeu National Reserve. Approximately 20,000 people live in the buffer zone of the Park. Together this zone covers some 2,127,900 ha wedged between the Pungue and Zambezi rivers with varied ecosystems that mark the southern border of the Rift valley. The area has huge importance for faunal migration, ecosystem services and livelihoods. The Gorongosa National Park itself is under a co-management concession between ANAC and the NGO Gorongosa Restoration Project (GRP), while the Marromeu Reserve is directly managed by ANAC. Other sites are under varied management arrangements, including with hunting concessionaires. CBO management of conservancies is yet to emerge.

(ii) The latter site, the Niassa Reserve, is has its northern border on the Rovuma river. It connects to various PAs on the Tanzanian side of the border and encompasses some 4,200,000 ha. The Reserve is divided into 16 tourism blocks, (of which 6 are for photographic tourism and 10 allow hunting). There are 35,000-40,000 residents in 40 villages in three main concentrations in the Reserve, and the newly developing community strategy is proposing to pilot the conservancy model within the Reserve. Niassa Reserve is the most important site for elephants in Mozambique, with 70% of the national population. This population is contiguous with the southern Tanzanian elephant population – together they were the world’s second largest elephant population, poaching has probably reduced this status to 3<sup>rd</sup> or 4<sup>th</sup>. The Niassa Reserve alone was thought to harbor some 15,500 individuals of the total ca. 22,144 elephants counted in the 2009 national AGRECO wildlife census. Since 2012, Niassa Reserve has been co-managed by ANAC and the Wildlife Conservation Society (WCS), including oversight of management activities in the privately concessioned tourism Blocks.

**Baseline Programs.** The National Agency for Conservation Areas (ANAC) is responsible for directly managing PAs in Mozambique, including under different modalities of co-management. It was previously under the Ministry of Tourism and is now under MITADER. ANAC was only established as a distinct agency a few years ago and it still requires support for improving its operational, technical and strategic capacity and fulfilling its role. A related domain to PA management is the management of timber resources in forest reserves, and of faunal resources in hunting preserves (Coutadas). Government oversight for these resources was previously under the ministry responsible for agriculture, but this could change in light of on-going ministerial reforms. At the time of writing, it is not clear which entity will have these attributions. Regardless, the broader legal framework for PAs management and how this relates to NRM are now better defined through Mozambique’s new Conservation Law, approved in 2014. It defines both what a ‘conservation area’<sup>166</sup> is and provides a guiding framework for resource use under different categories of PAs, among them community-based conservancies, which can now be formalized. This was a key milestone set by the 2014 Conservation Law and it is paving the way for the establishment and effective management of this new type of PA in Mozambique, where organized local communities are the key protagonists. Various laws and regulations are otherwise in place for securing the sustainable management of PAs and natural resources in the country.<sup>167</sup> Across the board, a key constraint has been the limited capacity to enforce existing legislation, implement policies and to apply adequate management strategies to NRM. Mozambique has a reasonable PA coverage, which encompasses some 17% of the national territory. Yet, in many areas, including in the buffer zone of established PAs, land is prone to deforestation and degradation and wildlife species prone to poaching.

The financial baseline for this project amounts to approximately \$52 million. The baseline project is composed of recent, current and planned investments, programs, projects and initiatives that have relevance for the theme of this project and that will represent the underlying finance upon which a GEF investment is expected to incrementally make a difference. The baseline project has three distinct elements. The first element concerns State investments, at both the national and sub-national levels as relevant, and where the key focus is on (i) expected government expenditure on the management of forests and protected areas and ecosystem services in general; and (ii) investments in making agriculture more sustainable, but more specifically within the zone of influence of Marromeu and Gorongosa PAs in Sofala Province. The first element of the financial baseline reaches some \$15 million for the duration of the project, of which we

<sup>166</sup> In Mozambique, protected areas are generally called ‘conservation areas’ (‘*áreas de conservação*’). In this proposal, both terms are assumed as synonymous, though in other contexts, PAs could be considered a broader concept than ‘conservation areas’.

<sup>167</sup> In the current legislation, forest reserves (‘*reservas florestais*’) are treated as ‘production forests’ and are not considered PAs under the Conservation Law.

estimate that two-thirds of it refers to the first sub-element and the remainder to the second.<sup>168</sup> The specific State investment in the fight against poaching was assessed as very limited at this current stage. The second part of the baseline project pertains to investments made by site-level concessionaires and their partners in the management of core-protected areas and in fighting poaching on the ground. The focus is on Gorongosa, Marromeu, Niassa and other areas within the targeted landscapes. This second element reaches some \$25 million in total. Last, but not least, communities themselves, as well as partners, contribute significantly to the third element of the project's financial baseline, namely, for what the establishment of concessions and the value of ecosystem services are concerned. This last element was currently assessed at \$12 million, but may later increase, as the number of operational conservancies expand. This amount generally includes investments that both beneficiary communities and core PA concessionaires are making and intend to make in operationalizing the management of non-core areas (i.e. conservancies) in the buffer zones. We highlight e.g. that GRP intends to invest reasonable amounts in the development of the nascent conservancies in the Gorongosa buffer zone and in the Gorongosa-Marromeu corridor. Donor partners are also likely to co-support such initiatives. Although it is difficult at this stage to estimate with precision the third element of the project's financial baseline, the proposed amount would not be too far from intended investments. All baseline finance calculations are anyway approximate and will be more closely assessed at CEO Endorsement. Although government has recently passed the Conservation Act, and there is increased attention to and investment in efforts to establish conservancies and combat poaching, this does not include a strong focus on the international implications of illegal wildlife trafficking or on the securing of global biodiversity benefits.

***The Long-Term Solution.*** The focus of the project is on strengthening the conservation of globally threatened species in Mozambique through improving biodiversity enforcement and expanding community conservancies around protected areas. This includes a focus on the supply chain behind the illegal wildlife trade, which drives a series of impacts on individual species, landscapes and on local communities engaged in poaching activities. The issue also has implications for governance and stability in the country. The long-term solution is to address it from both a short- and long-term perspective, and to combine interventions at the local, national and international levels. Mozambique can do much to address it from a 'supply' side (addressing it from the 'demand' side is outside the scope of this project). Elephants are a priority focus for strengthening the fight against poaching and illegal trafficking of threatened species. However, it is expected that the strengthening of actions on surveillance, monitoring and enforcement on the ground to combat wildlife-poaching will also result in improved protection for several other species and landscapes. This includes protection of forest both within core areas and in their buffer zones, where hardwood species are under increasing threat by illegal logging operations that are becoming widespread across central Mozambique. The most pressing needs that require immediate action pertain to strengthening enforcement and improving the general management of PAs, including through involving communities in having stake in the long-term sustainable management of the landscapes where they live. The longer-term perspective focuses on bringing sustainability to these actions and building national capacity for various aspects of management. This implies making poaching risky and other ecosystem degrading practices economically unattractive, whilst promoting biodiversity-compatible livelihoods and economic development.

***Barriers.*** There are three overarching barriers that stand in the way of advancing the preferred long-term solution:

***Barrier #1. National level action to realize the long-term solution is not sufficiently coordinated.*** Mozambique is a signatory of CITES. It can and should do more to live up to its commitments. Lack of support to do so is the most glaring barrier. There is no effective strategy that coalesces all actors at the national level and makes them work together. There are also a few gaps in legislation and regulations that need to be addressed for making poaching and illegal wildlife trafficking a much more unattractive activity than it is right now in the eyes of the perpetrators. However, capacity for complex enforcement, including the necessary equipment, training and labor, are a core constraint. Today, technology can be pivotal in supporting intelligence-led enforcement. Yet, it would be meaningless without institutional coordination, key data and analysis. This pertains to the short-term approach. The long-term approach includes the engagement of CBOs in sustainable landscape level management. This is now made possible through the new Conservation Law. However, the support structures and capacities for achieving this goal are not yet

<sup>168</sup> Estimates are based on the State's General Budget for 2013 for the then Ministry of Tourism and Ministry of Agriculture, more specifically for the management of PAs, enabling support to the maintenance of ecosystem services and some investments in agriculture specific to Sofala. Extrapolations for the period 2014-2020 are based on the 2014 Medium-Term Expenditure Framework (source SISTAFE). Amounts will be updated based on new State budgetary data during the PPG stage, including in light of important changes in ministerial attributions and mandates.

in place. Mozambique could learn much from similar experiences in the sub-region. Finally, Mozambique is willing to be part of a wider and global effort to curb wildlife crime. The means to carry out effective cross-border collaboration are however not in place.

*Barrier #2. All evidence shows that site level enforcement is still sub-effective, due to gaps in equipment, means of transport, communication, and coordination and training.* Because of the project's general fit vis-à-vis other related interventions, two sites were chosen (the Greater Gorongosa-Marromeu Landscape and the Niassa Reserve). For the past few years, there has been rapid and impressive progress in operationalizing the management of these sites, in spite of challenging conditions. State of the art methods of PA management are now being brought to Mozambique, thanks to significant investments, technical assistance and partnerships with civil society organizations. The involvement of the private sector has also been pivotal. However, the situation and challenges evolve dynamically and there are several gaps and barriers that need to be addressed related to planning, organization, collaboration, equipment, infrastructure and means of transport. The surge in poaching is an added challenge that requires decisive, urgent interventions, but also sustainability. With respect to the latter, the managing entities of both Gorongosa and Niassa PAs are well positioned to contribute much more to building the national capacity for PA management. Yet, they face operational and financial constraints to bring these efforts to scale.

*Barrier #3. There is potential for realizing the multiple social and environmental benefits of CBO-managed conservancies, but the structures, capacities and economic incentives are still lacking.* In order to sustain the long-term benefits of wildlife crime enforcement at the level of affected local communities, there has to be alternative, sustainable—and preferably, more profitable—economic activities that makes poaching a highly unattractive and risky activity. A key legal barrier was recently overcome. The new Conservation Law creates enabling conditions. Yet, the planning, physical investments and capacity constraints need to be addressed. In addition, in order for the management of natural resources to be sustainable in the sites where conservancies can be potentially established, other conditions, specific to resource use governance, need to be in place. At the national level, little is known e.g., about the actual level of land degradation the potential for restoring ecosystem services in these sites. Only a few preliminary studies that could potentially support the development of conservancies in the Greater Gorongosa-Marromeu Landscape have been carried out. Even there, stakeholder consultations are still incipient. Communities are small and live far apart<sup>169</sup> and many are not yet organized. This creates logistical difficulties, but they can be addressed. The issue of human-wildlife conflict also needs to be tackled. Finally, sustainability at the local level is best built through self-reliance and broader societal sustainability. As it is, local communities in the zone still rely heavily on itinerant agriculture based on slash-and-burn techniques. This risk spreading fire and degradation to forested areas – they are generally not sustainable and open up areas for more extensive deforestation. At the same time, these communities in the buffer zone lack access to knowledge on sustainable cultivation techniques and more profitable markets to distribute their produce. Creating sustainable and community-based businesses, including based on niche agricultural products, is possible, but a good analysis of local conditions and potential is a clear gap. So is the emergence of entrepreneurial capacity to make it happen.

### 3) The proposed alternative scenario, with a brief description of expected outcomes and components of the project

**Outline of the Project Strategy.** The project is designed around three Components

#### Component 1: National strategy to promote the value of wildlife and combat illegal wildlife trafficking

<i>Component 1 Key Outputs</i>	
1.1	Coordinating national efforts on a strategy involving all role-players to promote compliance with national legislation and the Convention on the International Trade in Endangered Species (CITES)
1.2	Establishing ANAC's National Ranger Training Centre in Gorongosa National Park to develop national capacity for preventing wildlife crime
1.3	Building capacity of key stakeholders on biodiversity-compatible economic development opportunities and enforcement through Gorongosa's Conservation Economy Centre and public

<sup>169</sup> Based on census data and more recent studies, it is estimated that 18,000-22,000 people live in the main districts of Muanza and Condue in the eastern rim of the Gorongosa buffer zone, but spread across various local communities.

education on the value of Mozambique's wildlife – national heritage and socio-economic development by establishing a biodiversity centre in or near the capital

Coordination at the national level with a focus on intelligence-led, along with targeted preventative and pre-emptive efforts to decrease illegal wildlife trafficking, are the key focus of this first component. The exact details on how it will be operationalized will be subject to confirmation during the project preparation phase. Indicative elements of its work include: completion of a National Assessment using ICCWC's Wildlife and Forestry Crime Analytic Toolkit; formulation of a national strategy to combat poaching and the illegal trade in wildlife products, with defined objectives, components, outputs and key roles for government and non-governmental actors; strengthening of a national level wildlife crime unit to unite the wildlife and security sectors in addressing wildlife crime; provision of direct support to the national CITES Management Authority in the Ministry of Land, the Environment and Rural Development (MITADER); support for addressing legal and regulatory gaps for an effective fight against cross-border wildlife crime, through the development and improvement of legislation and ancillary regulations; and transboundary cooperation to enable intelligence sharing and coordinated patrolling. Partnerships will be formed at various levels for co-supporting Mozambique's fight against wildlife crime, building on the work of government agencies, the private sector, NGOs and community-based organizations.

Responding to the opportunities created by the new Conservation Act, this component will work to build national consensus around the value of wildlife for Mozambique's national development and to coordinate efforts of all role-players in combating illegal wildlife trafficking. This will include using the existing Gorongosa Community Education Centre to undertake education of civil society around the importance of biodiversity conservation and enforcement, including specialized training of the judiciary, law enforcement agents at various levels, local leaders, lawmakers, etc. It will also include the establishment of ANAC's National Ranger Training Centre in Gorongosa to develop enforcement capacity of rangers and scouts from PAs across the country, building on the training they receive *in situ*. Managers of Niassa Reserve are also stepping up efforts to provide ranger training *in situ*. These efforts will be supported by the project along with other efforts at the national level, targeting e.g. the awareness of the Mozambican population about the importance of wildlife and the pervasive impacts of crimes against it. Coordinating national efforts on a strategy involving all role-players to promote compliance with national legislation and the Convention on the International Trade in Endangered Species (CITES) could include work supported by ANAC through the project to build the capacity of an inter-ministerial task office to oversee the development and implementation of the strategy. This will include training, provision of equipment and installation of electronic tagging and filing technologies; liaison with and training exercises with the national CITES Scientific Authority, based at Eduardo Mondlane University; and capacity development through the Gorongosa-based Edward O. Wilson Laboratory of customs officials to identify key species or groups, to empower them to query and refer manifests that may be deliberately mislabeled by smugglers; as well as training on genetic bar coding of samples to enable identification of the origin of seized products.

Component 2: Strengthening enforcement capacity in key protected areas to combat wildlife crime on the ground

<i>Component 2 Key Outputs</i>	
2.1	Strengthening management effectiveness, operations and infrastructure to combat wildlife crime in the Greater Gorongosa-Marromeu Landscape
2.2	Strengthening management effectiveness and anti-poaching operations and infrastructure in the Niassa Reserve

Through this component, key protected areas will be strengthened to promote biodiversity enforcement on the ground, protecting valuable ecosystems and combating the priority threat of illegal poaching and wildlife trafficking. This involves improving leadership, management systems, intelligence, training, equipment, fieldwork and support, in the target sites of the Greater Gorongosa-Marromeu Landscape and the Niassa Reserve. The elements of this work are subject to confirmation in the preparation phase, and may include the establishment or strengthening of tasking and coordination groups in target sites and resourcing them for conducting intelligence-led law enforcement in support of ranger patrols and community ecoguards. Patrol members will be trained in the legal context of wildlife poaching and trade, common

poaching techniques and equipment used, appropriate law enforcement measures, conducting patrols, species identification, evidence handling, and data recording and reporting, with appropriate equipment supplied and utilized by the network. Where needed, ranger posts and other infrastructure will be constructed or improved, including ranger stores and strong rooms, and basic infrastructure for housing a radio room and equipment. In addition, rangers will be better supported through general equipment such as Bivvy bags equipped with mosquito nets, rain gear, camouflage materials and first aid equipment, tents and uniforms. Rapid response teams will be trained and put in place for both Gorongosa and Niassa landscapes. Improved wildlife crime law enforcement will be supported on the ground through empowerment of rangers and the use of specialized technology, including aerial support, both fixed wing for surveillance, logistics and management oversight, and helicopter for rapid deployment; LE monitoring (SMART), digital radios using built-in GPS functionality, regular GPS, night-vision equipment, satellite tagging and thermal imagery. Community-based monitoring networks will be established and operationalized in conservancies surrounding Gorongosa and Niassa PAs, to support information gathering, together with improved mechanisms for monitoring wildlife and applying data to support intelligence. Coordination for follow-up of arrests with prosecutions will also be supported. Biodiversity data will be better monitored and applied to wildlife crime prevention. Elephants and other targeted wildlife species will be closely monitored using collars and electronic tagging, attachable cameras and camera traps in known poaching areas; the tusks of several members of key herds will be micro-chipped and DNA samples taken and recorded in order to track movements in case of poaching.

Component 3: Establishing conservancies to expand the Gorongosa PA complex, bringing sustainable land and forest management benefits, restoring degraded ecosystems and generating livelihoods

<i>Component 3 Key Outputs</i>	
3.1	Developing capacity for community co-management of wildlife and their habitats
3.2	Restoring degraded landscapes and generating multiple benefits from forests and agricultural landscapes, including through the implementation of the national rural development program within conservancy areas in designated agricultural lands
3.3	Promoting public-private-community partnerships for biodiversity-compatible rural livelihoods, e.g. ecotourism, sustainable bushmeat
3.4	Using Gorongosa facilities to conduct national biodiversity surveys that determine potential conservancy sites and develop capacity to operate conservancies

New conservancies will be established and effectively managed for restoring degraded ecosystems in the Greater Gorongosa-Marromeu Landscape - avoiding deforestation, reducing fire frequency and allowing regeneration of degraded forests. At this stage, it is assessed that the project will directly help establish 131,000 hectares of new conservancies, land that will be more sustainably managed to play a ‘buffer zone’ role, and that would otherwise be prone to some level of deforestation and degradation, given the human presence and current unsustainable practices such as “slash and burn” agriculture. Activities that will be carried out in the new conservancies include working with smallholders on: a) sustainable farming of key crops – including maize for subsistence, and sesame for sale on local markets, using best-practice techniques such as minimum tillage, and soil and water conservation measures to prevent land degradation and enhance productivity; b) land use planning to set aside pockets of remaining forest and determine sustainable use regimes for them; c) restoration of key pieces of forestland connecting forest parcels in the conservancies with forest blocks in the park and providing corridors for movement of fauna, as well as restoration of key freshwater resources; and d) facilitating negotiations between communities, the park and private sector ecotourism operators with a view to the establishment of public-private-community partnerships for new ecotourism operations in the conservancies, building on the asset base of river and wildlife (Pungue) and limestone gorges and forest (Northern Rift).

At the same time, this area is part of a wider, and ‘mosaic-like’, landscape that compose the buffer zone of the Gorongosa-Marromeu Complex, which covers some 1.5 million hectares, and where the ‘wider’ BD-LD-SFM benefits can potentially be generated. Within it, some areas are proposed managed for stricter

conservation (e.g. parts of Southern Cheringoma). Other areas with some existing agriculture will be expanded to enhance livelihoods under more sustainable agricultural practices for generating SLM and associated benefits, which may include pastoral activities, to the extent that they can be practiced in a conservation-compatible manner (e.g. by not putting wildlife at risk from zoonosis or spreading the degradation of land through overgrazing). The benefits for agro-ecosystem services and local communities that accrue through this work can be promoted through the work of the Gorongosa's Conservation Economy Centre in training other CBOs involved in establishing conservancies nationwide. This process will include engaging with the Government of Mozambique's agricultural extension services, relevant NGOs and private sector partners. In other areas, e.g. in critical but degraded ecosystems, like watersheds, corridors etc., activities will be geared towards restoration and rehabilitation of habitats at an adequate scale, also working with a range of stakeholders from the public sector and civil society. Altogether, the potential for co-generating livelihoods benefits through these activities will be considered in project and duly developed during the preparation phase (see Annex to the PIF for more information on the background for BD, LD and SFM benefit descriptions and calculations, as well as on the triple benefit that can be achieved through the creation of conservancies).

Involvement by communities in co-management, better law enforcement and respect of the law will result in an increased resource base (especially wildlife) that can realize the economic potential of those areas to the long-term benefit of these communities. Communities living in and around these areas will be involved in managing the conservancies and conducting economic activities in them that are sustainable, for example, participating in public-private-community partnerships to establish ecotourism lodges, practicing sustainable agriculture in selected portions, and conducting sustainable hunting for protein to feed their own families. The three areas that are earmarked for conservancy development, and on which stakeholder consultations will be conducted, both through baseline investments by the Gorongosa Restoration Project and in the project preparation phase, are as follows: Northern Rift Valley Conservancy (75,000 ha north of the park), where a combination of ecotourism based on world treasure paleontological sites and sustainable hunting for community use may be possible; Pungue River Conservancy (20,000 ha south of the park) which has strong wildlife ecotourism potential; and Cheringoma Sub-complex of Conservancies (36,000 ha of land east of the park) combining sustainable agriculture and conserved forest that provides the first stage of a planned corridor linking Gorongosa National Park and Marromeu Reserve.

The work under this component will also include capacity development for conservancies at the national level, including organizational capacity development on long term planning for investment opportunities, formulating business strategies and budgets, as well as increasing the ability of the CBOs to work with partners for negotiating contracts with private investors, effectively forming public-private-community partnerships. In other neighboring countries, support to CSOs engaged in conservancy management has been successfully provided through a specialized umbrella NGO. This model is proposed to be trialed in Mozambique. Any needed studies for potentially determining where and how the community-managed conservancies be replicated can also be carried out with the support from the proposed umbrella NGO. In some cases, yet to be determined, this may lead to demarcation of new areas. The umbrella approach is also expected to cater for institutional and financial sustainability, but developing specialized capacity and being well positioned to seek funding for and on behalf of organized CBOs.

More specifically on the proposed conservancies within the GGML, human-wildlife conflict prevention measures will be developed through participatory processes, including measures focusing e.g. on land use types, crops, deterrents and warning systems. An indicative element could include the construction of a fence to protect community croplands in the planned Southern conservancy from damage by elephants. The adoption of spatial level land-use and resource-use planning will also be instrumental in building technical and institutional capacities to identify degraded forest landscapes and to monitor forest restoration. Activities aim at operationalizing the management of agricultural land, forests, water, carbon, biodiversity and associated ecosystem services will be carried out at the landscape level for sustainability. Protection and restoration of Miombo woodlands in the new conservancies will ensure carbon benefits (see table below). The development of national capacity for comprehensive biodiversity and ecosystem services assessments will be supported, including through close collaboration with related initiatives and through the Gorongosa Wilson Lab. National biodiversity surveys conducted in PAs and spatially-based tools will be used to identify potential locations for new conservancies and maintain a database on existing ones. Work on conservancies, sustainable land management, forest restoration and sustainable use regimes will also support the longer-term strategy for discouraging local rural communities from engaging in poaching activities, so that these new categories of PAs in Mozambique can function as effective buffer zones to core

PAs, including by co-supporting the maintenance of the ecological integrity of core PAs and their populations of threatened wildlife.

#### 4) Incremental Cost Reasoning and expected contributions from the baseline, the GEFTF and co-financing

#### 5) Global environmental benefits

The project's alternative from the baseline and expected global benefits follows:

<u>Current Baseline</u>	<u>Alternative</u>	<u>Global benefits</u>
<ul style="list-style-type: none"> <li>▪ Mozambique has been experiencing a significant increase in poaching of wild species. It targets mostly elephants and is of particular concern in protected areas in the north of the country, where populations are being decimated at a rapid and unsustainable pace.</li> <li>▪ National level coordination and capacity to fight poaching and illegal trafficking of wildlife is very limited and constrained by a number of factors.</li> <li>▪ Local communities have potential to participate in conservation and in the fight against poaching, but lack adequate incentives and capacity to do so and the new Conservation Act, including the establishment of conservancies, has not yet been effectively implemented.</li> <li>▪ All areas proposed as community conservancies under the project (~131,000 ha) are prone to extensive deforestation and degradation in the</li> </ul>	<ul style="list-style-type: none"> <li>▪ The project will strengthen the conservation of globally threatened species in Mozambique through a national wildlife strategy and community conservancies. It will address the key drivers to poaching and illegal trafficking in threatened and emblematic species through a short- and long-term approach, which combines interventions at the national, PA-site and local levels.</li> <li>▪ At the national level, the project will develop and implement a strategy to combat poaching and illegal wildlife trade through an interministerial coordinated approach.</li> <li>▪ Core PAs and adjacent landscapes will be strengthened to face the surge in poaching and associated illegal wildlife trafficking challenges. The focus will be on the Greater Gorongosa-Marromeu Landscape (GGML) and the Niassa Complex.</li> <li>▪ The project will also facilitate the operationalization of community-managed conservancies, aimed at making land-use more sustainable and as part of the multi-modal strategy for fighting wildlife crime, and effectively expanded the protected area estate, and providing a demonstration of the multiple benefits of conservancies for sustainable land and forest management, and involvement of communities in co-managing wildlife and their habitats, and the ecosystems on which communities depend.</li> <li>▪ By creating Community Conservancies, the triple goal of ensuring connectivity, buffering the core PAs from degradation and creating sustainable benefits to the local community can be achieved. This includes helping communities improve the productivity of agro-ecosystems and</li> </ul>	<ul style="list-style-type: none"> <li>▪ At site level, the project will help maintain globally significant biodiversity and the ecosystem goods and services in Gorongosa NP and the new conservancies to be established (including 154,500 ha of miombo forests); and measures to strengthen enforcement in Niassa and Gorongosa PA complexes will lead to improved management of a total of 6,336,400 ha<sup>170</sup>, with elephants and Miombo forest being the main priority for protection against poaching, illegal harvest and trafficking in threatened species, but with both protection and sustainable use co-benefits for several other species and ecosystems across the landscapes.</li> <li>▪ A total of 131,000 ha of new conservancies will be put under protection, with included/adjacent areas under sustainable land management systems, among them agriculture, rangelands, and production forests.</li> <li>▪ Critical ecosystems across the buffer zone of GGML will be restored and/or rehabilitated (surface and location t.b.d.).</li> <li>▪ Beyond other ecosystem services benefits to be more closely assessed, this will facilitate the sequestration of approximately 308,155 tons of carbon through preventing the</li> </ul>

<sup>170</sup> This includes the full extent of the planned Gorongosa-Marromeu protected area complex, to be created through the project and through baseline investments being made in parallel by Government and the Gorongosa Restoration Project: to the current 567,850 ha, a proposed Marromeu Marine Protected Area of 18,000 ha will be added; the proposed Protected Gorongosa-Marromeu Corridor will add 217,900 ha; the community conservancies to be established and strengthened through the project will add 131,000 ha, the Coutadas or sustainable hunting areas (after corridor protection) will cover an additional 731,050 ha; and sustainable forestry and safari land use based on natural vegetation will be carried out over a further 470,600 ha. The Niassa reserve of 4,200,000 ha is added to reach the total of 6,336,400 ha.

<i>Current Baseline</i>	<i>Alternative</i>	<i>Global benefits</i>
medium to long-run, as well as unsustainable practices such as “slash and burn” agriculture (see Box in the Annex to the PIF for more info).	compensate them through socio-economic benefits in return to a co-supportive attitude towards forest protection (see Box in Annex for explanations).	loss or degradation of Miombo woodland forest ecosystems <sup>171</sup> .

*Internal consistency among the project components.* Overall, the project’s logic follows the idea that, for realizing the global environmental benefits herein proposed and strengthening biodiversity enforcement, including tackling the pressing issue of poaching and wildlife trafficking in Mozambique, action is needed on several fronts, and with both a long and a short term perspective with respect to the results that can be achieved. It is important to note, at the same time, that there are other interventions dealing with different aspects of PA management in Mozambique (e.g. transfrontier, expansion, finance, marine, etc.), but none that specifically focuses on enforcement to prevent wildlife crime. There are also other interventions contributing to sustainable management practices in the forestry sector, some with a rather large scale, but none that specifically targets the consolidation of a PA complex in the terms of the 25-year vision for the GGML. This vision includes the management of the core area, but also the operationalization of community-based conservancies, enhancing the sustainable management of corridors, wildlife and critical ecosystems through a partnerships and capacity building approach. Noting what is being done and not done through other inventions, addressing identified gaps through a single and internally consistent project is what is being proposed here. Component 1 provides the national framework for dealing with poaching and illegal trafficking in threatened wildlife. It also focuses on building national capacity for the improved protection of wildlife and on promoting a national dialogue on the value of biodiversity for development, particularly through wildlife-based tourism. Both the short and long-term perspective are present. We also see this pattern in Components 2 and 3, which act on the ground to strengthen PA management through better enforcement and through developing communities as long-term co-managers of the ecosystems on which they depend. Furthermore, addressing poaching in Niassa is critical and urgent. However, improved enforcement is also important across the GGML, as in other PAs in the country. More importantly, improved patrolling, surveillance and ecological monitoring at site level – and enhanced national capacity to do so – will benefit not just a few threatened species now being targeted, but the entire conservation sector in Mozambique. Finally, Component 3 caters for consolidating the shorter-term conservation gains and benefits with a view to sustainability and decreasing in the long run the costs of enforcement. Local communities need to experience tangible benefits from the sustainable management of their ecosystems for effectively engaging in it and also for supporting the enforcement effort. When catering for their livelihoods sustainably, including through ‘green jobs’ that can be potentially be generated from sustainable farming, ecosystem restoration and ecotourism, the project will also generate SLM and SFM benefits at scale. This will also positively impact the ecological integrity of the entire landscape.

**Co-financing.** The indicative co-financing amounts to **\$52 million**. Most of it will be availed by baseline programs, though new co-financing will be sought leveraged. An indicative overview is provided in Part I, Table C. It is expected that the co-financing from different categories of partners to this project will contribute to all of the focal area objectives listed in Part I, Table A. An indicative break-down of it is provided in that table and it is approximately in line with the description of the baseline finance and how it contributes to PA management, forest protection, enhancement and restoration, as well as to the sustainability of agro-ecological systems. In this light all aspects are covered.

**Innovativeness, sustainability and potential for scale-up.** Innovation is embedded in the project’s landscape approach to changing the way ecosystems, species and biodiversity are managed. The engagement of intelligence-led, targeted preventative and pre-emptive efforts to fight wildlife crime is not yet widespread practice in Mozambique, and the methodologies of the ICCWC’s Wildlife and Forestry Crime Analytic Toolkit, which is yet to be translated into Portuguese, will be applied for the first time. The equipment and devices and ways of working that are proposed adopted both by the national wildlife crime unit and at site level are innovations in the national context (e.g. HUMINT and SIGINT). Conservancies

<sup>171</sup> This was calculated using the FAO Exact Tool, assuming that the 26,500 ha of miombo woodland to be brought under new protection through conservancies around Gorongosa would otherwise have been significantly degraded, with 50% of it likely to have been converted to croplands in the absence of the project intervention. Benefits of preservation of pockets of Miombo in agricultural areas and of restoration of highly degraded Miombo may be added, but have not been included at this stage. See Annex to the PIF for more details.

are not completely new in Mozambique, but the approach of bringing their formalization and operationalization to scale, mirroring experience in other countries, is innovative. Innovation will also be infused in the training and capacity building methods that the project will promote. Upscaling. Because the project tackles capacity building for all PA staff nationally, the project takes the first steps towards scaling up the on-site enforcement activities piloted through the project across the whole protected area system. It also lays the groundwork for expansion of conservancies across the country, building on the experience of the pilot conservancies to be established around Gorongosa, and conducting nationwide biodiversity surveys and mapping of potential conservancy sites through the project's activities. Sustainability. This element contributes as well to the overall sustainability of project results – by embedding capacity through a long-term approach in the institutions and entities that need it and can make good use of it. This also has financial sustainability in view, e.g. with respect to communities' self-reliance approach. Replication. Furthermore, the consistent training of CBO from various parts of the country in the management of conservancies is crucial for developing the overall national capacity for it and for the replication of lessons and best practice that may be drawn from the early experience in the GGML – both on enforcement, forest management and on ecotourism and other biodiversity-compatible livelihood opportunities. International exchanges with other countries practicing Community Based Natural Resource Management, such as Namibia, Kenya and South Africa, are envisaged, as well as with protected areas staff and communities from Zambia and Angola, and potential Lusophone South-South Cooperation between Mozambique, Angola and Brazil.

### A.2. Stakeholders.

Will project design include the participation of relevant stakeholders from civil society and indigenous people?

(yes  /no  ) : yes to communities; no to indigenous people (as n/a).

<i>Stakeholder</i>	<i>Relevant Role</i>
Government	Key entities are the recently created Ministry of Land, the Environmental and Rural Development (MITADER) and, more specifically, its PA agency ANAC. MITADER assumed broad attributions in topics and areas related to environment and rural development that were previously divided between different ministries. MITADER houses the focal points for the CBD, UNCCD and CITES, which are relevant for this project. Another key entity is the Ministry of Agriculture and Food Security, due to their role in agricultural development. Other governmental stakeholders that are essential for the project strategy to deliver results will include enforcement agents, judges, border control agents, among others.
NGOs	NGOs that hold co-management agreements with government with respect to the operationalization of key PA sites are expected to play a key role in the project, namely GRP and WSC.
CBOs	Local communities, organized through CBOs and an umbrella organization that is still to emerge with project support, will be both the protagonist and the beneficiaries of activities under Component 3, and output 1.5, in particular in the implementation of rural development programs in target sites.
Other	Several other partners could be mentioned. A complete stakeholder engagement strategy will be developed at PRODOC stage.

### A.3 Risk.

Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

<b>Risk and Risk Level</b>	<b>Management Strategy</b>
<i>Medium</i> The interests of profit-making groups along the wildlife crime supply chain are stronger than the will to	A full understanding of the mechanics of the wildlife crime supply chain in Mozambique will ensure that this risk is minimized. Careful and fully consultative project development activities will ensure that the interests of all stakeholders come to light and taken into consideration. The project will seek high-level support and validation. Certain elements such as the WCU

<b>Risk and Risk Level</b>	<b>Management Strategy</b>
fight the issue from a demand side, undermining the project strategy	and the involvement of law enforcement, justice and customs agents require high-level support.
<i>Low</i> The capacity needed for operationalizing conservancies and the feasibility of proposed economic activities are underestimated.	Capacity building needs will be duly scoped during the project development phase and activities planned accordingly. More specifically, cost-benefit analysis will be applied to proposed economic activities that are expected to underpin the development of CBO-managed conservancies. At the national level, these methods will be incorporated into the capacity building package to be delivered to CBOs.
<i>Medium</i> Mozambique is still grappling with insecurity and tensions, particularly around Gorongosa Mountain and in border areas.	The project will follow appropriate instructions and applicable protocols from the UN Department of Safety and Security (UNDSS). All project staff will undergo training in security in the field. Prior to any deployment, project staff, consultants and collaborators will apply for security clearance according to UNDSS procedures. Else, the project can always further limit its interventions on the ground and in this manner reduce the impacts of this risk.

**Note on climate risks.** In Component 3, the project is dealing with forest management, enhancement and restoration, whose benefits not only take a long time to realize, but longer-term processes such as climate change may affect the outcome of implemented activities, including beyond the project's life-time. These are difficult to predict, unless finer-scale, but minimally accurate climate models can be applied. There are gross-scale climate models for Mozambique which predict a generally dryer, warmer and more variable climate in the central and northern areas. These cannot be immediately used for assessing specific risks to forestry investments facilitated by the project. A better assessment of climate risk on an adequate scale will be done at PPG stage, and applicable mitigation measures proposed.

#### **A.4. Coordination.**

Outline the coordination with other relevant GEF-financed and other initiatives:

<b>Programs, and Initiatives</b>	<b>Proposed collaboration</b>
On-going and recently closed UNDP-GEF BD and SLM projects and SGP	This project will build on the successes and lessons of the on-going GEF4 BD project, co-implemented by ANAC, GRP and WWF. It will collaborate with it for aspects such as ecosystem services and PA financial planning. Other GEF projects of relevance include the FAO GEF5 project that focuses on PES and the WB Phase III TFCA, also known as MOZBIO. All these projects are co-supportive of the conservation and ecosystem services agenda, but in different ways and with distinct site-level focus. There is no potential overlap, but rather strong potential for synergies, collaboration and lessons learning.
Baseline programs and other related initiatives	Various baseline initiatives create a strong foundation of investment, upon which this project builds. Some of the baseline programs will co-finance this project and they will automatically become members of governance structures such as the project board, which make key decisions. This will allow for a much more coordinated way of working that fosters collaboration, synergies and good results.
Relevant GEF Programmatic Approach	This project is being submitted to the GEF as part of the Programmatic Approach to Prevent the Extinction of Known Threatened Species. A key focus is on reducing poaching and illegal trafficking of threatened species, the subject matter of the GEF's Program 3, under the Biodiversity Focal Area Strategy. Various other GEF projects form part of the above-mentioned Programmatic Approach and are being submitted for Council approval by different GEF Agencies, with the World Bank playing a coordinating role. UNDP projects under the Programmatic Approach follow a 'national strategy methodology', i.e. they engage key national stakeholders in addressing the issue of preventing the extinction of known threatened species and fighting wildlife crime as an issue of governance and development, as much as it is an issue of NRM.

**Description of the consistency of the project with:**

Is the project consistent with the national strategies and plans or reports and assessments under relevant conventions?

(yes  /no  ).

If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.

**Policies.** This project is country-driven and its current concept is consistent with, and supportive of, the following national development strategies and plans: The project will contribute to meeting the poverty alleviation, sustainable development and good governance objectives of the governments' Five-Year Government Program, both the current (2010-2014) and the new (2015-2019). Baseline calculations for the government's share of it were based on the Medium-term Expenditure Framework. The project supports the Conservation Policy and Implementation Plan 2009-2019 ('Conservation Policy'), which specifically focuses on Mozambique's conservation areas (including the buffer areas), as well as new Law on Conservancies (2014). It generally supports the implementation of the National Biodiversity Strategy and Action Plan (NBSAP) and the National Plan of Action to Combat Desertification (NAP), both of which are undergoing revision. The project will also directly support measures that help Mozambique implements CITES.

**Aichi Targets.** The project will contribute to Mozambique achievement of the Aichi Targets as follows: Target 4, to the extent that the project will engage governments, business and various other stakeholders to manage biodiversity within safe ecological limits (e.g. through the joint site management activities); and Target 11, as the project will contribute to improving the management effectiveness of the PA system; Target 12, as it contributes to the reducing the loss of known threatened species, possibly preventing their extinction across the landscapes; Targets 14 and 15, as it relates to the enhancement of ecosystems' functions, their structure and resilience, including in the face of climate change, through the project's mainstreaming approach.

**UNCCD:** The project addresses several of the thematic priorities of the Convention (as per the new ten-year Strategy), in particular those that relate to the linkages between land degradation and biodiversity (e.g. restoring land and ecosystem productivity and fighting soil loss).

**ANNEX TO THE MOZAMBIQUE PROJECT CONCEPT – ANCILLARY INFORMATION****NOTE ON KNOWLEDGE MANAGEMENT**

The Programmatic Approach to Prevent the Extinction of Known Threatened Species with a focus on Program 3 (reducing poaching and illegal trafficking of threatened species) includes both national and global projects and initiatives, with which this current project will collaborate and create synergies, foster learning and share experiences. Program 3 projects in Africa share in particular many commonalities with respect to the 'national strategy methodology', to the extent that they address the issue of wildlife crime from a supply point of view (e.g. in Chad and Botswana). These will be complemented by UNDP's global work by focusing on the fight against wildlife crime at the international level, e.g. UNDP's anti-trafficking work on "tusk free ports", and on global demand reduction efforts. This crucial for a more successful global outcome, ensuring learning, collaboration and experience/expertise between global and national initiatives. The documenting of lessons and experiences in a user-friendly manner are an integral part of UNDP's way of working.

**BACKGROUND AND SUMMARY FOR BD, LD AND SFM BENEFIT DESCRIPTIONS AND CALCULATIONS***Background for MFA benefits in the project overall***Matrix 1. Project's target contributions to global environmental benefits (Summary)**

<b>Corporate Results</b>	<b>Replenishment Targets</b>	<b>Project Targets</b>
4. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	6,336,400 ha
5. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	131,000 ha

**Matrix 2. Background for MFA benefits in the project overall**

Description	Total approximate surface ('000 ha)	Use in document
Total size of PA complexes	6,336	Indicator for Component 2 (enforcement), GEB for Table F, row 1 – improved management. Includes both sites, with existing and proposed PAs (core and non-core); as follows: (i) <i>Greater Gorongosa-Marromeu Landscape with 2.136 million hectares</i> - Core Protected Areas (current Gorongosa & Marromeu with 567,850 ha) - Proposed Marromeu MPA (18,000 ha) - Proposed protected Gorongosa-Marromeu Corridor (217,900 ha) - Community Conservancies (131,000 ha - see Matrix 2) - Coutadas (estimated extent of hunting areas after Corridor protection is 713,050 ha) - Forestry and Safari land use based on natural vegetation (470,600 ha) (ii) <i>Niassa Reserve with 4.200 million hectares</i>
Total size of new conservancies	131	Indicator for Component 3 (conservancies), GEB for Table F, row 2 – SLM (see Matrix 3 below).
Total estimated Miombo woodland area likely to be positively impacted by the project's Comp. 3 (and 2) activities	154.5	For estimation purposes, we assume that approximately 26.5 thousand hectares can be directly protected from deforestation and degradation, and/or rehabilitated through natural and assisted regeneration of ecosystems (focus on structure or function according to sites). This will eventually translate into carbon benefits from avoided deforestation/degradation (to be more closely calculated during the preparation phase).

**Matrix 3. Background for MFA benefits specific to community conservancies**

CONSERVANCIES SUB-SITE IN THE GORONGOSA-MARROMEU COMPLEX	BENEFITS OUTLINE*
<p><b>Northern Rift Valley Community Conservancy</b></p> <p><i>Proposed surface of conservancy: 75,000 ha</i></p> <p><i>Features: Mostly floodplain landscape in the Rift Valley that represents an upstream continuation of the floodplains currently found in the Park</i></p>	<p><i>Benefits for conservation and sustainable land and resource-use:</i></p> <ul style="list-style-type: none"> <li>- High-carrying capacity for wildlife (large numbers of wildlife present in historical times)</li> <li>- Buffers the Park by effectively increasing its size</li> <li>- Maintenance and enhancement of biodiversity through re-stocking with native wildlife</li> </ul> <p><i>Potential community benefits:</i></p> <ul style="list-style-type: none"> <li>- Wildlife production for sustainable consumptive use (rather than introducing livestock on these productive floodplain grasslands)</li> <li>- Ecotourism (wildlife-based)</li> </ul>
<p><b>Pungue - DingueDingue Community Conservancy with wildlife and tourism linkages</b></p> <p><i>Proposed surface of conservancy: 20,000 ha</i></p> <p><i>Features: Floodplain landscape Zambezi River Pungue River</i></p>	<p><i>Benefits for conservation and sustainable land and resource-use:</i></p> <ul style="list-style-type: none"> <li>- Protects an area that was historically important for wildlife grazing during the late dry season</li> <li>- Encompasses wetlands that hold a diverse fauna and provide important breeding/foraging grounds EN6 road Main roads for a number of bird species (in particular a number of old river arms east and west of the current Pungue river bed hold water through the dry season thus providing an important aquatic habitat.)</li> <li>- River conservation corridor</li> <li>- Buffers the southern end of the Park against negative external influences</li> <li>- Protects both banks of the Pungue River</li> <li>- Forms the natural link with the Pungue estuarine system and its mangroves further downstream</li> </ul> <p><i>Potential community benefits:</i></p> <ul style="list-style-type: none"> <li>- Protects farming land from elephant damage Marromeu linkages</li> <li>- Sustainable agriculture in suitable areas</li> <li>- Ecotourism with PNG (good potential being located between the current Park and Beira)</li> <li>- Wildlife production</li> <li>- Sustainable fishing</li> </ul>
<p><b>Cheringoma Sub-Complex of Conservancies</b></p> <p><i>Includes: (i) North-eastern Cheringoma Community Conservancy and archaeological park; (ii) Eastern Cheringoma Community Conservancy and (iii) Southern Cheringoma Community Conservancy.</i></p> <p><i>Proposed total surface of the sub-complex: 36,000 ha (combines the above with at least 25,000 ha., plus buffer zones in between – exact surface</i></p>	<p><u>North-eastern:</u></p> <p><i>Benefits for conservation and sustainable land and resource-use:</i></p> <ul style="list-style-type: none"> <li>- Limestone Gorge</li> <li>- Codzo cave (archaeological importance)</li> <li>- Buffers the limestone gorges and could prevent impact by new limestone quarries</li> </ul> <p><i>Potential community benefits:</i></p> <ul style="list-style-type: none"> <li>- Tourism to Codzo Cave and limestone gorge</li> <li>- Wildlife production for sustainable use</li> </ul> <p><u>Eastern:</u></p> <p><i>Benefits for conservation and sustainable land and resource-use:</i></p> <ul style="list-style-type: none"> <li>- Connection through good solid miombo woodlands with the forestry concessions on the east and ultimately to Coutada 10</li> <li>- Buffering of the Park</li> <li>- Protecting the catchment of the limestone gorges</li> </ul>

CONSERVANCIES SUB-SITE IN THE GORONGOSA-MARROMEU COMPLEX	BENEFITS OUTLINE*
<p><i>and contour, still to be more closely defined)</i></p> <p><i>Features: Mostly miombo landscape and including the northern-most limestone gorges in the north and east</i></p>	<p><i>Potential community benefits:</i></p> <ul style="list-style-type: none"> <li>- Ecotourism</li> <li>- Wildlife production for sustainable use</li> </ul> <p><b>Southern:</b></p> <p><i>Benefits for conservation and sustainable land and resource-use (should be integrally protected from consumptive use):</i></p> <ul style="list-style-type: none"> <li>- Protects near-pristine miombo woodlands</li> <li>- Protects the catchment of the Muaredzi River and Archway Gorge</li> <li>- Buffering the Park</li> </ul> <p><i>Potential community benefits:</i></p> <ul style="list-style-type: none"> <li>- Rental from the Park</li> <li>- Ecotourism</li> </ul>

**Note:** In all conservancies, the project will promote sustainable agricultural practices in suitable areas, using tested SLM techniques -- some farmer schools are in fact already established in selected communities. This is aimed at both limiting the expansion of the agricultural frontier in the Park's buffer zone and at providing alternative livelihoods to local communities that is not based on slash and burn, poaching or illegal harvesting of timber.

<b>Box. The triple benefit from conservancies and what can be achieved in the buffer zone of GGML:</b>
<p><i>By creating Community Conservancies, <b>the triple goal</b> of ensuring connectivity, buffering core PAs from degradation and creating sustainable benefits to the local community can be achieved, as follows:</i></p> <ul style="list-style-type: none"> <li>• It is clear from an initial survey in the Gorongosa NP buffer zones, that the ongoing human activities, and in particular the expansion of charcoal production and clearing for agricultural land, are leading to the degradation and loss of woodland cover.</li> <li>• The 'closed' woodlands cover 40% of the core natural areas in the conservancy and the forests in the limestone gorges cover 13.6% of this area. The latter, based on the NASA FIRMS data, are not subject to fires (period 2000 – 2013).</li> <li>• However, the clearing for agriculture (that was observed in one of the northernmost gorges) is followed by burning of the cut trees and by regular burning of the crop residues. This will release much of the carbon currently locked up in these dense formations.</li> <li>• Extreme examples of landscape degradation of the miombo woodlands of the Cheringoma can be observed to the south-east of the Park (south of the proposed Conservancy), where the production of charcoal and small-scale cultivation has resulted in the loss of most of the mature woodland and has substantially increased soil erosion.</li> <li>• The natural areas will remain accessible to the communities for the harvesting of NFTP. It has been noted that this miombo produced good honey. Farmers will be encouraged to adopt more modern/productive hives and techniques. The use of traditional bark hives requires the full ring barking of large miombo trees. The harvesting of honey will also be adapted by encouraging the adoption of through apicultural techniques, in such a way as to prevent the spread of wildfire as is often the consequence of the current harvest practices.</li> <li>• Lastly, the limestone gorges hold potential for adventure and wilderness tourism, though lessons need to be learned. The community near the Codzo Caves e.g., in the far north-east have previously developed some limited tourism infrastructure. This has however fallen in disrepair. However, the potential to restore and expand this tourism activity will be significantly enhanced through the partnership with the National Park.</li> </ul>

## 15. Combating Environmental Organized Crime in the Philippines

### PART I: Project Information

Project Title:	Combating Environmental Organized Crime in the Philippines		
Country(ies):	Philippines	GEF Project ID: <sup>172</sup>	
GEF Agency(ies):	AsDB, (select) (select)	GEF Agency Project ID:	
Other Executing Partner(s):	Department of Environment and Natural Resources (DENR), Kabang Kalikasan ng Pilipinas Foundation (also known as World Wide Fund for Nature - Philippines), Tangol Kalikasan (TK), Ateneo de Manila University School of Government (ADMU-SOG)	Submission Date:	14 October 2015
GEF Focal Area(s):	Biodiversity	Project Duration (Months)	36
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>	Corporate Program: SGP <input type="checkbox"/>	
Name of parent program:	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (World Bank coordination)	Agency Fee (\$) 165,138	GEF Project Financing (without Agency Fee) (\$) 1,834,862

#### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-2 Program 3	GEFTF	1,834,862	3,500,000
<b>Total Project Cost</b>		<b>1,834,862</b>	<b>3,500,000</b>

#### B. INDICATIVE PROJECT DESCRIPTION SUMMARY

**Project Objective:** To combat environmental organized crime in the Philippines through legal and institutional reform, capacity building in the full law enforcement chain and to reduce demand for illegal wildlife and wildlife parts

Project Component	Financing Type <sup>173</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
Component 1: Implementing Policy, Legal and Regulatory Reforms	TA	1.1 Reforms to Republic Act (RA) 9147 on Wildlife Resources Conservation and Protection; Republic Act 8550, the Philippine Fisheries Code; subsidiary legislation and Implementing Rules and Regulations ensures strong legal frameworks in place to address key	1.1.1 IRRs and local legislation for RA 8147 drafted by 2020  1.2.1 Institutions, decision-makers and other actors within the law enforcement chain informed about implications of law reforms on enforcement against environmental crimes	GEFTF	108,387	700,000

<sup>172</sup> Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.

<sup>173</sup> Financing type can be either investment or technical assistance.

Project Component	Financing Type <sup>173</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
		<p>concerns in global efforts to combat trade in illegal wildlife and wildlife parts</p> <p>1.2 Amendments to legislation and supplementary guidelines mainstreamed into development planning and budget processes key concerns in global efforts to combat trade in illegal wildlife and wildlife parts</p>				
<p>Component 2:</p> <p>Initiating Institutional / Organizational Capacity Development</p>	TA	<p>2.1 Long term Wildlife Law Enforcement Action Plan (WildLEAP) for the Philippines (2016 – 2028) formulated and approved by 2016</p> <p>2.2 Existing tools refined and new tools developed and tested to strengthen operational capacity of targeted policy and law enforcement institutions, including customs and finance by 2017</p> <p>2.3 Capacity enhanced to implement CITES Electronic Permitting System in the Philippines by 2018</p>	<p>2.1.1 Tactical information and capacity building tools developed through USAID, ADB, UNDP and other projects / programs, shared with key stakeholders</p> <p>2.2.1 Stakeholder consultations on development of WildLEAP conducted</p> <p>2.2.1 Technical assistance to DENR regional and provincial offices conducted, to address illegal wildlife trade and other relevant concerns</p> <p>2.3.1 Suite of capacity building tools, building on Project LAYA and other frameworks, designed, developed and tested, with specific modules customized for "hotspot" areas (coordinated with anticipated USAID PROTECT Wildlife project)</p>	GEFTF	300,000	750,000

Project Component	Financing Type <sup>173</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
			2.3.1 Training and pilot testing of CITES Electronic Permitting System (EPS) undertaken for relevant government and non-government stakeholders			
Component 3: Enabling Tactical Operations in Targeted “Hotspot” Areas	TA	3.1 Strengthened commitment and actions by the judiciary, prosecution and multi-agency coordinating mechanisms, including civil society, to combat environmental organized crime at selected hotspot areas (e.g. through increased stakeholder participation, increased and dedicated financial investments, monitoring systems operating, increased rates of incarceration etc)  3.2 Wildlife law enforcement management information system enhanced /developed  3.3 Improved capacity of law enforcement agencies to detect violations at selected hotspot sites	3.1.1 Stakeholders in law enforcement chain in key hotspot areas trained  3.1.2 Forensic tools and/or facilities to support law enforcement operations developed / upgraded  3.2.2 Increase in sharing of information and knowledge to facilitate multi-agency coordination and support adoption of enforcement tools and methods (linked to Output 2.1.1)  3.3.1 Increase in number of arrests leading to convictions from baseline in 2016	GEFTF	639,500	850,000
Component 4: Reducing Demand for Illegal Wildlife Products	TA	4.1 Demand reduction measures for at least 7 target species (imported and endemic) implemented	4.1.1 Number and types of “audience-segmented” communications materials produced and disseminated by	GEFTF	700,000	850,000

Project Component	Financing Type <sup>173</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
		4.2 Reduced consumption of target species, as measured by consumer research studies at start and end of the project	<p>appropriate “influencers”</p> <p>4.1.2 Number of receptions, lectures, engagement events with business leaders, Catholic Church and other religious communities, and other influencers</p> <p>4.1.3 Number of documents for CITES Standing Committee meetings written, reviewed and submitted, including on progress with implementation of national ivory action plan and other key species plans</p> <p>4.2.1 Baseline established on consumption of target species, as measured by consumer research studies</p> <p>4.2.2 Case studies on demonstration of best practices and/or codes conducts and ethical standards by consumers and businesses</p>			
Subtotal					1,747,887	3,150,000
Project Management Cost (PMC) <sup>174</sup>				(select)	86,975	350,000
Total Project Cost					1,834,862	3,500,000

If Multi-Trust Fund project :PMC in this table should be the total and enter trust fund PMC breakdown here ( )

#### C. INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	Asian Development Bank	Grant	1,500,000
GEF Agency	Asian Development Bank	In-kind	400,000
Recipient Government	Department of Environment and Natural Resources (DENR)	In-kind	300,000

<sup>174</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

Donor Agency	US Department of Interior- International Technical Assistance Program (DOI-ITAP)	Cash and In-kind	1,000,000
Civil Society and Non-Governmental Organization	Ateneo de Manila University	In-kind	100,000
Civil Society and Non-Governmental Organization	Kabang Kalikasan ng Pilipinas Foundation (also known as World Wide Fund for Nature – Philippines)	Cash and In-kind	200,000
Total Co-financing			3,500,000

D. INDICATIVE TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
AsDB	GEFTF	Philippines	Biodiversity	(select as applicable)	1,834,862	165,138	2,000,000
Total GEF Resources					1,834,862	165,138	2,000,000

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

E. PROJECT PREPARATION GRANT (PPG)<sup>175</sup>

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

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

Project Preparation Grant amount requested: \$					PPG Agency Fee:		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee <sup>176</sup> (b)	Total c = a + b
				(select as applicable)			
				(select as applicable)			
(select)	(select)		(select)	(select as applicable)			0
Total PPG Amount							

**PART II: PROJECT JUSTIFICATION**

1. *Project Description*. Briefly describe: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; 5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

**1) Global environmental problems, root causes and barriers:**

Illegal trade in wildlife and wildlife parts is a major contributor to biodiversity loss. For some of the most endangered species in the world, the problem has reached severe proportions. African elephants and rhinos are being killed again in the tens of thousands every year pushing them to the brink of extinction in some African countries. Tigers, Asiatic bears, marine turtles, Asian rhinos, and pangolins are among other key species whose numbers have dwindled as a direct result of illegal poaching and international trade. A recent assessment of

<sup>175</sup> PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$100k for PF up to \$3 mil; \$150k for PF up to \$6 mil; \$200k for PF up to \$10 mil; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

<sup>176</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

seizures and trade routes of elephant tusks and rhino horns done by international NGO TRAFFIC, provides insights on how African-based Asian syndicates are responsible for shipping large volumes for end-use markets in Asia (Milliken, 2014). The Philippines is a transshipment point, as well as a destination for some of these products. In June 2013 authorities in the Philippines crushed five (5) tons of ivory seized, valued at around USD 9.6 million. It has launched a national ivory action plan which serves as the basis of the work of the Philippines Operations Group on Ivory (POGI). An investigative report on the global supply chain, supported by National Geographic in 2012, entitled "Blood Ivory", helped shed some light on how almost 20 tons of ivory seizures in, or destined for the Philippines between 2005 and 2009 was intended for use primarily by the Catholic church for iconic statues.

The trade in poached elephant tusks and rhino horns involving the Philippines is only part of the problem. The country also experiences significant biodiversity loss through rampant illegal logging, hunting /capture of charismatic bird species such as hornbills, parrots, doves and cockatoos, as well as pangolins. The Philippines accounted for 25% of pangolin seizure volume in Southeast Asia for 2013. A Chinese fishing boat which ran aground in Tubbataha Reefs Natural Park, a Philippines World Heritage Site was discovered to be smuggling over 400 pangolins (annamiticus.com). Marine species are not spared either. The Philippines is a source country for many illegally traded aquatic organisms, including corals, live reef fish for the aquarium and restaurant trade, sharks, manta and eagle rays, giant clams, dolphins and whales which are destined for domestic and other Asian markets. Manta rays and whales sharks, fully protected nationally and part of Appendix II of CITES are still caught illegally for local meat sales and for the manta gill and shark fin trade very lucrative products destined mainly for China (WWF, 2011; Manta Trust 2011). Extensive research into the illegal trade of flora and fauna show that the vast majority of the traded species are destined for markets in Asia and it is here that efforts must be increased to combat these organized, transnational criminal networks and reduce the demand for the products.

The biodiversity loss which results from the poaching and illegal trade in wildlife has increased in recent decades along with major economic shifts in parts of Asia. Many countries that have traditionally consumed wildlife to eat and in medicinal remedies have seen economic booms with corresponding increases in affluence and consumptive classes. Wildlife and plant products that were once demanded and affordable for only a small percentage are now being sought after by millions. Fast economic development has also increased habitat loss and resulted in many rural peoples putting further pressure on natural resources for livelihood and food and urban migration causing additional pressures on natural resources and protected areas.

Weak or ineffective governance systems, which allow illegal activities to take place, and even flourish need to be supported to uphold the rule of law. Many countries fail to realize that illegal wildlife trade is part of a transnational environmental criminal syndicate. In the enactment and implementation of laws, there are insufficient deterrents, and furthermore, failure to engage all actors in the law enforcement chain.

Biodiversity loss has a number of "knock-on" effects. The loss of charismatic mega fauna, such as sharks, rays and whales, elephants, and rhinos can lead to the opportunity cost of reduced tourism revenue in some protected areas. Loss of key species also affects ecological balance, allows invasive alien species to get a foot hold, and reduces /impairs the ecosystem services on which humans and wildlife together, depend. Illegal wildlife trade is linked to organized crime and threatens security in many countries. It is the fourth most lucrative black market trade after drugs, human trafficking, and small arms, and is often carried out by the same people. Furthermore, communities and nations in which the rule of law and sustainable development is undermined, are less attractive to investors and not conducive to inclusive socio-economic growth.

## **2) The baseline scenario /associated baseline projects:**

The Philippines is one of the seventeen (17) mega-diverse countries that contain 60 to 70 % of the world's biodiversity, next only to Brazil, Colombia, and Indonesia. It is home to more than 36,000 species of wild plants and animals (wildlife), excluding fishes and corals. Unfortunately, the Philippines is also globally recognized as among the biodiversity hotspots (areas where there is a high probability of species extinction). One of the top drivers of biodiversity loss in the Philippines is poaching and illegal wildlife trade.

Wildlife poaching and illegal trade persist despite the existence of a battery of laws and government-supported efforts to protect wildlife resources. In the past three years (2011-2013) alone, about 90 wildlife confiscations were made by the DENR, partner agencies and wildlife enforcement officers (WEOs) nationwide. These involved more than 7,080 heads of both exotic and endemic wild birds, mammals, reptiles and insects, and about 9,480 pieces of wildlife products/derivatives, such as marine turtle eggs and stuffed specimens. Some of the confiscated wildlife specimens were intended for shipment through the postal offices. These specimens were hidden in stuffed toys, speakers and other materials, and declared as household effects. Initial intelligence

gathering made by the support staff of the Philippine Operations Group on Ivory and Illegal Wildlife Trade revealed that some traders are below 18 years old. The advent of modern information technology has aggravated the problem. At least seven (7) social media networks and websites are advertising wildlife for sale. The advertisers are using proxy names. This system of internet wildlife trade prevents the immediate detection and determination of the identity of the sellers, and poses difficulty in ascertaining the legality or illegality of the species/specimens for trade. The limited resources of the DENR and partner-agencies such as the National Bureau of Investigation and Philippine National Police hinder the conduct of intensive case-building and buy-bust operations.

The most disturbing concern is the involvement of some politicians - presumably the primary guardians of the country's natural resources - and their relatives, in wildlife hunting, and possibly complicit in the illegal wildlife trade (DENR, 2014).

At the regional level, a survey of 10 Asian countries—People's Republic of China (PRC), Indonesia, Lao PDR, Mongolia, Union of Myanmar, Nepal, Philippines, Sri Lanka, Thailand and Viet Nam—reveals several loopholes in their wildlife legislation and challenges to effective national wildlife law enforcement. Notably, these countries' laws provide penalties too weak to deter wildlife crime, limited protection scope and legal covers that allow offenders to perpetrate wildlife crime with impunity. For instance, that PRC, Lao PDR, Viet Nam and Thailand allows the captive breeding of endangered species such as bears, tigers, and snakes enables syndicates to launder wild-caught specimens through these captive breeding farms. PRC allows pangolin consumption for traditional medicine, while Java, Indonesia permits wildlife trade, particularly in birds, as part of its culture. Myanmar permits trade in tusks of elephants that died of natural causes. Thailand permits trade in domesticated elephants and possession and trade in ivory from these elephants, and allows hunting of wildlife due to necessity or self-defence. Viet Nam permits trade in and processing of rare and precious animals for commercial purposes, the sale of confiscated live and dead animals to pharmacies, farms, zoos, and circuses. and the farming of bears to harvest the bile from their gall bladders.

Many of these countries, the Philippines included, also lack the human and financial resources as well as technical expertise to effectively enforce wildlife laws despite facing a growing demand for their natural resources along with lack of alternative sources of livelihood. Corruption, political interference, patronage, nepotism, lack of governance accountability mechanisms and decentralized law enforcement all facilitate wildlife crime. Likewise, the geography and location of some of these countries like Lao PDR and Viet Nam aid in the cross border shipment of wildlife contraband.

In the Philippines, six challenges in environmental law enforcement have been identified by its National Bureau of Investigation (NBI): (i) political interference, (ii) corruption, (iii) lack of coordination among the different law enforcement agencies, (iv) lack of political will or determination to enforce the law, (v) lack of support from the community, and (vi) lack of logistical/financial resources. In addition, there are only three special environmental police officers currently in the Philippines makes environmental and wildlife law enforcement even more difficult, if not impossible.

During a Symposium on Combating Wildlife Crime: Securing Enforcement, Ensuring Justice, and Upholding the Rule of Law on 10-12 March 2013 in Bangkok, Thailand, which the ADB cohosted with CITES, the International Consortium on Combating Wildlife Crime, and other development partners, a number of other challenges were highlighted. First, there are almost 100 million Filipinos speaking about 86 different dialects; not everyone can read or understand English, which is the official language used for national laws. Second, the Philippines is multi-jurisdictional and has various agencies implementing several laws. Third, the different ways by which wildlife crime can be committed can complicate law enforcement.

The Philippines Biodiversity Strategic Action Plan (PBSAP) 2015-2028 outlines a framework for interventions to address threats to biodiversity in order to achieve national targets which correspond with target obligations under multilateral environmental agreements such as the CBD. The operational plan for the PBSAP shows a "finance gap" between envisaged public and private expenditures and actual costs of implementation which are estimated around USD 52 billion. Official Development Assistance contributes 5% of this. Biodiversity losses due to inability to meet the CBD Aichi targets to 2010 could be in the order of USD 740 million (DENR, 2014).

On the legal side, courts in the Philippines have been viewed as conservative and cautious in dealing with new developments in law. As environmental problems become more complex and far reaching, the judiciary need to consider innovative solutions to difficult and challenging environmental cases. In an effort to introduce more effective adjudication of cases, the country has taken steps to establish "green benches" that would handle environmental cases in order to advance more effective resolution of environmental disputes. in the country. In

January 2008, the Supreme Court designated 117 municipal and regional trial courts across the country as environmental courts. The Philippines have been leading partners in the ADB supported Asian Judges Network which seeks to strengthen judicial adjudication of environmental cases. These new initiatives must continue to be supported as they will play a key role in defending the Philippines' biodiversity.

A number of other initiatives have been introduced to address different aspects of the trade, including but not limited to:

- DENR-Biodiversity Management Bureau (BMB) have developed a law enforcement manual of operations, training modules for forestry wildlife and fisheries law enforcement, and training of trainers in partnership with USAID/DOI-ITAP and Tanggol Kalikasan
- Conduct of two national environmental law enforcement summits supported by USAID/DOI-ITAP
- Over 20 multisectoral trainings on environmental laws and rules of procedure (in collaboration with the Philippines Judicial Academy, DENR, DA-BFAR, USAID/DOI-ITAP and UNDP)
- Development by the Department of Justice in partnership with USAID/DOI-ITAP, of training manual for prosecutors of environmental cases, with 5 trainings conducted, and
- Establishment of a wildlife forensic laboratory at the University of the Philippines (Diliman), and
- Anticipated USAID-supported PROTECT Wildlife Philippines project

### **3) The proposed alternative scenario:**

The project objective is to combat environmental organized crime in the Philippines by legal and institutional reforms, capacity building through the law enforcement chain and demand reduction for illegal wildlife and wildlife parts.

The GEF project will be organized under four components, explained briefly below:

#### **Component 1: IMPLEMENTING POLICY, LEGAL AND REGULATORY REFORMS**

The ongoing ADB technical assistance on the illegal wildlife trade is finalizing a national needs assessment, consisting of; a) a review and analysis of the legal and enforcement frameworks for combatting wildlife and related crimes in the Philippines and, b) a team in-country mission to interview all relevant stakeholders to further identify gaps and develop proposed solutions.

The starting point for this proposed GEF project will be to disseminate the recommendations of the needs assessment to stakeholders within the law enforcement chain. This includes the Supreme Court of the Philippines, Court of Appeals, various Trial Courts and Special Courts, prosecutors and legal practitioners (Integrated Bar of the Philippines), protected area managers, wildlife enforcement officers, selected community leaders, National Bureau of Investigation (NBI), Philippines National Police (PNP), Armed Forces of the Philippines (AFP), Philippine Coast Guard, Bureau of Customs, Bureau of Fisheries and Aquatic Resources (BFAR), Department of Justice, Department of Interior and Local Government (DILG), Department of Environment and Natural Resources (DENR) (including Biodiversity Management Bureau / CITES Management Authority, selected Divisions, Regional and Provincial Offices), Palawan Council for Sustainable Development (PCSD), among others.

Subsequent work will focus on identifying gaps in implementation, reviewing options for legal reforms, restructuring and amendments, particularly in the context of devolution of authority through the Local Government Code, with emphasis on the Philippines Fisheries Code, Republic Act 8550, and subsidiary legislation, including but not limited to the National Integrated Protected Areas System (NIPAS) Act, the Revised Forestry Code, the National Biosafety Framework, and a number of Executive Orders, Presidential Decrees, Proclamations and Administrative Orders. Legal reform is ongoing in the Philippines, as a House Bill Amending Republic Act 9147, "An Act Providing for Conservation and Protection of Wildlife Resources and their Habitats", known as the Wildlife Resources Conservation and Protection Act of 2001 is currently under review and the ABD TA is also supporting legal recommendations for that process. Amendments to the bill may take some time to pass and new Implementing Rules and Regulations (IRRs) will also need to be drafted and established.

Outputs for this component will include: a) IRRs and local legislation for RA 9147 drafted by 2020, and b) Institutions, decision-makers and other actors within the law enforcement chain informed about implications of law reforms on enforcement against environmental crimes. Longer term Outcomes include, a) Reforms to Republic Act (RA) 9147 on Wildlife Resources Conservation and Protection; Republic Act 8550, the Philippine Fisheries Code; subsidiary legislation and Implementing Rules and Regulations ensures strong legal frameworks

in place to address key concerns in global efforts to combat trade in illegal wildlife and wildlife parts, and b) Amendments to legislation and supplementary guidelines mainstreamed into development planning and budget processes.

#### Component 2: INITIATING INSTITUTIONAL / ORGANIZATIONAL CAPACITY DEVELOPMENT

Work undertaken in this component will support the building of institutional and organizational capacity through collaborative workshops, stakeholder consultations, review of legal case materials and other documentation, sharing of information with other international law enforcement agencies, programs and projects. Development / refinement of law enforcement training tools in particular, will focus on prevention, prosecution, and detection.

Among other things, efforts will seek to assist agencies in increasing the understanding of how to implement multilateral environmental agreements such as the Convention on International Trade in Endangered Species (CITES), the Convention on Biological Diversity (CBD), Convention on the Conservation of Migratory Species of Wild Animals (CMS), the national legal and resultory framework, as well as the best techniques to enforce relevant provisions. This work will leverage ongoing and planned actions related to the Philippines participation in the ASEAN Wildlife Enforcement Network (WEN) and the USAID initiative, "Asia's Regional Response to Endangered Species Trafficking" (ARREST), and Philippines-Chad cooperation in the context of ivory transshipments. Efforts will be made to complement and apply tools established under "Project LAYA", undertaken by AdMU-SOG, and its partners, which is developing internal integrity assessment systems, training Government stakeholders in case handling, build-up and management, and re-inforcing Department of Finance anti-corruption programs, among others. More specifically, the GEF project will link with the component of Project LAYA, called "Run After the Smugglers" (RATS), which supports enforcement actions against fraudulent importation, post entry audit and strategic communications at the level of the Bureau of Customs. It will also support, where possible, mechanisms for multi-country coordination of enforcement operations strengthened (e.g. WEN and other networks), creation of the Philippines Long Term Wildlife Law Enforcement Action Plan (WildLEAP) for the Philippines, refine, develop and test training tools which aim to strengthen operational capacity of targeted policy and law enforcement institutions, and ensure that the proposed CITES Electronic Permitting System is fully implemented in the country.

Outputs from this component would include: a) Tactical information and capacity building tools developed through USAID, ADB, UNDP and other projects / programs, shared with key stakeholders, b) Stakeholder consultations on development of WildLEAP conducted, c) Technical assistance to DENR regional and provincial offices conducted, to address illegal wildlife trade and other relevant concerns, d) Suite of capacity building tools, building on Project LAYA and other frameworks, designed, developed and tested, with specific modules customized for "hotspot" areas (which will be coordinated with the anticipated USAID PROTECT Wildlife project), and e) Training and pilot testing of CITES Electronic Permitting System (EPS) undertaken for relevant government and non-government stakeholders. Anticipated Outcomes include: a) Long term Wildlife Law Enforcement Action Plan (WildLEAP) for the Philippines (2016 – 2028) formulated and approved by 2016, b) Existing tools refined and new tools developed and tested to strengthen operational capacity of targeted policy and law enforcement institutions, including customs and finance by 2017, and c) Capacity enhanced to implement CITES Electronic Permitting System in the Philippines by 2018.

#### COMPONENT 3: ENABLING TACTICAL OPERATIONS IN TARGETED HOTSPOT AREAS

This component of the work program will focus on the operational aspect of addressing environmental organized crimes. Most capacity-building and training initiatives addressing illegal wildlife trade in the Philippines have been "one-off", and appealing to a broad swath of the enforcement community, with little follow up or mechanism established for ongoing technical support to foster retention of new knowledge, and ensure 'sustainability'. Delivery of the training will be undertaken using 'blended learning' techniques, which combine, print, broadcast and web-based approaches, as well as site visits and support for cross learning opportunities, for example through the ADB-supported Asian Judges Network on the Environment (AJNE), and build on a number of existing mechanisms established by DENR, USAID, UNDP and various other partners (as elaborated in the baseline scenario). It will seek to complement the anticipated USAID-supported PROTECT Wildlife project, which will be focussed on Palawan (including Tubbataha Reef) and the Sulu Archipelago (centered around Zamboanga City)

More importantly the training will be delivered to improve tactical, on the ground, rapid response, enforcement capabilities in other identified "hotspots". Main candidate areas would include: a) General Santos, Davao and Butuan Cities (entry and transit points of smuggled wild animals from Indonesia), b) Cebu (destination, storage

and transit points of illegal wildlife), and c) Metro Manila (central destination of illegal wildlife from other areas in the country and take off points of illegal wildlife destined to other countries).

Efforts will seek to a) strengthen commitment and actions by the judiciary, prosecution and multi-agency coordinating mechanisms, including civil society, to combat environmental organized crime, b) enhance / develop a wildlife law enforcement management information system c) improve capacity of law enforcement agencies to detect violations, and d) increase budget allocations at national and subnational government levels to support law enforcement specific to illegal wildlife crimes from baseline in 2016 to 2020.

Anticipated outputs include: a) Stakeholders in law enforcement chain in key hotspot areas trained, b) Forensic tools and/or facilities to support law enforcement operations developed / upgraded, c) Increase in sharing of information and knowledge to facilitate multi-agency coordination and support adoption of enforcement tools and methods (linked to Output 2.1.1), and d) Increase in number of arrests leading to convictions from baseline in 2016. Longer term Outcomes would include: a) Strengthened commitment and actions by the judiciary, prosecution and multi-agency coordinating mechanisms, including civil society, to combat environmental organized crime at selected hotspot areas, b) Wildlife law enforcement management information system enhanced /developed, and c) Improved capacity of law enforcement agencies to detect violations at selected hotspot sites.

#### COMPONENT 4: REDUCING DEMAND FOR ILLEGAL WILDLIFE PRODUCTS

Illegal killing of wildlife is among the chief causes of the drastic and continued decline in terrestrial and marine biodiversity in general, and specifically many of the world's most charismatic endangered species. Direct action is needed at the front line to apprehend and convict poachers and illegal traders, however there is an urgent need for complementary efforts to effectively address the market demand which drives the trade. Enforcement, is one part of the solution, and may be ineffective if demand reduction measures are not implemented concurrently. Considerable investment has been made to increase awareness of the importance of conservation, or the unlawful nature of the trade. But in order to be effective, demand reduction measures need to be carefully considered and designed. Information is only a first step. Strategies must increase the "sense of agency" of the individual and/or corporation, and will need to offer smaller, concrete, do-able and measurable actions focussing on concrete change in behaviour as opposed to abstract goals (Zain, 2012<sup>177</sup>). They should seek to facilitate peer affirmation, offer some immediate benefits to target consumers, and create new behaviours, rather than simply trying to stop an undesirable one. Furthermore, there is scope for continued efforts to promote market-based instruments such as standards and certification to encourage a more sustainable way to approach the trade.

The GEF initiative project proposes to support actions leading to reduced demand for target species (imported and endemic, including some species used for domestic use) in the Philippines, and reduce consumption of target species, as measured by consumer research studies at start and end of the project. Among the main activities will be the design and implementation of a number of customized social marketing / advocacy campaigns, which will vary by audience segment, geography, demographics and species. For example, documentary evidence suggests that the Catholic Church in the Philippines is a complicit actor in promoting the use of ivory for carving of iconic statues and figurines (National Geographic, 2012, 2013<sup>178</sup>). Other potential target species may include marine turtles (Hawksbill and green), hornbills, mina birds, cockatoos, some reptiles, and others to be finalized following an analysis of confiscation records.

Outputs will include: a) Number and types of "audience-segmented" communications materials produced and disseminated by appropriate "influencers", b) Number of receptions, lectures, engagement events with business leaders, Catholic Church and other religious communities, and other influencers, c) Number of documents for CITES Standing Committee meetings written, reviewed and submitted, including on progress with implementation of national ivory action plan and other key species plan, d) Baseline established on consumption of target species, as measured by consumer research studies, e) Case studies on demonstration of best practices and/or codes conducts and ethical standards by consumers and businesses. At the Outcome level, the project will give rise to: a) Demand reduction measures for at least 7 target species (imported and endemic) implemented, and b) Reduced consumption of target species, as measured by consumer research studies at start and end of the project.

#### **4) Incremental cost reasoning:**

<sup>177</sup> Zain, S. (2012). Behaviour Change We Can Believe In: Towards A Global Demand Reduction Strategy for Tigers.

<sup>178</sup> Blog Posted by Bryan Christy, National Geographic, "Blood Ivory" in the Philippines". September 26, 2012

Poaching and illegal wildlife trade is reaching crisis levels. In order to make meaningful inroads, efforts must be made at all levels. The baseline situation shows that site- and regional-level efforts are being made, but the tide has not been reversed, given the transnational character of the trade. The proposed GEF support will provide additionality to “business as usual”, and aid in both creating the opportunities for, and strengthening decision making processes for committing to, developing and implementing legislation and strategic planning. It will also build awareness and capacity for reduction of poaching and illegal trade in wildlife and wildlife parts.

In the baseline, it is observed that a number of international and national agencies are tackling wildlife trade from the perspective of: species-based conservation efforts, site-based investments, regional meetings, technical capacity-building, data compilation, and demand reduction through public awareness. These multi-faceted approaches provide a solid foundation for the proposed GEF project to inject the necessary momentum at the highest level of decision makers, particularly the judiciary with knock-on effects through the entire law enforcement chain, in order to create enabling conditions for a more cohesive and effective approach.

Building on the baseline, working through partners and with GEF support, the project seeks to deliver political and legal increments. Component 1 will build on the baseline of regional political momentum and commitments undertaken through the work of DENR, Tangok Kalikasan, the Ateneo School of Government and the AsDB RETA, which supports dialogue on transnational organized environmental crimes, and emphasizes the need for policy change at the national level in priority countries, such as the Philippines. This component will build on the baseline legal gap analysis and through GEF support, and support policy, legal and regulatory reform processes in the Philippines. Component 2 will add value by building institutional and organizational capacity, as well as refining existing and developing new tools and methods. Component 3 will delivery capacity building which is highly localized, and targets actors in the law enforcement chain in the identified ‘hot spots’, in close collaboration with the USAID PROTECT Wildlife initiative, while Component 4 will support development and implementation of complementary demand reduction actions, among others.

#### 5) Global environmental benefits

Global environmental benefits anticipated under this GEF project would include: i) conservation of globally significant biodiversity, and ii) sustainable use of the components of globally significant biodiversity. The project would also catalyze or support actions which lead to additional, less direct, benefits, including: i) reduction in forest loss and forest degradation, ii) maintenance of the range of environmental services and products derived from forests. The area of biodiversity coverage will be determined at project inception.

#### 6) Innovativeness, sustainability and potential for scaling up

Five areas are considered to be of major importance with respect to transnational environmental organized crime: i) illegal trade in wildlife; 2) illegal logging and its associated timber trade; 3) illegal, unreported and unregulated (IUU) fishing; 4) illegal trade in controlled chemicals (including ozone-depleting substances); and 5) illegal disposal of hazardous waste. New types of environmental crime are also emerging, for example in carbon trade and water management (INTERPOL, 2012<sup>179</sup>). This project will take a “systems approach” to addressing transnational environmental organized crimes. It will be unique in the sense that it squarely address supply, transit and demand issues related to environmental organized crime – and among other things, foster interregional cooperation with African nations. The entire law enforcement chain will be addressed, from Supreme Court Justice to local prosecutor and law enforcement levels. Similarly, demand reduction will use an “audience segmentation” approach and customize social marketing and advocacy campaigns specific to various sub-markets. The project structure will also be considered for replication in other Southeast Asian countries, particularly Viet Nam and Cambodia, with a view to addressing the main drivers of consumption in PR China.

2 *Risks*. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable).

1. Risk: Economic development priorities overshadow natural resource management, and illegal wildlife trade in particular

Proposed mitigation: Regular and sustained pressure will need to be applied to help decision-makers understand the economic costs of inaction, and the economic implications of continued biodiversity loss. The knowledge management strategy will support efforts to mainstream this into economic development planning

<sup>179</sup> Interpol Website <http://www.interpol.int/Crime-areas/Environmental-crime/Environmental-crime>. Accessed 03.24.2016

processes, supporting PBSAP implementation in this connection. More specifically, methods and data on the valuation of ecosystems services will be considered in the development of capacity-building tools for law enforcement agencies.

2. Risk: Influential and vested interests stall progress for legal reform

Proposed mitigation: Efforts to combat environmental organized crime cannot be effective and sustainable without political will. Such political commitment will be necessary to address intervene to stop the supply and marketing of threatened, vulnerable and endangered species. The project will devote significant attention to high-level government engagement, particularly with the legislative and judiciary, to encourage good governance which emphasizes transparency and accountability. The dialogue will be through a hybrid of measures, including working level meetings, focussed training and information sessions in order to leverage maximum political commitment.

3. Risk: Illegal wildlife trade continues unabated

Proposed mitigation: Globally, the illegal wildlife trade is increasing, putting additional pressures on wild populations of threatened and endangered species and undermining site-based conservation efforts. The project will address this issue through working throughout the law enforcement chain to build capacity to reform and enforce existing legislation and target illegal trade at key "hotspots" which represent source areas, transit points and markets along the supply chain. Once proven effective there may be elements of the approach replicable in other countries.

4. Risk: Climate change

Proposed mitigation: Climate change may become a major risk to addressing illegal wildlife trade issues, especially as more forest area is cleared to meet agricultural and biofuel needs. The development of training tools and subsequent roll out will need to build on and leverage knowledge from a number of conservation landscapes and seascapes initiatives which strengthen commitment to protection of natural habitats and associated watershed management, which aim to foster resilience and reduce additional vulnerabilities to priority species.

5. Risk: Change in political leadership

Proposed mitigation: Change in political leadership at national and subnational levels is inevitable. The project will follow a dual track in order to address this dynamic. The first will be to focus building relationships with existing and 'best bet' incoming political leaders (e.g. Vice-Governors, Vice-Mayors etc), and the second will be to build capacity of the career track civil service officers at national and sub-national levels.

3. *Coordination.* Outline the coordination with other relevant GEF-financed and other initiatives.

The project will draw some parallels with the GEF-UNDP project on "Partnerships in Biodiversity Conservation: Mainstreaming in Local Agricultural Landscapes". One activity set in this project seeks to reduce poaching pressures on critically-endangered wildlife in Central Panay. Links will also be established with the GEF-ADB project on "Strengthening Coastal and Marine Resources Management in the Coral Triangle: Southeast Asia", particularly with respect to work ongoing in the CTI Technical Working Group on Threatened Species.

It will also build on the emerging results and lessons of a) USAID Project Laya, being implemented by AdMU-SOG and other partners, which focusses on capacity building to improve financial integrity within the Department of Finance system (including Bureau of Customs), among other things, and b) the UNDP-supported work on Environmental Justice in the Philippines. The UNDP project supported pilot environmental capacity building through the Philippine Judicial Academy, to capacitate judges and other stakeholders to properly adjudicate and litigate environmental cases pursuant to the Rules, published a sourcebook on environmental justice, and a corollary 'citizen's handbook' in 2011, and c) the UNDP-GEF (and GIZ-supported) Sulu-Celebes Sea Sustainable Fisheries Management project.

Implementation will be undertaken in association with the ADB Regional Technical Assistance (RETA) to improve implementation of environmental laws in developing member countries. Established under this RETA is the Asian Judges' Network on Environment (AJNE), the Association of Southeast Asian Nations (ASEAN) and the South Asian Association for Regional Cooperation (SAARC) Judicial Roundtable on Environment, bringing together chief justices and senior members of the judiciary in Southeast Asia and South Asia to discuss environmental issues, including wildlife crime and the negative effects on biodiversity.

The proposed GEF project will be aligned with the anticipated USAID-supported PROTECT Wildlife project in the Philippines. Preliminary consultations have taken place with USAID Regional Development Mission for Asia

(RDMA) as well as with potential contractors and sub-contractors for the project, which will be subject to competitive bidding. Finally, this project will contribute to the “Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development”, lead by the World Bank. It will contribute to the programmatic outcomes identified in the results framework, and will benefit significantly from the sharing of tools and methods, knowledge management, networking and technical support services provided under the coordination platform.

## **16. Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa**

### **PART I: PROJECT INFORMATION**

<b>Project Title:</b>	Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa
<b>Country(ies):</b>	South Africa
<b>GEF Agency(ies):</b>	UNEP
<b>Other Executing Partner(s):</b>	Department of Environmental Affairs (DEA) of the Ministry of Environment, South Africa National Biodiversity institute (SANBI), South Africa National Parks Authority (SANParks), UNEP WCMC, Peace Parks Foundation ( PPF), World Wide Fund for Nature South Africa (WWF-SA),
<b>GEF Focal Area(s):</b>	Biodiversity

#### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES:**

<b>Objectives/Programs</b> (Focal Areas, Integrated Approach Pilot, Corporate Programs)	<b>Trust Fund</b>	<b>(in \$)</b>	
		<b>GEF Project Financing</b>	<b>Co-financing</b>
BD-2 Program 3	GEFTF	4,886,009	7,000,000
<b>Total Project Cost</b>		<b>4,886,009</b>	<b>7,000,000</b>

#### **B. Indicative Project description summary**

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

<b>Project Component</b>	<b>Financing Type</b>	<b>Project Outcomes</b>	<b>Trust Fund</b>	<b>(in \$)</b>	
				<b>GEF Project Financing</b>	<b>Co-financing</b>
<b>Component 1:</b> A centralized system for effective wildlife trade monitoring and assessment	TA	<b>Outcome 1:</b> Capacity of the South Africa Scientific Authority (SASA) is built for effective monitoring and assessment of wildlife trade. <b>Output 1.1:</b> Training of the SASA staff in effective wildlife trade monitoring and assessment. <b>Output 1.2:</b> A centralized system of wildlife monitoring established.	GEF TF	1,551,114	1,500,000
<b>Component 2:</b> Development of a ready-to-use CITES e-permitting system	TA	<b>Outcome 2.</b> Web-based CITES electronic permitting application used by CITES Authorities as a national permitting system. <b>Output 2.1</b> Ready-to-use CITES e-permitting system in place, is adopted and used as a national permitting system. <b>Output 2.2</b> An Electronic Permit Information eXchange Conduit (EPIX Conduit) is established.	GEF TF	1,551,228	2,500,000

Project Component	Financing Type	Project Outcomes	Trust Fund	(in \$)	
				GEF Project Financing	Co-financing
<b>Component 3:</b> Community empowerment, education and awareness	TA	<b>Outcome 3.</b> Strengthened community policing and ensured communication, advocacy and social development <b>Output 3.1.</b> An innovative approach to community policing to benefit rural communities and wildlife in neighbouring protected areas is created, tested and implemented. <b>Output 3.2</b> Communications, marketing and advocacy enhanced. <b>Output 3.3</b> Community awareness and social development promoted.	GEF TF	1,551,000	2,500,000
<b>Subtotal</b>				<b>4,653,342</b>	<b>6,500,000</b>
Project Management Cost (PMC)			GEF TF	232,667	500,000
<b>Total Project Cost</b>				<b>4,886,009</b>	<b>7,000,000</b>

### C. Co-financing for the project by source, by type and by name

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	UNEP	Grant/In-Kind	1,000,000
NGO	World Conservation Monitoring Center (WCMC)	Grant/In-Kind	2,000,000
NGO	Peace Parks Foundation (PPF)	Grant/In-Kind	1,000,000
NGO	World Wide Fund for Nature South Africa (WWF-SA)	Grant/In-Kind	1,000,000
Govt	Department of Environmental Affairs (DEA)	Grant/In-Kind	500,000
Govt	South Africa National Biodiversity Institute (SANBI),	Grant/In-Kind	1,000,000
Govt	South Africa National Parks Authority (SANParks),	Grant/In-Kind	500,000
<b>Total Co-financing</b>			<b>7,000,000</b>

**D. Trust Fund Resources Requested by Agency(ies), Country(ies) and the Programming of Funds**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programmi ng of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
UNEP	GEFTF	South Africa	BD	BD	4,886,009	439,741	<b>5,325,750</b>
<b>Total GEF Resources</b>					<b>4,886,009</b>	<b>439,741</b>	<b>5,325,750</b>

**PART II: PROJECT JUSTIFICATION****PROJECT OVERVIEW*****A.1. Project Description.*****1) The global environmental and/or adaptation problems, root causes and barriers that need to be addressed**

The international illegal trade in wildlife and wildlife products has reached crisis proportions and is now ranked the fourth largest global illegal activity<sup>180</sup>. It is a threat to the existence of iconic species, undermines the rule of law, threatens local community development and livelihoods and local and national revenue streams, and compromises local and global security<sup>181</sup>. Species with a high market value, such as rhinoceros (*Ceratotherium simum*, *Diceros bicornis*, *Rhinoceros unicornis*, *Dicerorhinus sumatrensis*, *Rhinoceros sondaicus*), tiger (*Panthera tigris*), elephant (*Loxodonta africana*, *Elephas maximus*) and pangolin (*Manis javanica*, *Manis pentadactyla*), amongst others, are under increasing threat of extinction caused by the recent escalation in poaching. Experts predict that a tipping point is imminent for African rhinoceros populations, with deaths from poaching exceeding births, leading to a rapid decline in numbers<sup>182</sup>.

According to the United Nations Environment Programme (UNEP) and INTERPOL, combined estimates place the monetary value of environmental crime at between US\$70 and US\$213 billion each year. Although the value of illegal trade remains uncertain, it has variously been estimated at between USD 5 – 20 billion per annum. These estimates suggest that wildlife crime is the fourth most lucrative type of transnational crime after illegal narcotics, human trafficking and armaments. While threatening the future existence of wildlife species, this illicit trade devastates vulnerable communities, drives corruption and undermines efforts to reduce poverty. International criminal syndicates target poor communities living within and around conservation areas, offering them large sums of money to kill endangered species.

South Africa is bearing the brunt of wildlife crime. The number of rhino killed has escalated from an average of 13 in 2007 to 668 in 2012, 1004 in 2013 and 1215 in 2014. Illegal wildlife trade has also decimated other high value species such as cycads (>90% decline over 20 years) and abalone, and there is increasing illegal trade in a range of other species.

Illegal trade in wildlife and wildlife parts is an escalating driver of biodiversity loss. Unprecedented biological or commercial extinction of many life forms is now a critical reality throughout the world, jeopardizing the very foundations of biodiversity, including the future well-being of humans and requiring unprecedented political will, social sacrifice and law enforcement action to stem further losses. Progressively, through the advent of the Convention on Trade in Endangered Species of Wild Fauna and Flora (CITES) in 1975, together with a host of national legislative and regulatory instruments and mechanisms, the global community has moved to address the threat to thousands of species of wildlife posed by unfettered trade.

The problem is particularly acute in Africa, where charismatic species – the African elephant, white and black rhinos, as well as dozens of other species such as pangolins, succulents and cycads – are being targeted to the brink of extinction. Last year over 25,000 elephants were slaughtered for their ivory, which can fetch up to \$40,000 per tusk. The rhino poaching crisis is similarly escalating: in 2008, 13 rhinos were poached in South Africa in the entire year. In 2014, three were poached daily.

<sup>180</sup> WWF (2012). Fighting illicit wildlife trafficking. A consultation with governments. Washington, D.C.: WWF, p.12

<sup>181</sup> International Fund for Animal Welfare (2013). Criminal nature: the global security implications of the illegal wildlife trade. IFAW, Massachusetts, USA.

<sup>182</sup> IUCN SSC African Rhinoceros Specialist Group, 2013

As poaching has become industrial in scale, with criminal organizations coalescing around the fact that wildlife is unguarded, poorly valued and its ownership remains unclear, responses to poaching remain fragmented with a focus on piloting new approaches. Poaching is facilitated by trafficking routes that are not guarded and over which regulatory authorities and private sector transportation entities have no incentives, will or tools to monitor for wildlife contraband. In addition, involvement of sophisticated criminal syndicates means that illicit wildlife trade cannot be dealt with on a species by species basis. Trade in items such as ivory or rhino horn may benefit from existing illicit conduits associated with illegal timber. Alternatively, a focus on one species or one area may result in a shift to other species (e.g. for abalone and crayfish) or new areas.

The major threats currently facing the large game species include poaching for the illegal wildlife trade, habitat fragmentation, habitat degradation, human-wildlife conflict, and unsustainable use of resources, unregulated development, and the impacts of climate change. This project will address illegal wildlife trade as the key and most immediate threat as elaborated below.

South Africa, which contains 82% of Africa's rhinoceros and has a strong conservation track record, has emerged as the centre of rhinoceros killing, in absolute terms. Between 1990 and 2005, rhinoceros poaching losses in South Africa averaged 14 animals each year but poaching dramatically increased in 2008 and has been exponentially increasing ever since, reaching a total of 1,215 in 2014<sup>183</sup>. The South African poaching trend has to some extent been replicated in Kenya, which suffered a spike in poaching in 2013 and where poaching in relative terms is now slightly higher than South Africa. Poaching in Zimbabwe peaked in 2008 but, in contrast to Kenya and South Africa, has been declining. It remains low in Namibia but there is a risk it could increase there<sup>184</sup>, with some reports indicating that this is already occurring<sup>185</sup>.

As poaching escalates at a continental level, a tipping point is imminent, which will result in the African rhinoceros population as a whole starting to decline. Worst-case scenario predictions suggest that the tipping point, where numbers killed exceed the replacement rate from new births, could have been reached in 2014<sup>186</sup>.

Aside from posing a severe threat to global biodiversity, the illegal wildlife trade disrupts local, national and international security. Owing to the high economic value of the trade, it is strongly linked to organized crime, violence, corruption and fraud; furthermore, it has been found to fund terrorist groups<sup>187</sup>.

Finally, the poaching of charismatic species such as elephant and rhinoceros prevents sustainable rural development since it reduces the tourism potential of natural habitats<sup>188</sup>. To date, interventions aimed at ending the poaching crisis have focused on protecting animals from extinction, protecting biodiversity, and sustaining rural economies and livelihoods. Though these efforts have proven effective in terms of increasing arrests and creating jobs in the tourism sector, they have not reduced the rising body count. International trade policy and enforcement experts from around the world agree that more resources are required to fully understand the dynamics of international trafficking syndicates and to deal with them effectively.

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

This project builds on the previous GEF funded projects and on decisions and processes emanating from the Conference of Parties to CITES.

The proposed project supports the existing South African Rhino Protection Programme, which is a South African component of the broader Strategic Bilateral Biodiversity Conservation Programme. The SA Rhino Protection Programme (which is a partnership programme launched by DEA and PPF has already secured \$22.6 million from

<sup>183</sup> Department of Environmental Affairs, Republic of South Africa (2015). *Minister Edna Molewa highlights progress in the war against poaching and plans for 2015*. Retrieved January 28, 2015, from [https://www.environment.gov.za/mediarelease/molewa\\_waragainstpoaching2015](https://www.environment.gov.za/mediarelease/molewa_waragainstpoaching2015)

<sup>184</sup> Standley, S., & Emslie, R. H. (2013). *Population and Poaching of African Rhinos across African Range States* (p. 9). doi:[http://dx.doi.org/10.12774/eod\\_hd078.oct2013.standley](http://dx.doi.org/10.12774/eod_hd078.oct2013.standley)

<sup>185</sup> Bloomberg (2014) Namibia Opts to Dehorn its Rhinos as It Battles Poachers. <http://www.bloomberg.com/news/articles/2014-10-13/namibian-government-dehorns-rhinos-as-poaching-threat-escalates>

<sup>186</sup> Emslie, R. (2013) Unpublished briefing of the IUCN SSC African Rhinoceros Specialist Group.

<sup>187</sup> Ratchford, M., Allgood, B. and Todd, P. (2013) Criminal nature: the global security implications of the illegal wildlife trade. International Fund for Animal Welfare. Washington, DC. 36 pp.

<sup>188</sup> TRAFFIC (2014). Poaching and illegal wildlife trade threaten tourism and development options in Africa.

<http://www.traffic.org/home/2014/3/7/poaching-and-illegal-wildlife-trade-threaten-tourism-and-dev.html> Accessed 28 January 2015.

various donors and anticipates additional support from other international donors such as the German government through KfW.

Wildlife trade is managed through a permit system. In terms of both CITES agreements and local legislation, the South African Scientific Authority (SASA) must determine that trade is not detrimental to wild populations and provide scientific oversight for all wildlife trade. This is regarded as a critical component of the governance of wildlife trade and stopping the laundering of illicit products into the legal trade. South Africa has been the target for significant illegal trade in wildlife. The poaching of rhinoceros has taken centre stage but poaching of abalone and other marine resources has a long history dating back to at least 1994. Poaching of cycads has decimated local populations and CITES Parties have queried South Africa's exports of *Pachypodium spp* (succulent plants), hippopotamus, lion, leopard, cranes and cycads. Lack of scientific data to support trade decisions has led to suspensions by the CITES Parties for trade in *Pachypodium*, lion, and cycads and this has highlighted the need for improved scientific governance and oversight of wildlife trade. CITES promotes independent scientific oversight as a critical aspect of legal trade and it plays an important role in reducing illegal trade through verification of sources, determining the status of source populations, matching trade volumes to legal off-take, and reducing opportunities for laundering illicit products as part of legal trade. The key functions of the SASA are:

**Monitoring legal and illegal trade:** the SASA is expected to monitor legal and illegal trade although this has mostly not happened due to the absence of appropriate systems.

**Undertaking non-detriment findings:** these are findings 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 and guide government decisions relating to regulation of trade. To date, the SASA has published NDFs for 17 species and is in the process of assessing 35 priority species.

**Advising government on actions to reduce illegal or non-sustainable trade:** the SASA reports directly to the Minister of Environmental Affairs regarding any information on illegal trade.

The SASA has made considerable progress over the past 5 years in improving oversight of trade. Analyses and interventions for leopard, lion, cheetah, cycads, and pachypodium have all resulted in better management of these species and reduced opportunities for illegal trade. The SASA also closely monitors rhino numbers as part of its overall functions. However, despite these successes, there are three significant barriers to effective scientific oversight of wildlife trade namely; (a) Lack of trained and experienced capacity in the organizations represented on the Scientific Authority. Unless this is addressed, it will undermine efforts to establish a sustainable and legal wildlife sector. (b) Lack of scientific monitoring of the key species in trade. The absence of credible data creates opportunities for illegal activities and reduces the credibility of any harvest quotas. (c) Lack of an electronic tracking system for trade permits. As a result, it is impossible to assess impacts of trade on wild populations.

The current scenario consists of an established Scientific Authority (15 members) with an ageing cadre of wildlife scientists, many of whom are close to retirement. In terms of the law, once they have served their terms of office, they need to be replaced. Replacing the members has proved problematic due to vacant posts in the provinces or the availability of only young graduates with little or no experience of wildlife trade. Their lack of experience or exposure to different wildlife management issues makes them less able to provide independent advice and exposes them to undue pressure from illegal operations.

At present, some monitoring of wildlife (including plants) is undertaken by provinces and park authorities, particularly for large mammal species. However, there is no coordinated monitoring or population counts for even the most high profile species (e.g. rhino, lion, leopard, elephant). As a result, every time there is an assessment, the Scientific Authority has to compile data from individual counts. This makes it incredibly difficult, if not impossible, to detect the scale or impact of illegal trade and to use this information as part of the decision making process for wildlife trade.

There is no system in place for capturing information on permits issued and actual trade transactions. This means that all trade decisions are made in the absence of information on previous permits or actual trade. This makes it impossible to determine whether trade is sustainable or to reconcile population counts with legal trade in order to determine illegal off take.

In support of CITES implementation, UNEP-WCMC manages the CITES Trade Database on behalf of the CITES Secretariat. The CITES Trade Database is a unique resource that holds over 14 million records of international

trade in wildlife. 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. 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.

The E-permitting system will benefit from the scientific and technical expertise, software and infrastructure that UNEP-WCMC has gained in recent years with implementing similar projects. To facilitate CITES electronic permitting, a foundation with the core CITES datasets is needed. The data (including species names, CITES listings, distribution information, etc.) is already held and managed with the Checklist of CITES Species and Species+. UNEP-WCMC has over 30 years of experience developing and maintaining such infrastructures with very modern examples including Species+ (speciesplus.net), the CITES Checklist (checklist.cites.org), the CITES Trade Database (trade.cites.org) and Protected Planet (www.protectedplanet.net/).

### **3) The proposed alternative scenario, with a brief description of expected outcomes and components of the project**

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

The project will be implemented through 3 components:

#### **Component 1. A centralized system for effective wildlife trade monitoring**

The existing structure of the SASA 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. The member institutions are mandated to employ someone who can participate in the SASA and many of the member institutions are already involved with some level of wildlife monitoring. The intention of this component 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. 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 structures and the SASA.

#### **Outcome 1. Capacity of the South Africa Scientific authority (SASA) is built for effective monitoring of wildlife trade**

This outcome will be achieved through two outputs:

##### **Output 1.1: The SASA staff trained in effective wildlife trade monitoring**

The proposed output aims at having a Scientific Authority that will transition over four years to a membership of young but well trained scientists with accelerated experience of different wildlife trade issues. This will be achieved by identifying young candidates in each of the relevant institutions, together with five interns housed in the South African National Biodiversity Institute, and exposing them to a programme of training and expeditions to fast track their knowledge of wildlife trade. The training will be linked to intensive residential courses along the model of the Organization of Tropical Studies field courses that have been operating in Kruger National Park. 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 trade.

Activities for Output 1.1 include:

**1.1.3. Establish a pool of young wildlife professionals**

This activity will focus on identifying and appointing a pool of 12-15 young professionals with an interest and acumen for wildlife trade. The model will partly follow the experience of SANBI and other biodiversity sector organizations using the 'Groen Sebenza' model of 2-3 year internships followed by uptake into participating organisations. The intention is to source at least five of the trainees from organizations represented on the Scientific Authority and to appoint additional interns on the understanding that they will be absorbed by relevant organizations over the period of the project (12 organizations are represented on the Scientific Authority)

**1.1.2 Annual training courses.**

The courses are aimed at providing the young professionals with a solid understanding of wildlife trade, different wildlife management systems, the role of science in ensuring sustainable trade and increasing their knowledge of illicit activities and how these activities intersect with legal trade. This will be combined with leadership training (positions on the Scientific Authority are often held by senior staff). The intention is it to use residential courses offered by the Skukuza Science Leadership Initiative and the Organization of Tropical Studies based in Kruger National Park.

**1.1.3. Accelerated experiential learning through field expeditions**

This is aimed at overcoming the challenge faced by young and inexperienced scientists when faced with the challenge of determining whether a proposed trade is legal or illegal. The field expeditions are intended to expose them to a wide range of wildlife management systems so they gain firsthand experience of the sorts of issues that will come across their desks when they are making decisions. The expeditions will also be linked to focused interactions with policy makers and scientists from other countries to see how other countries deal with the scientific governance of wildlife trade.

**Output 1.2: A centralized system of wildlife monitoring established**

This output is a coordinated system of wildlife monitoring with centralized/shared information. This 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 exists in the provinces and conservation agencies, so the 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. The Scientific Authority has identified priority species for monitoring and these will be the initial focus. This output will directly related to component 2.

Activities for Output 1.2

**1.2.1. Scoping study.**

This will take place in the first phase of the project and will first examine the existing monitoring activities as well as scope out the needs on a national basis for an effective monitoring system.

**1.2.2. Development of a national monitoring framework for wildlife trade:** this will build on work undertaken over the past five years to determine what monitoring information is required and which species should be prioritized.

**1.2.3. Development of a national monitoring and reporting system.**

This will develop a national reporting system where provinces and other participants can input data that can be analyzed and reported at a national level.

**Component 2. Development of a ready-to-use CITES e-permitting system**

The main aim of Component 2 is to develop a "ready-to-use" CITES electronic permitting (e-permitting) system to effectively implement the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). CITES Parties manage international wildlife trade through the issuance of permits and certificates and subsequent tracking and reporting on levels of trade by Management Authorities. 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. E-permitting would streamline these processes, improve the accessibility of key global datasets and help to detect and prevent illegal trade.

Expected **outcome** of this component is: **Web-based CITES electronic permitting application used by CITES Authorities as a national permitting system.**

The specific outputs under Component 2 included:

**Output 2.1: Ready-to-use CITES e-permitting system in place, is adopted and used as a national permitting system**

This project will develop a ready-to-use CITES e-permitting system:

- based on international standards and norms as recommended in the approved CITES E-permitting Toolkit;
- that incorporates knowledge gained through the development of the South Africa national CITES E-permitting system,
- that builds on the lessons learned from the development of Species+ and the redevelopment of the CITES Trade Database;
- that can accommodate further customization to suit national needs;
- that can be integrated into Customs “Single Window” environments (which allows a single interface or “window” for all related application information when applying for permits); and
- that will offer enhanced security over current paper-based processes.

The system will consist of the following components: (a) Core system to manage the day-to-day permitting process; (b) an Application Programming Interface (API) (or “computer-to-computer linkages) to allow for integration with external systems, including fetching taxonomic and listing data from the CITES Checklist and Species+ and linking with the EPIX Conduit for automatic permit information sharing and reporting and (c) a mobile application for use by Customs officials.

The various IT components of this system will be developed using open source technologies, such as Ruby on Rails as the web framework, EmberJS as the client side Javascript technology, PostgreSQL as the database system holding the various databases, and PostGIS for the geospatial data stored in the databases.

**Output 2.2: An Electronic Permit Information eXchange Conduit (EPIX Conduit) is established for use**

This component of the project will improve the effectiveness, security and timeliness of CITES trade permitting and reporting through the development of an online Electronic Permit Information Exchange (EPIX) Conduit. The EPIX Conduit will enable relevant national authorities to share permit information, in real time and semi-automatically, for efficient permitting and verification purposes. The EPIX Conduit will also allow the national authorities to connect either the national e-permitting system – or the ready-to-use system – to the CITES Trade Database in order to submit verified CITES Annual Report data directly to meet CITES reporting obligations. The overall goal of developing the EPIX Conduit is to enhance the management of legal international trade in wildlife, to reduce illegal trade and to increase the efficiency of the permitting business process.

The outputs will be achieved through the following activities:

**Activity 2.1.1 Scoping study and consultation workshops**

This activity will target at conducting a detailed needs assessment and scoping workshop, Mapping of CITES permitting process, Extracting of lessons learnt and relevant specifications from existing advanced national e-permitting systems and developing use cases to inform the development of the system

**Activity 2.1.2 developing the core of ready-to-use CITES e-permitting system**

This activity will focus at developing the core functionality (in close consultation with relevant CITES Authorities). It will involve designing and implementing trader’s application interface, designing and implementing internal application process, integration with CITES Checklist/Species+, validation of applications based on CITES Checklist/Species+, links with enforcement authorities (customs) and scientific authorities, user management, payment management, annual reporting, developing a mobile application, implementing security and encryption and user testing.

**Activity 2.1.3. Integration with external systems**

Based on the needs identified through the scoping and consultations, this activity allows for integration with relevant systems, including the following: Single windows (centralized national), EPIX Conduit, Reporting into CITES Trade Database, Customs systems, User testing.

**Activity 2.1.4 Migration of existing data into the new system**

This activity will aim at Migration of existing CITES permitting data from the current national permitting system, or the CITES trade database where national permitting data is not held electronically. It will also aim at allowing for migration of national legal data and at user testing.

#### **Activity 2.1.5 Capacity building**

This activity aims at building the capacity of users. It will therefore include: Detailed documentation for developers, User guide, system handover and detailed capacity building for company in South Africa to host and maintain the system after the first year, training workshops for users in the country and CITES CoP presentation to raise awareness amongst broader CITES community.

### **Component 3. Community empowerment, education and awareness**

This component aims at empowering communities to address IWT through education and awareness-raising, so that they could assist governments to improve enforcement of existing laws. It aims also to focus on documenting and show-casing community social development so as to be able to raise awareness on the need to engage communities in other activities away from poaching and IWT.

#### **Outcome 3: Strengthened community policing and ensured communication, advocacy and social development ensured.**

**Output 3.1:** An innovative approach to community policing to benefit rural communities and wildlife in neighbouring protected areas is created, tested and implemented. This will involve developing of models for community policing.

#### **Output 3.2 Communications, Marketing and Advocacy enhanced**

Targeted international communication campaigns will be launched with the main aim of influencing consumer behavioural change and reducing demand for rhino horn in Asian consumer countries such as China and Vietnam. This will be coupled with a local communication campaign to promote wildlife preservation, speak out against poaching, and stimulate behavioural change within communities that are vulnerable to exploitation by poaching syndicates.

#### **Output 3.3: Community Awareness and Social Development promoted**

The success of the fight against wildlife poaching in the protected areas is greatly dependent on the realization of efforts to improve to livelihoods of communities residing on the boundaries of these areas. In the absence of viable economic opportunities, the affected communities are easily influenced to support and harbor the criminal syndicates involved in wildlife crime. Community action plans in target areas will be prepared in consultation with the strategic partners, following which appropriate community development projects will be identified and placed in the project pipeline for fund development and future implementation.

### **4) Incremental Cost Reasoning and expected contributions from the baseline, the GEFTF and co-financing**

The Project will provide incremental funding across the suite of project interventions that builds on the newfound availability of funds to fight wildlife crime at the domestic level, as well as on financing from development assistance that focuses on supporting stronger NRM in pursuit of ending illegal wildlife trade. The Government of South Africa will provide substantive and significant co-financing in cash and in kind for the project related to the proposed interventions (including investments in the Protected Area system, law enforcement on site and along the criminal chain), contributions from the UN Agencies, development agencies (i.e. USAID).

**Without GEF investment in the proposed project**, efforts will continue to be made to tackle the illegal wildlife trade, but potentially in a more ad hoc and less coordinated manner. On site, efforts will be made to improve capacity to combat poaching but ongoing capacity limitations to resolve and manage trafficking intelligence, and lack of technical capacity to adaptively manage anti-poaching activities, will delay responses to fluctuations in poaching behaviour. Consequently, continued investment into conservation interventions, whether by government or donors, may not result in success and funds will be wasted. Total funding available for conservation will remain limited, while a potentially large source of funding, through private investment, remains untapped. Furthermore,

as anti-poaching interventions are implemented in one site, poachers will adapt by shifting their focus onto adjacent sites, resulting in little net reduction in poaching levels. The big five poaching will continue to increase and overwhelm current efforts to tackle the trade, and many rhinoceros populations may become extinct within a few years.

In the absence of GEF investment in a coordinated approach to CITES E-Permitting, countries will likely continue to invest separately in national systems for managing permits, where they can, and those countries lacking significant resources to develop such systems will lag behind. This approach creates duplication of effort, inefficiencies across countries and regions and also has the potential to create significant loopholes in monitoring and detection of illegal trade in the absence of an approach that supports countries at all stages of development. Community awareness and capacity to manage and protect wildlife will remain limited.

**In the Alternative scenario enabled by the GEF**, an electronic permitting system will be developed and tested for conservation, to simultaneously open the door to private investment into site-based conservation and improve the way in which PAs are managed. As part of this, a performance monitoring and management framework will be developed and applied to PA management, improving the effectiveness of interventions implemented in 2 pilot sites holding priority rhinoceros populations. By creating a ready-to-use CITES E-Permitting System, the international community will be equipped with the right tools to monitor international wildlife trade, verify permits and detect illegal trade as it happens. By developing a system that can be used by all – it will create incentives for national governments to use the system and have a joined up approach to monitoring global trade.

In addition, approaches for sustained community awareness and engagement will be developed and tested. At the site level, law enforcement officers are struggling to compete with increasing poaching threats, due to a lack of capacity to gather and manage intelligence information, arrest and prosecute and to put in place technologies that can help to combat the vice.

A key part of South Africa's approach is to work collaboratively with communities living near game reserves and to provide people in those communities with the skills to manage their wildlife and natural resources. In return, they reap the benefits of wildlife tourism while continuing to be custodians of rhinos for future generations.

## 5) Global environmental benefits

This Project focuses on leveraging economies of scale and delivering results more quickly through coordination and knowledge management. Doing this will have immediate and longer term socio-economic benefits for all relevant stakeholders to include all participating agencies and organizations in addition to countries with limited capacity to address wildlife crime. Combating illegal wildlife trade saves species but it also curbs corruption. This also directly benefits local people often kept poor by the bevy of corrupt practices that forestall development and progress. Moreover, combating wildlife crime reduces insecurity and crime in rural areas that otherwise lack the assets that attract crime. It will also ensure species and their habitats are better managed and more resilient, thus creating the conditions for communities to continue to use nature as a social safety net, particularly as climate change uncertainty exacerbates already tenuous lives.

Local and national treasuries benefit in two ways: first, increased revenues from legal trade in natural resources are assured as the risk of contraband entering trade chains is reduced, and legal businesses that benefit from reduced corruption and a better and safer business environment, can provide improved tax revenues. Governments can also legally exploit natural resources in a sustainable way rather than simply watch as that asset is strip-mined, robbed and ruined.

International trade benefits from removing illegal contraband from trade flows, which in turn reduces the cost of surveillance and detection. Removing contraband also speeds up trade flows and reduces the risk of shipments being seized or stopped at borders when legal goods as well as contraband can be held up indefinitely.

### Local benefits

The few surviving species of the big five are emblems for conservation. Given their ecological, economic and conservation importance, rhinoceros are true 'flagship' species whose survival in the landscape is intertwined with the persistence of other wildlife as well as the livelihoods of rural people living in some of the poorest parts of the world, due to the local economic benefits generated through wildlife tourism. In strengthening the conservation

of these species, which will lead to greater populations of species, this project will help to increase the viability of this species as a key tourist attraction, thereby increasing local income from tourism.

The appropriate management of PAs is critical for supporting the socioeconomic development of local rural communities, who depend primarily on natural resources for both subsistence and income. Accordingly, community considerations in protected area management, such as management of human-wildlife conflict, engagement in park management, equitable sharing of benefits and sustainable livelihoods, are key focal areas of national wildlife conservation strategies and PA management plans. This project aims to harmonize these PA management planning guidelines to produce a holistic framework for easily identifying gaps in PA management capacity and planning interventions. This will help to ensure that all community-related aspects of PA management are given equal consideration alongside other all aspects of PA management.

In addition, this project recognizes that, alongside protection and population management, community engagement is a critical factor of successful species conservation. Therefore, when applying the framework to planning interventions in the 2 pilot sites, priority consideration will be given to filling gaps in capacity for engaging with local communities. Interventions may include employment of additional local staff in PA management, the establishment of a fund for community informants, or the installation of fences between wildlife areas and settlements.

In the long term, the project will ensure that community considerations continue to be given the appropriate level of priority, as they will be during the project.

Furthermore, human-wildlife conflict, which not only presents a significant threat to wildlife populations but hinders the socioeconomic 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.

## **6) Innovativeness, sustainability and potential for scale-up.**

While there have been some projects and initiatives to protect single species (i.e. tigers, 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.

### **A.2. Stakeholders. Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes /no ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:**

The Scientific Authority engages stakeholders involved in wildlife trade as part of its legal mandate. Several court cases in South Africa (for the legislation relating to illegal trade activities) have highlighted the importance of consultation by, among others, the Scientific Authority. The activities planned for the Scientific Authority require extensive consultation with private owners of wildlife, provincial conservation authorities, NGOs and communities who manage wildlife.

**Provincial agencies:** The young professionals being trained will be absorbed by the provinces and they will be part of the process to identify and train the interns. The development of wildlife monitoring systems requires strong involvement from provinces. They will be involved in the design of the monitoring framework and the online system for capturing monitoring data.

**Communities:** Communities will be engaged in both the training of interns and the design of the monitoring system. The intention is to expose interns to all forms of wildlife management, including indigenous management systems. A large component of illegal trade involves species used for traditional medicine and the engagement with communities is crucial with regard to this trade.

**Private game owners:** Ca. 17% of South Africa's land is covered by private game farms and the absence of data for wildlife on farms is a critical gap. Private owners will therefore be engaged to develop and implement the monitoring system.

**NGOs:** several NGOs such as the Endangered Wildlife Trust and WWF should participate in the training of young professionals and have facilities and courses that can contribute to the programme (e.g. the wildlife college). In addition, several NGOs are already involved in wildlife monitoring, such as Panthera's monitoring of leopard populations and they will be engaged to help guide the development of the monitoring system.

In support of CITES implementation, **UNEP-WCMC** manages the CITES Trade Database on behalf of the CITES Secretariat. The CITES Trade Database is a unique resource that holds over 15 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 Objective 1 of this project, relating to the monitoring of species to inform the making of non-detriment findings.

**Peace Parks Foundation (PPF)** has entered into an MoU with the Department of Environmental Affairs (DEA) to assist with the development of Transfrontier Conservation Areas (TFCAs) and more recently have jointly launched the Rhinoceros (Rhino) Protection Programme. National rhinoceros strategies and action plans are implemented by both private and public PA<sup>189</sup> management bodies, and a number of governmental and inter-governmental organizations are involved in the development and implementation of policies relating to rhinoceros conservation and wildlife management and trade (both legal and illegal), as illustrated in the table below.

There are many international and national non-governmental organizations (NGOs) also concerned with the conservation and management of rhinoceros species and populations, including through site-based protection, awareness-raising and through tackling demand for rhinoceros horn. Some key organizations are listed below:

**TRAFFIC, the wildlife trade monitoring network**, has a mission to 'ensure that trade in wild plants and animals is not a threat to the conservation of nature'. It has played a key role in raising awareness and increasing communication of the upsurge in rhinoceros poaching, and in encouraging action to combat the issue. In addition, it facilitated the collaboration between law enforcement agencies in South Africa and Viet Nam in 2010. It supports the strengthening of customs capacity in airports, seaports and postal distribution centers, and also supports the monitoring and registration of rhinoceros horn stocks, to prevent their infiltration into the illegal trade.

**WWF** has a goal 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 provide 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. In Asia, WWF has spent the last 40 years implementing anti-poaching measures and supporting local arrest and prosecution capacity. It is now also working to reduce consumer demand for rhinoceros horn. WWF also aims to protect and restore Asian rhinoceros habitat in order to increase resources available and promote population growth; in addition it is working in the buffer zones of PAs to support communities to use their natural resources more sustainably.

***Table 2. Key stakeholders of wildlife conservation in Southern Africa***

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1. <sup>189</sup> A protected area is a clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long term conservation of nature with associated ecosystem services and cultural values. IUCN Definition 2008

Country	Private sector and Communities	International and National NGOs	Government	Multi-agency National	Inter-governmental
South Africa	Private sector: conserves wild animals and provides much of the land for range expansion, but this is changing in the face of increasing poaching risks.  Community ownership/custodianship of wildlife is limited.	Wilderness Foundation (South Africa) Peace Parks Foundation	Department of Environmental Affairs (DEA); SANParks and Provincial conservation agencies from the nine provinces; SANBI SA Police Hawks; SA Department of Justice; SA National Prosecution Service; SA Revenue Service and Asset Forfeiture Unit; SA Defense Force; SA Customs.	National Wildlife Crime Reaction Unit  National Scientific Authority, the science oversight committee for all wildlife trade National Joint Operational and Intelligence Structure (NATJOINTS); the top security committee in the country)	Interpol, CITES, IUCN SSC AfRSG, SADC Rhino Management Group, SADC region's Rhinoceros & Elephant Security Group/Interpol Environmental Crime Working Group SADC Region's High-level task force

**A.3 Risk.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

The following initial sets of risks have been identified

Risks	Rating	Preventive Measures
Conflicts of interest and different priorities of stakeholders constrain implementation of activities	High	Needs and priorities of stakeholders will be identified, and constructive dialogue, joint planning and problem solving will be promoted through the coordination mechanism. The case of economies of scale will be highlighted and the fact that illegal wildlife trade can only be reduced through a global effort involving supply, transit and destination countries.  Experience from the UNEP-GEF Rhino (GEF 5) has demonstrated that information sharing amongst stakeholders, including national law enforcement agencies, is difficult to achieve. No agency has a mandate to share information and private land owners, who have a significant percentage of wildlife, including rhinos, have refused to share information with DEA. This will be an impediment to <b>Output 1.2: A centralized system of wildlife monitoring established</b>
Capacity limits of supply, transit and destination IWT countries especially institutional and human resources needs	Moderate	Capacity determines implementation and scope. Project design recognises this and there are several innovative approaches proposed to promote rapid learning whilst doing. An entire component is dedicated to Knowledge Management with e-learning, and exchanges forming important parts. A Lesson learnt from other regional, global projects was a technical strong and supportive Programme Coordination Unit that is able to assist and mentor national counterparts is necessary. During the PPG, this lesson will be further advanced through the design of the complement staff of the PCU.
Reducing wildlife poaching and illegal trade is complex. The involvement of militia and highly organized crime result in serious cases of heavily armed men killing park guards, in highly sophisticated smuggling and use of corruption and money laundering for the ivory trade.	Moderate	Organisations such as the UN Office on Drugs and Crime (UNODC), the World Customs Organization (WCO), the CITES Secretariat and INTERPOL will be involved in project execution in some manner, however, coming up with a design that can tackle such a large program will be challenging. The project is designed using the best intelligence and experience to date to address this risk and will be very explicit about all the risk in the final design. By taking an analytical approach to diagnosing specific problems, and, by building constituencies and co-designing custom solutions, this risk is minimized.
Important supply, transit and destination countries in	Moderate	The South-South Wildlife Crime via Maritime Shipping coordination mechanism will be established where all countries in the trafficking cycle will be invited and hopefully

the ivory trade between Asia and Africa might not join the program allowing alternative routes to be found for trafficking		be presented. Existing mechanisms e.g. ASEAN Wildlife Enforcement Network will be used to facilitate countries' participation. The loss of economic opportunities due to illegal wildlife trade argument will be also be used to convince supply countries to be involved, transit and destination countries will be targeted in that their citizens are causing economic loss in other countries. Convention secretariats e.g. CITES will also be involved and request member countries to join the programme.
Governmental agencies / private companies unwilling to share information / data	Low	Information and knowledge generation, management and dissemination are a key component of this project. Open-access and the mutual benefits of information sharing will be included in all agreements for databases, websites, etc. sponsored by the project.

#### A.4. Coordination. Outline the coordination with other relevant GEF-financed and other initiatives

Lessons learned from the UNEP/GEF Project “Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa (target: rhinoceros)” will be shared and disseminated at appropriate venues in the current project. The project is now underway, and seeks to: (1) improve effectiveness of forensic capacity techniques, procedures, training, equipment and institutional arrangements to combat rhino poaching in South Africa’s protected areas and the associated illegal trade in rhino horn, with service providers put onto a sustainable financial and institutional footing; (2) improve gathering and analysis of relevant data and enhanced national coordination platforms for information management and threat forecasting to combat rhino poaching and the associated illegal trade in rhino horn within and outside South Africa’s Protected Areas system; and (3) improve cooperation and exchange between South Africa and other relevant countries to tackle poaching of rhinos and the illegal trade in rhino horn along the whole trafficking chain. The inclusion of the UNDP and the World Bank and other key partners on the Project Steering Committee will ensure that coordination with the wide range of GEF funded projects completed, under implementation, or planned will be duly considered in the strategic planning of interventions for the current project.

The project contributes to achieving the UNEP Environmental Governance Programme of Work (POW) for 2014-2017 as it relates to the following expected accomplishment: ‘The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced’.

The project also relates to the Ecosystem Management POW Expected Accomplishment c), by focusing on the collaborative efforts aimed at strengthening the science-policy interface at global, regional and national levels and assisting countries to create the necessary institutional, legal and policy conditions to integrate goods and services into their development planning, decision making and poverty reduction measures.

This project has commonalities with dozens of other GEF and non-GEF interventions, and the project team will reach out to representatives of each of these projects to engage in dialogue, seek collaboration, and initiate sharing of knowledge and best practices.

Furthermore, the UNEP Regional Office for Africa will support the promotion and integration of the outcomes from this project in the Planning Processes and South Africa’s UNDAF, as well as provide a platform for dissemination of results, and provision of technical support to countries.

Project is aligned with South Africa’s UNDAF (2013-2017) outcome 10: Environmental assets and natural resources that are well-protected and continually enhanced <http://www.undg.org/docs/13427/UNSCF-SA-2013-17-w-signatures.pdf>.

#### Description of the consistency of the project with:

**B1. Is the project consistent with the national strategies and plans or reports and assessments under relevant conventions? (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.**

This project will contribute to achieving Target 12 of the Aichi Biodiversity Targets: “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.” The stakeholders involved have identified poaching and the illegal wildlife trade as a significant threat in their National Biodiversity Strategies (NBSAPs)

South Africa is a major hub for global wildlife trade. Sustainable use of wildlife is recognized in the South African 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.

There is increasing recognition by government that this sector can help South Africa meet conservation targets (e.g. AICHI target) while also contributing significantly to economic growth and uplifting of poor rural communities. Using an example of rhinos as one of the BIG FIVE, the laws for rhinoceros conservation and management vary between each rhinoceros range state. For example, in Nepal, under the National Parks and Wildlife Conservation Act, 1973, the killing of a greater one-horned rhinoceros can result in a fine of up to NPR100,000 (USD1,000) and/or imprisonment up to 15 years. In contrast, in South Africa, under the National Environmental Management: Biodiversity Act 2004, which was updated in 2013, the illegal hunting of rhinoceros can result in penalties of up to R10 m (USD870,000) and/or 10 years' imprisonment. Up until 2014, Mozambique's Law on Forestry and Wildlife stated that the illegal hunting of any endangered species is punishable with a fine of up to USD3,000; these laws were updated in April 2014 and penalties can now be as great as USD90,000 and/or 12 years' imprisonment. Kenya's new Wildlife Act (2013) has also significantly strengthened its penalties, and poaching or dealing in trophies of endangered species can result in a fine of KES20m (USD220,000) or imprisonment for life.

All rhinoceros species are listed under Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), prohibiting international trade in specimens of the species except the South African and Swaziland populations of *Ceratotherium s. simum*, which are listed under Appendix II 'for the exclusive purpose of allowing international trade in live animals to appropriate and acceptable destinations and hunting trophies'<sup>190</sup>. In 2009 a moratorium on domestic trade of rhinoceros horn was imposed in South Africa, but, having seen the continued surge in demand for rhinoceros horn since 2008 despite the ban, and with concerns among some stakeholders that the ban had exacerbated the trade, discussions regarding the viability and risks of legalising the trade in rhinoceros horn are heavily underway<sup>191,192</sup>.

At the World Conservation Congress in 2012, the IUCN adopted a formal resolution on the Conservation of rhinoceros species in Africa and Asia, which called upon rhinoceros range states to give priority to securing their rhinoceros populations, bringing illegal hunting and trade under control and minimising the illegal trade, while also encouraging the expansion of rhinoceros ranges and rapid growth in populations. It also called upon those states implicated in the increase in demand for rhinoceros horn to cooperate with rhinoceros range states to address the poaching threat; and called upon donors to ensure that financial resources are available to range states to secure their populations.

The over-arching strategic framework for rhinoceros conservation in Africa is provided by the IUCN Species subcommittee (SSC) Africa Rhino Species Group (AfRSG) in the form of the African Rhino Status Survey and Conservation Action Plan<sup>193</sup>. Some of the main activities of the AfRSG are as follows:

- To provide scientific advice to the CITES Secretariat and Parties to inform decision-making.
- To recommend best practice and capacity building of range states and their rhinoceros programmes.
- To facilitate information-sharing across range states and civil society regarding rhino-related issues.
- To enhance rhinoceros conservation through the development of rhinoceros conservation plans, strategies and policies.

The African Rhino Status Survey and Conservation Action Plan includes strategies regarding rhinoceros population monitoring; biological management; field protection; law enforcement strategies; the criminal justice system; active involvement of communities; sustainable use options; applied research and captive breeding. It advises range states to focus conservation efforts on those populations identified as 'Key' or 'Important'.

The Africa Rhino Species Group (AfRSG) have supported all major rhinoceros-range States in developing rhinoceros conservation and management strategies at national and continental levels based on agreed best practices. Common strategic themes include: protection and law enforcement; monitoring for management; biological management; population expansion; coordination and capacity; awareness and public support; and community involvement. In Africa, the AfRSG, Southern African Development Community (SADC) Regional Programme for Rhinoceros Conservation, SADC Rhinoceros Management Group and Rhinoceros and Elephant Security Group/Interpol Environmental Crime Working Group have created national and organisational rhinoceros plans, harnessing a wide range of local expert rhinoceros conservation knowledge, experience and input.

2. <sup>190</sup> CITES (2014). Appendices I, II and III. of the Convention on International Trade in Endangered Species of Wild Fauna and Flora. Valid from September 2014. Switzerland.

3. <sup>191</sup> Taylor, A., Brebner, K., Coetzee, R., Davies-Mostert, H., Lindsey, P., Shaw, J. and Sas-Rolfes, M. (2014). The viability of legalising trade in rhino horn in South Africa. Department of Environmental Affairs, Republic of South Africa

4. <sup>192</sup> International Rhino Coalition (2014). Assessing the risks of rhino horn trade. A journal of arguments presented at the April 2014 conference in South Africa.

5. <sup>193</sup> Emslie, R.H.; Brooks, M. (1999) African rhino: status survey and conservation action plan. IUCN/SSC African Rhinoceros Specialist Group, Gland and Cambridge. pp. 92

As an example, South Africa has several rhinoceros conservation strategies and plans in place. The South African Black Rhinoceros Biodiversity Management Plan 2011-2020 (approved by the Minister of Water and Environmental Affairs under the National Environmental Management: Biodiversity Act 2004) includes a number of proposed actions and strategies to minimize losses of rhinoceros through illegal activity. These include: developing adequate ground surveillance, detection and reaction capabilities; motivating staff effectively in anti-poaching procedures; ensuring adequate communications for coordination of patrols and reactions to incursions; to develop and implement an intelligence gathering programme. The South African White Rhinoceros Biodiversity Management Plan 2014-2019 details similar strategies. South Africa's Department of Environmental Affairs has also produced a National Strategy for the Safety and Security of Rhinoceros Populations in South Africa. This strategy recognizes that an adequate number of highly motivated, well-trained, resourced and equipped personnel is the single most important factor to ensure the success of proactive and reactive operations aimed at countering rhinoceros poaching

## **17. Combating poaching and the illegal wildlife trade in Tanzania through an integrated approach**

### **PART I: PROJECT INFORMATION**<sup>194</sup>

Project Title:	<b>Combating poaching and the illegal wildlife trade in Tanzania through an integrated approach</b>
Country(ies):	Tanzania
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Natural Resources and Tourism (MNRT)
GEF Focal Area(s):	Biodiversity

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**<sup>195</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-2 Reduce threats to globally significant BD; Program 3 Preventing the extinction of known threatened species	GEF TF	3,753,211	16,800,000
LD-3 Reduce pressures on natural resources by managing competing land uses in broader landscapes; Program 4 Scaling-up sustainable land management through the Landscape Approach	GEF TF	887,431	4,000,000
CC-2 Demonstrate systemic impacts of Mitigation Options; Program 4 Promote conservation and enhancement of carbon stocks in forest and other land-use, and support climate smart agriculture	GEF TF	713,945	3,200,000
Total Project Cost		<b>5,354,587</b>	<b>24,000,000</b>

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

<b>Project Objective: To combat poaching and the illegal wildlife trade in Tanzania through an integrated approach.</b>				
Project Components	Financing Type <sup>196</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Strengthening capacity for effective BD management and addressing IWT in Tanzania.	TA	1.1. National Strategy to Combat Poaching and IWT implemented to promote the value of wildlife and biodiversity for Tanzania's national development and to combat IWT through a coordinated approach.  <i>Indicators: Significant improvements in capacity of key role-players as indicated by customized Capacity Development Scorecard.</i>	1,189,908	7,619,047
2. Reducing poaching and illegal trade in threatened species in targeted landscapes	TA/INV	2.1. Wildlife crime is combated in and around targeted sites – Katavi, Selous, Greater Ruaha ecosystem – covering a total of 117,000 km <sup>2</sup> [not including corridors or buffer zones, to be	2,379,817	8,571,429

<sup>194</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how

it will contribute to the overall Program.

<sup>195</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>196</sup> Financing type can be either investment or technical assistance.

		determined at PPG] through strengthened enforcement operations on the ground. <i>Indicators: Biodiversity enforcement improved over 117,000 km<sup>2</sup> across the Katavi, Selous, Greater Ruaha ecosystems [not including corridors or buffer zones, to be determined at PPG]; Increased numbers of arrests, prosecutions and convictions [to be determined at PPG].</i>		
3. Enhancing management of natural resources for sustainable rural socio-economic development.	TA/INV	3.1. Local communities and private sector enterprises involved in co-management of natural resources, which supports i) reduced wildlife crime; ii) participation in monitoring wildlife and wildlife crime, iii) effective co-management of wildlife and their habitats; iv) reduction in human-wildlife conflict; vi) sustainable local income generation, through sustainable land management and climate-smart agriculture, sustainable use of wildlife resources and benefit sharing. <i>Indicators: Establishment of community-based IWT monitoring network; Number of small grants disbursed in support of SLM and CBRNM; sustainable land management practices implemented over &gt;XX ha; XX metric tons of CO<sub>2e</sub> mitigated [to be determined at PPG].</i>	1,529,882	6,666,667
Subtotal			5,099,607	22,857,143
Project Management Cost (PMC) <sup>197</sup> at 5%			254,980	1,142,857
<b>Total Project Cost</b>			<b>5,354,587</b>	<b>24,000,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME\*

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	UNDP	Grants	1,000,000
Recipient Government	Ministry of Natural Resources & Tourism	Grants	8,000,000
Recipient Government	Ministry of Natural Resources & Tourism	Grants / In-Kind	6,000,000
Donor Agency	USAID	Grant	8,500,000
CSO	Wildlife Conservation Society	Grant	250,000
Donor Agency	KfW	In-Kind	250,000
<b>Total Co-financing</b>			<b>24,000,000</b>

\*The cofinance for this project is an indicative at this stage, to be confirmed at PPG

<sup>197</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

## D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEFTF	Tanzania	Biodiversity		3,753,211	337,789	4,091,000
UNDP	GEFTF	Tanzania	Land Degradation		887,431	79,867	967,300
UNDP	GEFTF	Tanzania	Climate Change		713,945	64,225	778,200
<b>Total GEF Resources</b>					<b>5,354,587</b>	<b>481,913</b>	<b>5,836,500</b>

u) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

w) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

## PART II: PROJECT JUSTIFICATION

### Project Overview

**The Issue:** Tanzania is a major repository of globally significant biodiversity, ranking amongst the top countries in tropical Africa in terms of the number of distinct eco-regions represented, and in species richness and endemism. Tanzania lies at the meeting point of six major bio-geographic zones and has over thirty major vegetation communities, housing more than 11,000 plant species with >15% endemism. In terms of vertebrates, there are 300+ mammal species, over 1100 species of birds, with 56 species of global conservation concern, and over 350 species of herpetofauna, of which at least 100 species are endemic.

Protected areas provide the principal means for protecting Tanzania's biodiversity values, and cover 27% of the land area (almost 250,000 km<sup>2</sup>) with 651 protected areas sites. In addition to protected areas, Tanzania aims to conserve its biodiversity through sustainable resource use within wildlife corridors and buffer zones in demarcated Wildlife Management Areas (WMAs). A host of iconic mammal species such as elephant (*Loxodonta africana*), black rhino (*Diceros bicornis*), lion (*Panthera leo*), cheetah (*Acinonyx jubatus*) and leopard (*Panthera pardus*), plus vast populations of grazers such as wildebeest, inhabit Tanzania's protected and unprotected lands.

Thus wildlife are not only a source of wonder and inspiration, but constitute an important resource that contributes substantially to Tanzania's economy through tourism. The industry, which is wildlife based, accounts for 17% of total national GDP and employs more that 400,000 people across the country. It has great potential to support the economic development of rural communities, living adjacent to wildlife protected areas.

**Threats:** Tanzania's biodiversity faces a number of major threats.

- *Poaching and illegal wildlife trafficking.* Elephants and rhinos are some of the most valuable species for wildlife tourism. However, in recent years the poaching of elephants and rhinos has surged at an unprecedented rate. It is thought that 35,000 elephants<sup>198</sup> are now killed per year for their ivory, for which there is strong and rising demand in the Far East, particularly in countries such as China and Thailand, although the United States of America (USA) and Europe are also major consumers. The Tanzania Wildlife Research Institute (TAWIRI) has estimated that Tanzania's elephant population may become extinct within seven years if current rates of decline continue.<sup>199</sup> Tanzania holds approximately 73% of Eastern Africa's elephant population<sup>200</sup> and is a primary source for the illegal trade in ivory. Tanzania was responsible for the seizing of 21.8 tons of ivory between 2009 and 2011; by far the greatest weight of trafficked ivory

<sup>198</sup> G. Wittemyer, J. M. Northrup, J. Blanc, I. Douglas-Hamilton, P. Omondi, K. P. Burnham. **Illegal killing for ivory drives global decline in African elephants.** *Proceedings of the National Academy of Sciences*, 2014.

<sup>199</sup> African Wildlife Trust, 2013. Tanzanian elephants could be extinct within seven years. [online] Available at: <http://africanwildlifetrust.blogspot.co.uk/2013/05/tanzanian-elephants-could-be-extinct.html> [Accessed 25 November 2013]

<sup>200</sup> The Elephant Database: <http://www.elephantdatabase.org/>. In: UNODC, 2013. *Transnational Organised Crime in Eastern Africa: A Threat Assessment*. United Nations Office on Drugs and Crime.

among African countries. Tanzania's position on the East coast of Africa also serves as a key point along the illegal wildlife trade route and is therefore most vulnerable to these threats. Since the elephant is a keystone species of the African savannah ecosystem, the effects of their extinction on these habitats and all other savannah species would be devastating. With both elephants and rhinos being such iconic mammals of Africa and attractive species for tourist viewing, their absence would adversely impact Tanzania's tourism sector significantly. This would consequently impact on the socio-economic development of rural communities, preventing Tanzania's achievement of its national priorities such as its Vision 2025 and the MDGs. The illegal wildlife trade also poses a great threat to the security of the country, fuels corruption and results in the loss of vital biodiversity.

- *Human-Wildlife Conflict.* Population growth and poor land use planning has resulted in the blockage of critical migratory routes and dispersal areas for wildlife. This has contributed to an increase in human-wildlife conflicts. These conflicts most often include crop destruction by herbivores such as elephants and wild pigs, or predation of livestock by carnivores such as hyenas and lions. Since the economic losses from these conflicts generally override any gain each household may make from selling their produce, and often mean a loss of food for basic living, households are forced to retaliate against these pest species. Elephants and lions are particularly persecuted species and human-wildlife conflict has been a significant contributor to their decline across Africa, since there is little incentive to conserve these animals. Furthermore, this conflict, plus the income generated from ivory and other animal parts, serves as a significant incentive to become involved in poaching directly.

**Baseline:** The following initiatives and programmes constitute the baseline for the proposed project.

- *National Task Force (NTF):* Tanzania's National and Transnational Serious Crime Unit (National Task Force, NTF) was established within the Criminal Investigation Department (CID) in 1998 to address serious national crime, including terrorism, armed robbery, human trafficking, poaching, albino murders, drugs trafficking and piracy. With members from the Tanzania Police Force (TPF), the Tanzania People's Defence Force intelligence department, immigration intelligence department and Tanzania Intelligence and Security Service (TISS), as well as others, NTF is well placed to provide strong collaboration and coordination between agencies for criminal investigations and law enforcement.
- *Wildlife Management Areas (WMAs):* In order to tackle rural poverty in Tanzania, the formal implementation of Wildlife Management Areas (WMAs) began in 2003. The 19 WMAs now in existence cover roughly 3% of land in Tanzania. WMA regulations, updated in 2012, promote transparent governance, clear community ownership of resources, and sharing of benefits accrued from wildlife utilization. Some of the successes achieved by these WMAs include: increased protection of important dispersal areas and wildlife corridors; greater power devolved to communities; greater benefits received by the communities and improvement in social infrastructure; a clearer framework for private sector investments in wildlife areas; and improved biodiversity conservation in some areas.<sup>201</sup>
- *Tanzania Wildlife Protection Fund (TWPF):* The Tanzania Wildlife Protection Fund (TWPF) was established in 1978 under an Act of Parliament. The objective of the TWPF is to facilitate and support the following: wildlife conservation inside and outside PAs, for anti-poaching operations and law enforcement; operations of the wildlife protection unit; conservation of wildlife; development of communities living in rural areas adjacent to wildlife PAs; conservation education, training and awareness creation in wildlife matters; capacity building in wildlife management; wildlife management research; and any other activity related to wildlife conservation. The Fund is supported by the parliament, with funds sourced through the following means: 25% of proceeds of sale of every animal, trophy, weapon, vehicle, vessel, aircraft, tent or other article forfeited pursuant to WCA no. 5 of 2009. In addition, any sum or property which may in any manner become payable into the fund; and any sum or donation, bequest, gift, grant given by other agencies, institutions, persons or government/international organisations.
- *Tanzania Wildlife Management Authority (TAWA):* The Tanzania Wildlife Management Authority (TAWA) is currently being established, under WCA no. 5 of 2009, in order to help manage wildlife in areas

<sup>201</sup> Tetra Tech ARD and Maliasili Initiatives 2013. *Tanzania Wildlife Management Areas evaluation*. Final evaluation report for review by USAID.

outside jurisdiction of the Ngorongoro Conservation Area Authority and Tanzania National Parks Authority (TANAPA). Some of TAWA's functions will include: to address all land use conflicts affecting wildlife in collaboration with relevant authorities; to manage human-wildlife conflict in collaboration with other wildlife management institutions; to ensure the systematic management of financial, human and natural resources for the conservation of wildlife; to collaborate with other institutions, private sector and communities to increase wildlife-based investments; to undertake law enforcement and curb the illegal offtake of wildlife resources; to participate in implementation of government commitments to national, regional and international obligations with regards to the development of the wildlife sector.

**Barriers:** This project is structured around the two main barriers currently hindering the fight against poaching and illegal trafficking of wildlife in Tanzania:

*Lack of National Coordination:* Wildlife crime is a transnational crime and therefore requires strong collaboration between law enforcement agencies both across borders and between supply and consumer countries. This level of international collaboration in law enforcement is currently lacking in Tanzania. Various international taskforces have been established, such as the Lusaka Agreement Taskforce; however, the latter lacks in expertise and support for data sharing and communications. However, coordination uses go beyond this. National coordination is lacking: line ministries do not communicate effectively nor do they share expertise. Home Affairs do not link with Natural Resources for example, to the level that they could do. A national system for coordination or requested between ministries and departments that are relevant to tackling wildlife crime, such as immigration, customs, police, the judiciary and natural resources. The multiplicity of stakeholders and differences in stakeholder goals also hampers law enforcement and anti-poaching efforts. Different stakeholders hold differing views on wildlife conservation and on the strategies to be employed preventing coordinated engagement. However various consensus building initiatives within the government and with other stakeholders in the private sector, NGOs and international partners is building momentum for a shared vision. Implementation of controls for wildlife trade under CITES (not just ivory and horn) need to be improved and professionalised. This includes improvements to the legal trade in wildlife permitting, tracking and oversight, including MNRT, Ports Authorities, Customs Officers, Border Agents, Airport Regulations etc. A national strategy has been formed which focuses in interministerial and interagency coordination and cooperation but this need to be put into practice.

*Limitations in law enforcement capacity:* A primary barrier obstructing effective law enforcement for wildlife and forestry crime is that, despite the implications of wildlife trafficking with corruption, civil unrest and violence, national economic damage, wildlife crime is not recognised as a serious crime, and therefore there are no systems in place to link criminal activities in national parks (for example) to national police and criminal investigative services. Currently, the WD and TANAPA have their own anti-poaching units, the NTF has a department for anti-poaching, and TAWA is concerned with land outside of national parks and the Ngorongoro Conservation Area, but insufficient communication (both within the wildlife sector and between that and security sectors) results in efforts made by anti-poaching units often being ineffective due to lack of investigative capacity. In turn, NTF anti-poaching departments are ineffective due to lack of communication with conservation managers; this allows criminal activities to continue, in some cases at a highly sophisticated level, with minimal risk of exposure. Gaps and weaknesses in legislation are being exploited by poachers and organized criminals and reduce the ability of law enforcement officials to tackle these crimes. Capacity and resources available for law enforcement in and out of protected areas is generally weak. Rangers are ill equipped and insufficiently trained in patrolling, evidence gathering and data recording to effectively enforce the law. In addition, given the size of many protected areas, the number of staff often remains inadequate in controlling criminal activity due to the fact that law enforcement activities are relatively basic and routine, with a relatively randomised spread of effort, and so rely on numbers of staff and area coverage of monitoring to increase chances of arrest. A lack of intelligence-led law enforcement is restraining the ability to better target efforts and resources. Of the 1,115 staff of the Wildlife Division, only 50 are trained as intelligence officers.<sup>202</sup> With better intelligence of the type and

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<sup>202</sup> Ngowi, J. (Wildlife Division) 2013. Capacity gaps of the Wildlife Division. (Personal communication, November 2013)

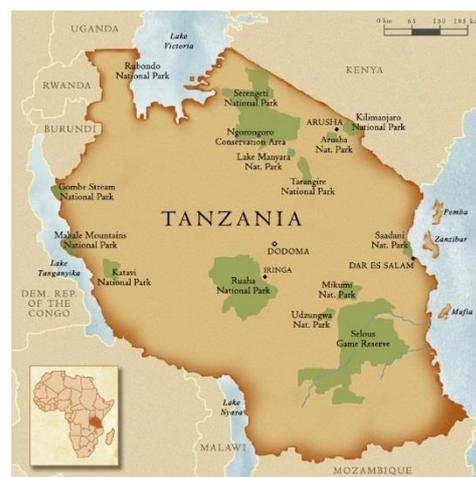
location of criminal activity, efforts may be targeted at specific geographical areas, with appropriate resources and support allocated based on the intelligence findings, thereby greatly increasing efficiency.

*Limited Co-Management and Community Benefits:* A barrier to combating poaching in the southern circuit of Tanzania is the lack of involvement by communities in the positive benefits generated by wildlife based tourism. Until recent years, despite policies for decentralization, Tanzanian governance of wildlife areas has been largely centralized, with the MNRT controlling the management of all natural resources and all related revenue generation through TANAPA (which manages the NPs), the NCAA (which manages Ngorongoro Conservation Area) and the Wildlife Division (which manages other PAs, including Game Reserves and Game Controlled Areas, and unprotected areas). The decentralization that has occurred is related to the creation of Wildlife Management Areas (WMAs) which have enabled limited benefits to communities in the south from game meat and trophy hunting. However the WMA model has yet to come to majority and see significant benefits flowing to the communities. As with many other countries, inadequate sharing of benefits amongst local stakeholders results in overall losses experienced by rural communities who also bear the costs of living amongst wildlife, including damage to crops and livestock. A lack of alternative livelihood opportunities keeps rural communities in poverty and can provide an incentive to get involved in poaching directly or indirectly. Related to this is a lack of extension support and inputs which leads to unsustainable farming practices such as ‘slash-and burn’ that cause land degradation, loss of carbon stocks, low crop yields and depletion of soil fertility. Support is needed for the diversification and enhancement of income generating activities for benefits to reach households more directly.

### The Alternative Scenario

**The long-term solution** is to strengthen capacity to tackle poaching and wildlife trafficking in and around targeted sites in the **Southern Circuit of Protected Areas** in Tanzania, covering a total of approximately 117,000 km<sup>2</sup> [not including buffer zones or corridors], including:

- The extensive Katavi-Rukwa-Lukwati ecosystem in south-west Tanzania, which encompasses Katavi National Park (the country’s third largest park), Rukwa, Lukwati and Luafi Game Reserves and numerous forest reserves, covering 25,000 km<sup>2</sup>;
- The Selous Game Reserve (and UNESCO World Heritage Site) in the south of Tanzania, which is one of the largest faunal reserves in the world, covering 54,600 km<sup>2</sup>;
- The Greater Ruaha Landscape (GRL), which encompasses Ruaha National Park (RUNAPA), Kisigo, Rungwa and Muhesi Game Reserves as well as a number of Game Controlled Areas (GCAs), Wildlife Management Areas (WMAs) and open areas, covering 37,000 km<sup>2</sup>; and
- A suite of wildlife corridors and buffer zones [to be determined at PPG], which are important for ensuring the long term health and effective management of the Southern Circuit.



The project will address both supply and demand aspects to tackle poaching and IWT, including: strengthening the national biodiversity and IWT governance framework; strengthening cross-sectoral collaboration and coordinated, intelligence-led law enforcement on the ground; increasing community involvement in wildlife crime enforcement and monitoring activities; promoting sustainable livelihoods that reduce dependency on vulnerable habitats/wildlife; and raising awareness of conservation and wildlife crime, and the ivory trade, among citizens and authorities in Tanzania and in neighboring countries.

This will be achieved through three interconnected components with the set outcomes, as summarised in the project framework table in Section B. This project will implement activities at three geographic levels; the national (central government) level in Tanzania; at a number of key sites within Tanzania that harbour globally significant biodiversity threatened by increasing rates of wildlife crime and poor management; and a small and select number of activities designed to facilitate transboundary coordination to prevent IWT. The project will evaluate its impact

against the rate of loss of biodiversity within Tanzania, achieved through improved biodiversity management in targeted sites and a reduction in wildlife crime.

### **Component 1: Strengthening capacity for effective biodiversity and IWT governance in Tanzania.**

- Outcome 1.1. The National IWT Strategy is implemented to promote the value of wildlife and biodiversity for Tanzania's national development and to combat IWT through a coordinated approach.

#### Outputs:

- 1.1.1. A Ministerial Committee on Wildlife Security will be formed, chaired and hosted by the Minister for Natural Resources and Tourism to provide oversight of the newly formed national Wildlife Crime Unit (to be housed in MNRT's Wildlife Division; see below). Other line ministries, including the Ministry of Defense, Office of the President and Ministry of Home Affairs, will serve as members of the Committee.
- 1.1.2. A national-level inter-agency Wildlife Crime Unit (WCU) will be established within MNRT to unite the wildlife and security sectors in addressing wildlife crime. The WCU include members of the Wildlife Division, the nascent Tanzania Wildlife Management Authority (TAWA), Tanzania National Parks (TANAPA) and Tanzania Forest Services (TFS), with secondments from the police, judiciary, customs, immigration, intelligence and public prosecutions.
- 1.1.3. Tasking and Coordination Groups (TCGs) will be set up to tackle poaching and IWT on the ground in the project's target sites of Katavi, Greater Ruaha and Selous. The 'inter-agency' TCGs, reporting to the national WCU, will be resourced to achieve intelligence-led enforcement in support of Wildlife Division rangers/TAWA, National Park rangers, the police and local government rangers in key ecosystem-level poaching and IWT hotspots.
- 1.1.4. A National Wildlife Security Doctrine will be formulated and implemented to provide a recognized and accepted framework of best practice guidelines for every level of wildlife security. This will include elements on ranger welfare to inter-agency cooperation and coordination. It will act as a national wildlife security plan and guide every level of implementation of Tanzania's IWT Strategy.
- 1.1.5. The national policy and legislative framework will be strengthened to ensure greater support against wildlife crime. A process will be conducted to review current policies and legislative frameworks and to strengthen these in order to deter poachers and illegal traders.
- 1.1.6. A national assessment of Tanzania's wildlife and forestry crime issues, the mitigation required and relevant capacity needs will be completed to gain full understanding of the true situation and the degree of support required.
- 1.1.7. A national system for monitoring wildlife crime cases will be established and operationalized for the first time.
- 1.1.8. The capacity of key staff (including relevant ministries and agencies including the police, judiciary, customs, police, immigration, intelligence, etc.) will be developed in relation to IWT legislation, enforcement systems, intelligence gathering, forensic investigations, human resources management and operations management, etc.
- 1.1.9. Transboundary cooperation will be strengthened with neighboring countries to promote enforcement [border controls, immigration, INTERPOL, UNODC].

### **Component 2: Reducing poaching and illegal trade of threatened species [site level]**

- Outcome 2.1. Wildlife crime is combated through strengthened enforcement operations in and around targeted sites [Katavi, Selous, and the Greater Ruaha ecosystems covering approximately 120,000 km<sup>2</sup>] and key trafficking routes/hubs.

#### Outputs:

- 2.1.1. Enforcement and crime scene management capacity (forensic, judiciary, police, intelligence) is strengthened in and around target sites to proactively target criminal activities, support criminal investigations and prosecute wildlife crime cases.

- 2.1.2. Capacity development and training support is provided to the staff of the newly formed inter-agency TCGs to ensure that they are fully operational and can function effectively as mobile rapid response units.
- 2.1.3. Capacity development and training support is provided to the national cadre of rangers, who are responsible for mobilizing TCGs to respond rapidly and effectively to arrest suspected criminals and prevent loss of threatened species, including training support to rapid response teams.
- 2.1.4. Basic infrastructure and field equipment (e.g. equipment, field transport, communications/radio, GPS, night vision, etc.) are deployed for rapid responses to poaching and IWT threats.
- 2.1.5. Improved mechanisms for biodiversity monitoring and data collection are set up to support intelligence gathering to prevent wildlife crime.
- 2.1.6. Private sector enterprises (e.g. tourism) and NGOs are integrated into dialogue with government on their role in combating IWT and wildlife/habitat protection.
- 2.1.7. Intensive, collaborative law enforcement mechanisms are put in place across all poaching hotspots, common transport routes and country exit/entry points to prevent IWT [especially Zanzibar, Mtwara and Dar Es Salaam Ports Authorities].

### **Component 3: Enhancing management of natural resources for sustainable rural socio-economic development.**

- Outcome 3.1. Local communities and private sector enterprises involved in wildlife crime law monitoring and enforcement activities, which support i) reduced wildlife crime; ii) effective co-management of wildlife and their habitats; iii) restoration of degraded landscapes; and iv) sustainable local income generation.

#### Outputs:

- 3.1.1. Through national grants mechanisms being established to implement the national strategy (in part initiated by UNDP core funds), grants are channelled to communities to pilot sustainable livelihoods [i.e. SLM, climate smart agriculture, sustainable harvesting of WMA-linked resources, ecotourism].
- 3.1.3. Wildlife Management Area (WMA) governance is strengthened in three sites (selected WMAs surrounding Katavi, Selous and Ruaha ecosystems), to ensure the flow of conservation-related benefits to rural communities; WMAs will be selected at PPG stage.
- 3.1.4. Economic and enterprise opportunities and implementation enhanced in selected WMAs
- 3.1.5. Community-based monitoring networks are established and operationalized in poaching hotspots to support WCU and TCGs in information gathering, utilizing WMA structures where appropriate.
- 3.1.6. Wide public awareness of EBD conservation and wildlife crime is achieved through comprehensive multimedia and education campaigns.
- 3.1.7. Employment in wildlife conservation promoted through nation-wide scholarship and fee subsidies programme for young people to obtain qualifications in wildlife protection
- 3.1.8. Human-wildlife conflict prevention measures developed through participatory process and piloted to establish most effective measure.

### **Incremental Reasoning and Global Environmental Benefits**

**The incremental approach can be summarised as follows:** The government of Tanzania has clearly identified the implementation of the National Strategy to Combat Poaching and Illegal Wildlife Trade as a priority action for conserving biodiversity and preventing domestic and transnational illegal wildlife trade. However, despite strong commitment from the government, actions are seldom taken to concretely remove the barriers to effective wildlife/habitat management and enforcement against trafficking and poaching of highly threatened species. In particular, legal inconsistencies and weak institutional arrangements at the national (and regional) level are compounded by the lack of management, community co-management and enforcement capacity at the site level. Together these limit the potential for effective action. In terms of IWT, the capacity and understanding amongst law enforcement agencies is low, regional collaboration is weak, and mechanisms to regulate legal wildlife trade are not being appropriately applied. The proposed intervention is particularly timely given the sharp increase in illegal wildlife trade volume globally, and Tanzania's role as a key source country in regional wildlife trade networks.

In the baseline situation, globally significant biodiversity in Tanzania, particularly elephants and rhinos, will continue to be ever-increasingly threatened by the illegal wildlife trade. Despite the significant efforts of the Government of Tanzania (described in the baseline section), without implementation of this national and local level, multi-pronged approach to combat ivory demand, rural poverty and weak law enforcement, iconic wildlife species will continue to decline to extinction. Wildlife management and security is currently poorly coordinated between various types of protected area and unprotected lands due to separate management systems for each and insufficient communication. It is also poorly coordinated between wildlife authorities and general security and law enforcement authorities, meaning that neither have the full capacity to tackle wildlife crime. Resources, including human, equipment and intelligence, are insufficient for effective wildlife security, meaning that operations are inefficient and very much response-based rather than targeted and preventative. Gaps and weaknesses in legislation also hamper law enforcement efforts to address this crime. In addition, those who bear the greatest costs of living with wildlife currently receive the lowest benefits, through poor local governance and management of wildlife and other natural resources. While WMAs have the potential to improve the equitable distribution of benefits across rural communities, governance is weak, with insufficient coordination of duties and awareness of regulations and processes. Awareness is relatively poor with regards to the impacts of wildlife poaching and trading upon wildlife, security and rural development.

**In the alternative scenario enabled by the GEF**, wildlife security will be highly coordinated within and between both wildlife and law enforcement authorities, with the creation of an all-encompassing Ministerial Committee on Wildlife Security and a Wildlife Crime Unit, which will provide the link between conservation authorities and general policing and immigration authorities. The work of the WCU will be intelligence-based, with increased capacity for evidence gathering, monitoring and rapid responses to IWT crime. Revised and improved legislation will facilitate an increase in successful prosecutions and a reduction in poaching. Natural resources will be locally-managed, with benefits being seen directly and fairly among rural communities through strengthened WMA structures. Communities will realize the benefits of conserving wildlife and will take ownership over their own resources, becoming advocates for conservation across the country, and sustainable livelihoods initiatives will promote alternative forms of income generation. Extensive awareness and education campaigns will ensure that communities in Tanzania prefer to avoid poaching, whether due to knowledge of the risks involved or of the potential benefits of wildlife to people. Without local community support, poachers will face far greater difficulties and risks in attempting to poach and traffic wildlife. Through this project, Tanzania can demonstrate to consumer countries the impacts of their demand for ivory products, leading to reduced demand and lessened incentives for IWT and poaching.

**Global Environmental Benefits:** Enhanced law enforcement will help protect wildlife populations by removing established poachers/traders and disrupting illegal wildlife trade syndicates. Immediate global benefits include the conservation of globally important and iconic mammal species, including elephant and rhino. Tanzania holds a large proportion of the world's African elephant population and is a critical area in which to implement wildlife protection actions. Successful implementation of Tanzania's National Strategy to Combat Poaching and IWT will ensure that the country contributes to the achievement of objectives laid out in the international plans and strategies described above (such as the CITES Action Plan for the control of trade in elephant ivory, the *African Elephant Action Plan* and the *urgent measures established during the African Elephant Summit* in Botswana), thereby contributing to the conservation of the elephant (a migratory species) and other traded species, each of which provide benefits to the countries which they inhabit, for example through wildlife tourism and the maintenance of ecosystems. By safeguarding key natural elephant habitats by improving the governance of WMAs, the project will directly contribute to arresting and reversing global trends in land degradation, and will improve socio-ecological resilience in the face of climate change. Illegal wildlife trafficking is a transnational crime; as a result, strengthening transboundary law enforcement will lead to the arrest of IWT criminals and prevent their activity in other countries.

**Innovativeness, Sustainability and Scaling Up:** The development of cost-effective and sustainable solutions to reduce the detrimental impacts of poor biodiversity and ecosystem management and associated wildlife trade is central to all aspects of this project. The project will work to support and strengthen Tanzania's institutions and authorities to more effectively manage critical ecosystems and reduce poaching and illegal wildlife trafficking. The underlying premise for the project is that interest already exists within the Government of Tanzania, given completion of the recent National Strategy to Combat Poaching and Illegal Wildlife Trade and its clear commitment to proceed to implementation. What is needed is a combination of facilitation and demonstration to show that resources can be applied for the benefit of globally important biodiversity and Tanzania's sustainable economic development. Following the completion of the project, national institutions and authorities will be empowered and

better equipped to exercise their mandates, without requiring further external resources. The project creates national capacity that integrates directly into current law enforcement efforts, as well as national policies and priorities. Communities will gain socio-economically from strengthened wildlife crime response capacity, which will ultimately increase criminal conviction rates and decrease poaching and trafficking of wildlife. By reducing rural wildlife crime, the project will contribute to creating a platform for sustainable economic growth, rather than the unsustainable and destructive removal of collective natural resources. By strengthening the operations of WMAs and enabling rural communities to gain income from conservation, the project will support Tanzania in achieving its MDGs and other global initiatives aiming to reduce poverty.

Particularly innovative aspects of this project include: i) the development of capacity to take national level intervention to address IWT and monitor trends in Tanzania, bringing together state and private sector actors alongside civil society and local communities, to manage biodiversity, reduce resource exploitation and protect ecological functions while minimizing pressures on natural resources; and ii) benefits from community-based natural resource management and monitoring contribute to combat wildlife crime and its wider impacts, including poverty alleviation.

A.2. *Stakeholders*. Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes X/no ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

Stakeholder	Role and Responsibilities
Individual Households	Day to day monitoring of WMAs, maintaining support to Village Environmental Committees, benefitting from tourism, taking personal responsibilities for natural resources.
Local Communities	Maintaining support to NR committees, benefitting from community outreach programmes, taking personal responsibilities for protected areas.
Village Councils	Overall management and accountability of community managed areas to wider rural communities, coordination with District Authorities and outsiders.
District Councils	Protected area policy implementation and support of communities sustainable conservation programmes
Government Departments	Manage the processes of protected area management on a national level, implementing relevant policies, linkages with other government departments
Central Government	Developing directives, policy, guidelines and monitoring progress as well as coordinating sectors involved
Private Sector	Support development of markets and economic growth. Provide financial incentives for best management of protected areas, work with government and villages to support good practice in NRs management.
CBOs	Develop civil society capacity on a local level to support social development, economic growth and sustainable water and natural resources management
National NGOs	Develop civil society capacity on a national level to support social development, economic growth and sustainable water and NRs management.
International NGOs	Develop civil society capacity on a regional level to support, social development, economic growth, sustainable water and protected area management, support international advocacy and environmental education.
Government Ministries	Support protected areas management and economic growth through sound policy guidance and implementation, linkages and overlap with other ministries.

A.3 *Risk*. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

Risk	Level	Mitigation
Poaching pressure fuelled by the existence of global illegal wildlife trade may fast decimate the elephant population	H	Given the high level of this risk, one of the pillars of the Project design is to increase Tanzania's capacity for surveillance and intelligence driven law enforcement across the poaching hotspots of the country, to fully implement the existing wildlife laws. It will also strengthen the country's capacity for communication with consumer countries in order to make efforts to reduce demand.

Risk	Level	Mitigation
The Tanzanian Government may be reluctant to increase investments into wildlife conservation due to other needs such as infrastructure taking priority.	L	Tanzania's main priorities are for the development of its economy and strong collaboration with the government will ensure that the GoT understands that wildlife crime is a huge threat to the country's sustainable development, for which wildlife tourism could play an increasingly significant part. The GoT has already taken steps to increase law enforcement capacity against wildlife crime, and so should already be supportive of increased investments of resources into this area.
Local communities may be reluctant to be involved in wildlife conservation due to the negative impacts it can have on their own livelihoods	L-M	The development of community-based monitoring networks, utilising WMA structures where appropriate, will ensure close collaboration with communities. During this time it will be explained that a shift towards sustainable livelihoods that promote wildlife protection and sustainable management of threatened ecosystems will reduce dependence on unsustainable livelihoods, and will provide a more sustainable income. A continued collaborative approach taken to these initiatives will ensure that any emerging issues can be solved
Climate change may undermine the conservation objectives of the Project	L	The Project will work to address the anticipated negative impacts of climate change by increasing resilience of natural landscapes, through promoting sustainable management of natural resources. The elephant is a keystone species of savannah ecosystems and so its conservation will help to ensure that such habitats and their wildlife remain healthy and robust against climate change.

#### A.4. Coordination. Outline the coordination with other relevant GEF-financed and other initiatives:

This project forms part of the Programmatic Approach on Preventing the Extinction on Known Threatened Species. The project will contribute significantly to the 'United Nations Development Assistance Plan (UNDAP) 2011-2016', primarily in support of the following Outcome: *Relevant MDAs, LGAs and non-State actors improve enforcement of environment laws and regulations for the protection of ecosystems, biodiversity, and the sustainable management of natural resources*. Specifically, the project will help to achieve the following outputs: National and local levels have enhanced capacity to coordinate, enforce and monitor environment and natural resources (through the creation of a central Ministerial committee and Wildlife Crime Unit, with increased capacity for intelligence building and targeted, coordinated approaches to tackling wildlife crimes); Technical, financial and governance capacities for sustainable land and forest management enhanced (through the improvement of WMA governance).

The project will be closely coordinated with existing GEF-financed initiatives, including:

**Strengthening the Protected Area Network in Southern Tanzania – Improving the Effectiveness of National Parks in Addressing Threats to Biodiversity** [PIMS 3253]: Currently under implementation with support from UNDP GEF, the project aims to increase the effectiveness of the new and developing Southern Circuitry of Tanzania's National Parks by protecting biodiversity and providing for the long-term ecological, social and financial sustainability of that system. It comprises two components: 1. Integrating Management of NPs and Broader Landscapes: This first component focuses on the creation of active and functioning inter-sectoral District land management coordination mechanism between TANAPA, district authorities and the Wildlife Division (WD) and will involve planning, implementation, and monitoring by key state and civil society partners on biodiversity management measures for the Greater Ruaha Landscape (37,000 km<sup>2</sup>) and Greater Kitulo-Kipengere Landscape (2,150 km<sup>2</sup>). This approach aims to secure PAs, wildlife corridors and dispersal areas; and 2. Strengthening NP Operations: This second component seeks to engineer the delivery of an integrated package of PA management functions. The project has initiated financial and business planning on both landscape and individual PAs and is providing funding for basic infrastructure and field equipment across the Southern Circuit Sites.

**Enhancing the Forest Nature Reserves Network for Biodiversity Conservation in Tanzania** [GEF Project ID 3034]. Currently under implementation with support from UNDP GEF, the project aims to expand, financially secure and strengthen the management of Tanzania's Forest Nature Reserve (FNR) network. In particular, it seeks to operationalise six new FNRs in Chome, Magamba, Mkingu, Uzungwa Scarp, Rungwe and Minziro, by: putting in place management frameworks for the new FNRs (depending on specific site needs) and basic infrastructure and equipment (i.e. administrative office and ranger posts); building agreements with local communities on designated access areas for sustainable use of non timber forest products; building capacity within the new Tanzania Forest Service to effectively deliver PA Management Functions across the FNR Network; *strengthening enforcement*

*[targeting illegal harvesting, poaching, mining, and encroachment] by improving national and local intelligence systems, establishing protocols for patrolling and reporting malfeasance, and building capacity to prosecute offences; and effectively deploying funds and human resources to address threats across the system.*

B.1 Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions?

The Government of Tanzania is committed to strengthening its national capacity to combat poaching and illegal wildlife trafficking. The Project will contribute to the achievement of Tanzania's Development Vision 2025, which acknowledges that the sustainable use of its resources is crucial for the long term development of Tanzania's economy and citizenry. It details that 'fast growth will be pursued while effectively reversing current adverse trends in the loss and degradation of environmental resources (such as forests, fisheries, fresh water, climate, soils, biodiversity)'. Tanzania's National Biodiversity Strategy and Action Plan, formulated in 2001, will be supported by the Project in the achievement of its objectives regarding policy, regulatory issues and international cooperation; facilitate economic growth through the enforcement of appropriate policies and regulator services for biodiversity management; and greater involvement of local communities in the sustainable management of natural resources. The Project will also contribute to the Ministry of Natural Resources and Tourism (MNRT)'s Medium Term Strategic Plan July 2013-June 2016, which includes several core focal areas for developing the natural resources and tourism sectors, including law enforcement; stakeholder involvement; regional and international cooperation; institutional capacity building; and informed management decision making.

More recently, Tanzania has placed a strong focus on national plans to combat poaching and illegal trafficking of threatened species specifically. The Project will directly support implementation of Tanzania's National Strategy to Combat Poaching and Illegal Wildlife Trade (launched in October 2014) and will contribute significantly towards Tanzania's Elephant Management Plan 2010-2015, in particular strategies 3) Elephant Ivory Trading; 4) Community Benefits and Involvement; 6) International Relations; 7) Elephant Protection and Law Enforcement; 9) Elephant Conservation, Education and Awareness. Similarly, the Project will support the implementation of the Tanzania Elephant Protection Strategy (TEPS) as well as the actions decided upon during the Tanzania Wildlife Summit to Stop Wildlife Crime and Advance Wildlife Conservation, held in May 2014, to which it is directly aligned in many aspects. Most importantly, the Project forms an integral part of Tanzania's Anti-Poaching and Illegal Wildlife Trade Strategy. For example, much of the law enforcement component of the Strategy is built around the creation of a coordinated wildlife crime unit, which is a major focus of this Project. Likewise, all other outputs of the Project form key parts of this national Strategy.

## 18. Combatting Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand

### PART I: PROJECT INFORMATION<sup>203</sup>

Project Title:	Combatting Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand
Country(ies):	Thailand
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Department of National Parks, Wildlife and Plant Conservation, IUCN [together with DNP be responsible for the forensics work under Component 1 and Component 2] and WWF [together with DNP be responsible for work under Component 3]
GEF Focal Area(s):	Biodiversity

### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>204</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-2 Program 3	GEFTF	4,018,440	14,789,379
Total Project Cost		4,018,440	14,789,379

### B. CHILD PROJECT DESCRIPTION SUMMARY

**Project Objective:** To strengthen the capacity of and enhance collaboration between Enforcement Agencies and reduce demand in illegal wildlife trade through a targeted awareness campaign in order to reduce trafficking of wildlife (i.e. tiger, pangolin, rhino and elephant) and their products in Thailand

Project Components	Financing Type <sup>205</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Improved Cooperation, Coordination and Information Exchange	TA	<i>Strengthened Wildlife Crime institutional framework as a result of increased coordination, cooperation and information exchange resulting in:</i> <ul style="list-style-type: none"> <li>Decrease in tiger, pangolin and rhino seizures at Thai ports with an increase in effort<sup>206</sup>.</li> <li>Increase in state funding towards Wildlife Crime Enforcement (baseline and targets to be established during PPG).</li> </ul>	1,314,068	5,191,644
2. Enhanced Enforcement and Prosecution Capacity	TA	<i>Enhanced Capacity in Enforcement and Criminal Justice System to Effectively Deter Trafficking of Wildlife, as measured by:</i>	1,586,006	6,855,525

<sup>203</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>204</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>205</sup> Financing type can be either investment or technical assistance.

<sup>206</sup> An initial increase is expected in the number of seizures as effort is increased. This will decrease over time as Thailand establishes itself as a country not tolerating wildlife crime.

Project Components	Financing Type <sup>205</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		<ul style="list-style-type: none"> <li>• Increase in number of successful cases (arrest-prosecution-punishment) of wildlife trade criminals dealing in ivory, rhino horn, pangolins and tiger, parts and derivatives<sup>207</sup>.</li> <li>• Increase capacity of wildlife crime enforcement officers to identify, report and arrest suspects involved in illegal trade of tigers, rhino horn, ivory and pangolins [<i>capacity scorecard to be developed during PPG</i>]</li> <li>• International certification of competence of forensic laboratory staff and accreditation of laboratory to relevant international standard</li> </ul>		
3. Reduced demand for illegal ivory and other wildlife merchandise.	TA	Public opinion shifted towards valuing live elephants and understanding the global implications of trading in illegal ivory (raw and worked) and other wildlife merchandise.	927,012	1,713,881
Subtotal			3,827,086	13,761,050
Project Management Cost (PMC) <sup>208</sup> GEFTF			191,354	1,028,329
<b>Total Project Cost</b>			<b>4,018,440</b>	<b>14,789,379</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Department of National Parks	Grant	14,539,379
International Development Partner	IUCN	Grant	150,000
International Development Partner	WWF	Grant	50,000
GEF Agency	UNDP	Grant	50,000
<b>Total Co-financing</b>			<b>14,789,379</b>

<sup>207</sup> An initial increase is expected in the number of arrests as effort is increased. This will decrease over time as Thailand establishes itself as a country not tolerating wildlife crime.

<sup>208</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

#### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNDP	GEF TF	Thailand	Biodiversity		4,018,440	361,660	4,380,100
<b>Total GEF Resources</b>					4,018,440	361,660	4,380,100

x) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

z) If Multi-Trust Fund project: PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

#### E. Project Preparation Grant

Project Preparation Grant amount requested: \$110,000					PPG Agency Fee: 9,900		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee <sup>209</sup> (b)	Total c = a + b
UNDP	GEF TF	Thailand	Biodiversity		110,000	9,900	119,900
<b>Total PPG Amount</b>					110,000	9,900	119,900

## PART II: PROJECT JUSTIFICATION

### Project Overview

**A.I. PROJECT DESCRIPTION. BRIEFLY DESCRIBE<sup>210</sup>: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

### Global environmental problems:

The value of illegal wildlife trade remains uncertain, it has variously been estimated at between USD 5 – 20 billion per annum. These estimates suggest that wildlife crime is the fourth most lucrative type of transnational crime after illegal narcotics, humans, and armaments. The illicit harvesting of natural resources has been defined as a form of transnational organized environmental crime driving species to extinction by the United Nations Office of Drugs and Crime (UNODC) in their report “The Globalization of Organized Crime – A Transnational Organized Crime Threat Assessment”. Although attempts the last number of years, especially in regards to reducing supply (protected area management and enforcement), many wildlife species are continuing being illegal exploited. The decline of these species presents one of the most immediate threats to the integrity of ecosystems across the globe and is widely accepted to be the result of the illegal, unsustainable trade in species, their parts and derivatives. Species in decline include Rhinoceros, Tigers *Panthera tigris*, African Elephants and Pangolin species. *Rhinoceros*: In recent years, the plight of the rhino in Africa has dominated the media with a massive re-surgence of rhino poaching in South Africa where the 1004 poaching incidents in 2013 represent more than a 10 times increase from 2006 levels. The situation for rhinos in Asia is also critical. *Tiger*: Less than 3,500 tigers *Panthera tigris* now occur in the wild, occupying less than 7% of their historical range<sup>211</sup> and, of these, less than 1,000 tigers are likely to be breeding females<sup>212</sup>. *African*

<sup>209</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

<sup>211</sup> Sanderson et al., 2006

<sup>212</sup> Walston et al., 2010

**Elephants:** African elephants (*Loxodonta africana*) have also experienced dramatic declines in the last decade. African Forest elephants (*L. a. cyclotis*) have suffered perhaps the greatest loss where 62% of their population was lost in the period 2002-2011<sup>213</sup>. Similarly, African savannah elephants (*L. a. africana*) in Central Africa lost 76% of their numbers between 1985 and 2010<sup>214</sup> and populations of African savannah elephants in eastern and southern Africa are under growing threat from poaching<sup>215</sup>. **Pangolins**<sup>216</sup>: Pangolins are poached and illicitly traded in huge numbers in Asia, while in Africa they are hunted for use in traditional African medicine and evidence now suggests they are being traded to Asian markets. As a result pangolin populations are in severe decline and are thought to be locally extirpated in parts of both Asia and Africa.

**Threats:** The decline of these species presents one of the most immediate threats to the integrity of ecosystems across the globe and is widely accepted to be the result of the illegal, unsustainable trade in species, their parts and derivatives. **Rhinos:** Illegal trade in rhino horn has also reached the highest levels since the early 1990s and in 2013 nearly 2,000 rhino horns are estimated to have gone into illegal trade. Viet Nam is noted as the world's largest consumer of rhino horns at the present time, although the market in China is believed to be growing. Thailand, whose international airports function as major transport hubs between Africa and the largest end-use market in Viet Nam are regular pathways as they offer direct flights from South Africa, Kenya and Ethiopia, or indirect flights from Dubai, Abu Dhabi or Doha. Of all the seizures of rhino horn from the period 2009 – 2014. Thailand ranked third as country of destination after Viet Nam and China. The rhino horns noted as going to Thailand are probably destined for either Viet Nam or China. **Tiger:** Since 2000, there have been 654 seizures of Tiger parts and derivatives across 12 Tiger Range Countries (Bhutan, Bangladesh, China, India, Indonesia, Lao PDR, Malaysia, Myanmar, Nepal, Russia, Thailand and Viet Nam). It is estimated that a minimum of 1,425 tigers were seized during this period. Both China and Vietnam have been identified as important zones of consumption for illegal tiger products, with Thailand mainly a source/transit country in regards to tiger trafficking. The proportion of recent tiger seizures (2010 – 2012) for Thailand of 12% of total global seizures has shown a notable rise compared to 7 % for 2000 – 2009<sup>217</sup>. 50% (30 individuals) of tiger seizures in Thailand were live tigers over the period 2010 – 2012.<sup>218</sup> **African Elephants:** The illegal hunting of African Elephants for ivory has been accompanied by a more than doubling of the illegal ivory trade since 2007 and is more than 3 times greater than it was in 1998<sup>219</sup>. The sale of ivory from wild elephants is currently illegal in Thailand, but sale of ivory from Thailand domesticated elephants is legal. There are approximately 1,230 adult male captive elephants in Thailand and it is estimated that they could only yield approximately 650 kg of ivory annually, possibly less and typically in small sized pieces owing to the periodic trimming of tusks. This quantity is considerably less than what was observed in Bangkok markets in 2013 survey. In addition, the number and size of specific products indicates that larger sized Elephant tusks are reaching the market in Thailand and seizure data confirms attempts to move large quantities of African Elephant ivory to Thailand from Africa.<sup>220</sup> **Pangolin:** By the most conservative estimates, 10,000 pangolins are trafficked illegally each year. The illicit pangolin trade has become extremely lucrative. According to Environmental News Network, pangolins were worth around US\$ 10 per kilogram in the early 1990s and had soared to US\$ 175 per kg by 2009.

**Barriers:** Although the government has made efforts to control illegal wildlife trade, its efforts have been impeded by a number of barriers. These include (1) Inadequate and incoherent mechanism for networking and collaboration among enforcement agencies; (2) Limited scientific tools, data systems, and capacities to prevent, detect, and convict individuals involved in illegal Wildlife Trade (this includes limited capacities and software/hardware in forensics); and (3) Lack of awareness and understanding of Thai public and tourists regarding the plight of African Elephants and consequences of the illegal ivory trade in Thailand.

Baseline projects and resources that will be committed from them:

<sup>213</sup> Maisels et al. 2013a

<sup>214</sup> Bouche et al. 2011

<sup>215</sup> CITES et al. 2013

<sup>216</sup> Pangolins, or scaly anteaters as they are otherwise known, are unique mammals covered in hard scales, comprised of keratin. They predate almost exclusively on ants and termites and are predominantly nocturnal and elusive, secretive mammals. There are eight extant species of pangolin, they comprise the Chinese Pangolin, Indian Pangolin, Sunda Pangolin and Philippine Pangolin which inhabit Asia and the Tree Pangolin, Long-tailed Pangolin, Giant Ground Pangolin and the Cape Pangolin which are found in Africa.

[www.pangolins.org/pangolins/frequently-asked-questions](http://www.pangolins.org/pangolins/frequently-asked-questions)

<sup>217</sup> Stoner, S.S. and Pervushina, N. (2013). Reduced to Skin and Bones Revisited: An Updated Analysis of Tiger Seizures from 12 Tiger Range Countries (2000 – 2012). TRAFFIC, Kuala Lumpur, Malaysia.

<sup>218</sup> Stoner, S.S. and Pervushina, N. (2013). Reduced to Skin and Bones Revisited: An Updated Analysis of Tiger Seizures from 12 Tiger Range Countries (2000 – 2012). TRAFFIC, Kuala Lumpur, Malaysia.

<sup>219</sup> CITES et al. 2013

<sup>220</sup> Doak, N. 2014. Polishing off the Ivory Trade: Surveys of Thailand's Ivory Market. TRAFFIC International, Cambridge, UK

The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) is an international agreement between governments. Its aim is to ensure that international trade in specimens of wild animals and plants does not threaten their survival. The Department of National Parks, Wildlife and Plant Conservation (DNP) is, among other duties, responsible for implementing CITES (this is done in collaboration with the Department of Fisheries and the Department of Agriculture), suppressing the illegal wildlife trade within the country and to conduct educational outreach to the general public. Within the DNP there are three divisions/units working on CITES related issues: (i) Division of Wild Fauna and Flora Protection, which is the CITES Management Authority of Thailand and is responsible for the implementation of activities in relation to CITES enforcement and for manning and operationalise the 36 Wildlife Checkpoints. These checkpoints are border posts that are located on the major illegal trafficking routes, where wildlife police officers are permanently stationed working together with customs officials; (ii) the Wildlife Research Branch which acts as CITES Scientific Authority of Thailand. Within the branch, the Wildlife Forensic Science Unit (WIFOS) is based. The unit uses forensic science as a tool to combat illegal wildlife trade; and (iii) the Thailand Wildlife Enforcement Network (Thailand-WEN). The roles of Thailand-WEN includes: (a) the coordination and networking among the wildlife enforcement agencies; (b) conduct meetings and workshops concerning wildlife enforcement issues, and (c) provide training for the network in relation to wildlife enforcement. DNP will make an investment of approximately US\$ 20 million in addressing the illegal wildlife trade in Thailand through these three divisions/units during the project period. The recently announced Thailand Action Plan on Ivory 2014 – 2020 will also be implemented during the project period. The Government has allocated US\$ 2 million towards this plan. The Royal Thai Police (RTP) have the responsibility for investigating and enforcing the law relating to illegal wildlife trade. The Natural Resources and Environmental Crime Suppression Division of the RTP is involved in investigation and arrest of persons breaking the law regarding the illegal wildlife trade. The RTP has earmarked an investment of approximately \$ 3 million in investigation and arrest of wildlife trade criminals over the project period.<sup>221</sup> The Customs Department is an enforcement agency and is responsible for all border check points. Customs officials are responsible for identifying suspect consignments crossing borders and alerting the Natural Resources and Environmental Crime Suppression Division. The Customs Department will make an investment of approximately \$ 2 million<sup>222</sup> in undertaking custom duties over the project period. Part of their duties will be identifying illegal import/export items, including wildlife products. The Administrative Court and the Office of the Attorney General will continue fulfil their roles in prosecution of illegal wildlife trade criminals and maintaining justice.

The government's effort has been complemented by investments from bilateral and multilateral agencies, and international NGOs over the past years. Key efforts in this area include: (i) **Critical Ecosystem Partnership Fund (CEPF)** which is a five year investment for the conservation of globally important biodiversity (Phase II, 2013-2018), regionally coordinated by IUCN. Several projects under CEPF are addressing illegal wildlife trade, such as TRAFFIC's '*Starving the Supply – Interventions to Curb Illegal Wildlife Trade from Southeast Asia into southern China*', Freeland's '*iTHINK, A Joint Campaign Platform to Tackle Wildlife Consumption*', and Wildlife Conservation Society's '*Breaking the Chain: Building a Civil Society-Government Transnational Partnership to Combat Major Wildlife Trade Networks in Lao PDR, Vietnam and China*'; (ii) **Wildlife Trafficking Response, Assessment and Priority Setting (W-TRAPS) project** - which is a collaboration between TRAFFIC and IUCN, is implementing the Wildlife TRAPS project to develop and deliver a suite of partnerships and pioneering approaches to tackle wildlife crime between Africa and Asia. The project, with financial support from USAID, is building a collective understanding of the true character and scale of the response required, setting priorities, identifying intervention points, and testing non-traditional approaches. In addition to helping to protect some of the planet's most desired species, this project is combating the trends undermining wider development efforts, as well as revealing the linkages to other types of illegal trade; (iii) IUCN Member Freeland is implementing a number of initiatives to combat illegal wildlife trade in Thailand, including the USAID-funded **Asia's Regional Response to Endangered Species Trafficking (ARREST)** programme; (iv) **TRACE**, which is an international NGO that aims to promote the use of forensic science in biodiversity conservation and the investigation of wildlife crimes, has provided support to DNP under the ASEAN-WEN Wildlife Forensics Project (WIFOS); and (v) **WWF** in Thailand has been working in support of the Royal Thai Government in the National Ivory Action Plan, especially on the demand reduction for illegal ivory. There is also an initiative in the pipeline on "**Wildlife for the Future**" which IUCN is working with a number of partners, including TRAFFIC and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), on a proposed trans-regional initiative to address illegal wildlife trade between Asia and Africa and within Asia. The proposed initiative would adopt a three-pronged approach: focus on local community investments through grant instruments; promote inclusive governance structures using Mangroves for the Future (MFF) as a model; and facilitate parliamentary action between Asia and Africa.

<sup>221</sup> Natural Resources and Environmental Crime Suppression Division's proposal for the integrated budget on natural resources crimes for Budget year 2016.

<sup>222</sup> Custom's Department's proposal for the integrated budget on natural resources crimes for budget year 2016.

Proposed alternative scenario, with a brief description of expected outcomes and components of the project, incremental cost reasoning and expected contributions from the baseline, the GEFTF, LDCF/SCCF and co-financing  
 The **objective** of the proposed project is to strengthen the capacity of and enhance collaboration between Enforcement Agencies and reduce demand in illegal wildlife trade through a targeted awareness campaign in order to reduce trafficking of wildlife (i.e. tiger, pangolin, rhino and elephant) and their products in Thailand.

***Component 1: Improved Cooperation, Coordination, and Information Exchange***

The component will strengthen the collaboration mechanism and provide platform for exchange of information among the network. The outputs include (i) the establishment of central joint-agency task force under Thailand-WEN giving tools and support to generate actionable intelligence and develop strategic, intelligence-led operations against trafficking networks dealing in particular with live tiger, pangolin and rhino, products and derivatives (it can be linked up with the ivory working team already established by government), (ii) information and intelligence exchanges with regional and international governments and NGOs working on trafficking of selected species, this will include improved co-operation and co-ordination between wildlife forensics laboratories in ASEAN, China and African countries; (iii) Spatially-based monitoring and planning/decision support information system with inputs from field office (police, customs etc.) utilizing mobile technology, (iv) Comprehensive strategic intelligence-led policing strategies and operation plans developed under Central Joint-agency task force strategizing on how to reduce wildlife crimes in targeted species, as well as serve as a monitoring body to keep track on the progress and the targets set in the short-medium-long term strategic and operation plans (linked with the spatially-based monitoring system in iii); (v) Improved legal and institutional frameworks to ensure stronger enforcement, as well as more comprehensive and responsive institutional set-up to address the challenges in combatting illegal wildlife trade. This will include identifying legal gaps and measures to address them, streamlining and consolidating the roles and responsibilities of different units under DNP related to the work on wildlife crimes; specific emphasis will also be given to forensics and the role it plays in the process of enforcement ensuring its recognition in the DNP structure and adequate financial support to it in order to effectively support the prosecution of wildlife criminals; and (vi) policy brief to decision makers highlighting the global economic loss due to illegal wildlife trade based on a synthesis of available studies. The policy brief and the information gathered will be used to make the case for additional funding for the work on prevention and/or reduction of wildlife crimes in Thailand.

***Component 2: Enhanced Enforcement and Prosecution Capacity***

This component will focus on the increased coherence and capacity of the enforcement agencies to be able to address and deter illegal trafficking of wildlife (elephants, rhinos, tigers and pangolins) as a result of strengthening of cross-sectoral enforcement/persecution framework. This includes (i) Revise trainers curriculum for capacity building of the trainer at prosecutor, police and customs training academies to include wildlife trafficking learning outcomes, (ii) increase capacity of police, prosecutors, judges and customs to implement relevant legislation (including the Ivory Act), as measured by the UNDP Capacity Development Scorecard, (iii) increase capacity and equipment, particularly at key check points (land and sea) across the country, for policing officers (police, customs, border security, market control agencies) to identify, report and arrest suspects involved in illegal trade of rhinos, tigers and pangolins; (iv) the project will also improve wildlife forensics in Thailand through increasing the capacity of the wildlife forensics laboratory to deliver robust prosecution evidence. Such support will be in the form of hardware, software and training.

***Component 3: Reduced demand for illegal ivory and other wildlife merchandise.***

This component will focus on changing public attitude and perception regarding ivory. A more empathical view will be installed among the Thai public – a view that values live elephants and understanding that the ivory trade is leading to the illegal slaughtering of elephants in a distant continent. In order to develop an awareness campaign strategy and to measure the impacts of such a campaign, a standardized, replicable and scalable public opinion poll will be launched to gauge public opinion of legal/illegal ivory trade. With the necessary information from the surveys, a national awareness campaign strategy will be developed and implemented. The campaign will focus on the plight of the Elephant but will also be used to convey the information and understanding of the public of the CITES convention; the dangers and economic impact if Thailand does not address its illegal ivory trade and possible CITES sanctions; as well as explore the economic incentives to complement the command and control measures on suppressing illegal wildlife trade. An emphasis will be placed in sensitizing the wider public to understand that it is in their best interest to address illegal ivory trade. Public awareness and consumer marketing campaigns will also be undertaken to highlight the causal link between the purchase of

ivory products and the elephant poaching crisis in Africa. The potential outputs include (i) conducting standardised, replicable, scalable public opinion polls and surveys to gauge public opinion on legal/illegal ivory trade, and (ii) public awareness and consumer marketing campaigns on the casual link between the purchase of ivory products and elephant poaching crisis in Africa.

#### Summary of Incremental Approach and Global Environmental Benefits

The project is focused on the reduction of demand of illegal wildlife trade in Thailand and also deterring the supply of illegal trade to the consumer. Thailand is currently on of the markets for illegal trade (e.g. for ivory) and this has a detrimental effect on various species not only in Thailand, but also in other countries in other continents. It is also an important supply (pangolin and tiger) country and is used as a transit country (ivory, pangolin, tiger, rhino). Reducing the demand and deterring the supply chain will therefore reduce wildlife being poached in Thailand and elsewhere. Improving the surveillance and search for targeted illegal traded wildlife species, will also reduce illegal wildlife trade in general as detection and seizure of other wildlife products will also benefit. By reducing the demand and deterring the supply and transit of the targeted species, Thailand is contributing towards the maintenance of viable populations of these species, and where appropriate, rebuilding the number of these threatened species. The project will enable Thailand to have a pro-active obligation to CITES, as well as, contributing to the concerted global efforts under the umbrella project, which links key countries in the whole supply chain of illegal wildlife trade to address the problem in a more comprehensive and coherent approach.

#### Innovation, sustainability and potential for scaling up

By strengthening its capacity in wildlife forensic and crime scene and evidence handling, Thailand will be able to take a leading role in the ASEAN-WEN within the Southeast Asia region. DNP can show the way for enforcement agencies in other Southeast Asian nations, and play a central role in the collaboration among DNA forensic laboratories across Africa and Asia through the use of standardized and validated protocols. The public opinion polls will be innovative in nature in order to determine the success of an awareness programme. Although a number of demand reduction campaigns have been launched in a number of countries re wildlife trade, very little if any information is available on the actual success of such programmes. The actual awareness campaign will also be designed, based on a thorough analysis of the Thai culture and seeking the best entry points to change public opinion. The process will be documented and can then be used for upscaling the approach to other countries and species. Existing linkages, tools and networks will be used to encourage information sharing (e.g. ASEAN-WEN, Wildscan). The sustainability of the WIFOS lab in DNP will be strengthened through laboratory accreditation and regional and international recognition of the role of wildlife forensics in combatting illegal wildlife activity. In addition, there is potential for the laboratory to generate some of its own income from forensic analysis to enhance sustainability.

A.2. *Stakeholders*. Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

Stakeholders	Roles in Project Preparation
Department of National Parks, Wildlife and Plant Conservation (DNP)	The Department is responsible for implementing the CITES, suppressing the illegal wildlife trade within country and conduct educational outreach to general publics. The Department will be the implementing agency for the project.
Department of Fisheries (DoF)	The Department of Fisheries has responsible for implementing the CITES They have responsibility to implement various relating acts (i.e. Fisheries Act, Wildlife Conservation and Production Act and other relevant wildlife trade acts). The Department of Fisheries is a key stakeholder in the enforcement of illegal wildlife trade particularly in relation to the marine wildlife.
The Customs Department	The Customs Department is an enforcement agencies. They have responsible for all check points in the country. The Custom Department will assist by working collaboratively with the Natural Resources and Environmental Crime Suppression in relation to the arrested case of illegal wildlife trade. The Customs Department is key responsible authorize in the enforcement of illegal wildlife trade in Thailand.
The Royal Thai Police (RTP)	The Royal Thai Police is an enforcement agency. They have responsible for investigating and enforcing the law relating to illegal wildlife trade. The Natural Resources and Environmental Crime Suppression Division of the RTP will be involved in the process of investigation and arrest of the illegal wildlife trade. The RTP is main key stakeholder in the enforcement of illegal trade in Thailand

Stakeholders	Roles in Project Preparation
The Administrative Court	The Administrative Court is responsible for the judgement and enforcement of law to maintain the right of general publics and the benefit of state. The Administrative Court plays a vital role in the wildlife trade law enforcement. The Administrative Court is also a member of Wildlife Enforcement in Thailand.
Office of the Attorney General	The Office of the Attorney General is responsible to facilitate the law enforcement and maintain the justice for the state and publics. The Office of the Attorney General is main key stakeholder in the process of prosecution for the enforcement of illegal trade in Thailand. The Office of the Attorney General is a member of Wildlife Enforcement Network in Thailand.
IUCN	IUCN, International Union for Conservation of Nature, will assist the Implementing Agency and the Executing Partner as a Responsible Party. In particular, it will support the management of the components related to wildlife forensics by building on its relationship with the Department of National Parks and its network of civil society partners, including TRAFFIC, a joint programme of IUCN and WWF, and IUCN Member Freeland Foundation. IUCN can also provide technical knowledge through its Species Survival Commission.
TRACE	TRACE is an international NGO that aims to promote the use of forensic science in biodiversity conservation and the investigation of wildlife crime. TRACE has provided support to DNP from 2009-2012 under the ASEAN-WEN Wildlife Forensics Project to set up the Wildlife Forensic Science Unit (WIFOS).
WWF	WWF- Thailand will assist the Implementing Agency and the Executing Partner as a Responsible Party, particularly on the demand reduction component. <i>WWF-Thailand</i> has recently launched a major a campaign in collaboration with TRAFFIC Southeast Asia to support the government of Thailand's efforts on demand reduction on ivory and other illegal wildlife trade. WWF has also been active in Thailand on conserving species in its wild habitats and provides support in strengthening Thailand's protected areas.

**A.3 Risk.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

Risks	Rating	Preventive Measures
DNP not fully able to coordinate and solicit all efforts	Moderate	A National Project Board with representatives from relevant ministries will be established to support, supervise and monitor the overall implementation of the project. The project will also facilitate the establishment and maintenance of coordination mechanisms among the different responsible authorities with regular reporting and consultation systems.
Reduced effort in national policy commitment to reduce illegal wildlife trade as a crime	Moderate	Policy advocacy and awareness raising among policy decision makers will be build in as an iterative and integral part of the project activities, as well as to maintain the synergized collaboration among international development partners in keeping the momentum on wildlife trade and crimes in Thailand.
Lack of financial sustainability to maintain the networks and collaborations	Moderate	The project will ensure that the Bureau of Budget and the Ministry of Finance will be engaged as project board members to create understanding and the necessity in allocating enough budgetary resources to support the causes. Strategies to engage with private sector will also be explored and demonstrated to mobilise resources from the private sector to support the enforcement and the reduction of illegal wildlife trade and crimes.

**A.4. Coordination.** Outline the coordination with other relevant GEF-financed and other initiatives: The project will work in close synergy with the UNDP/GEF project on ‘Strengthening Capacity and Incentive for Wildlife Conservation in the Western Forest Complex’, of which DNP is the implementing partner. This 5-year project (2015 – 2019) aims to improve management effectiveness and sustainable financing for the Thun Yai and Huay Kha Kaeng World Heritage Site, which is an important habitat for tiger in Thailand. The project is designed to support Thailand to implement

the National Tiger Action Plan. One of the components of the project will also focus on improving the DNA registry of captive and wild tigers, which will be complementary with the forensic component of this project.

Description of the consistency of the project with:

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /NO  ). IF YES, WHICH ONES AND HOW: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURS, ETC.:**

The project is in line with the 4<sup>th</sup> National Biodiversity Strategy and Action Plan (NBSAP) in the area of preventing extinctions and improving status of threatened species. It also corresponds to Aichi 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. The project will work in support of the Thailand's Action Plan on Ivory (2014-2020); as well as in strengthening Thailand's commitment to Convention on International Trade in Endangered Species of Wild Fauna and Fauna (CITES).

It is enlisted in Thailand's GEF 6 National Portfolio Framework Exercise (NPFE, 2014) under the STAR Allocation for the Biodiversity Strategic Objectives. At the concept paper stage, the PIF is conceptualized in two proposals: namely,

- (1) Strengthening the ASEAN Wildlife Enforcement Network (ASEAN-WEN) and Thailand Wildlife Enforcement Network (Thailand-WEN).
- (2) Wildlife Forensics: Investing in Forensic Tools to combat the Illegal Wildlife Trade and Wildlife Trafficking in Thailand.

## 19. Strengthening partnerships to protect globally significant endangered species in Vietnam

### PART I: PROJECT INFORMATION

<b>Project Title:</b>	<b>Strengthening partnerships to protect globally significant endangered species in Vietnam</b>
<b>Country(ies):</b>	Vietnam
<b>GEF Agency(ies):</b>	The World Bank
<b>Executing Agency (ies):</b>	Ministry of Natural Resources and Environment
<b>Other Executing Partner(s):</b>	Ministry of Agriculture and Rural Development Ministry of Public Security Ministry of Justice
<b>GEF Focal Area(s):</b>	Biodiversity

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES**

<b>Objectives/Programs</b> (Focal Areas, Integrated Approach Pilot, Corporate Programs)	<b>Trust Fund</b>	<b>(in \$)</b>	
		<b>GEF Project Financing</b>	<b>Co-financing</b>
BD-2 Program 3	GEFTF	3,000,000	10,000,000
Total Project Cost		3,000,000	10,000,000

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

**Project Objective:** To apply a participatory and mainstreaming approach to reduce the threat caused by illegal poaching, trafficking and consumption to globally significant wildlife species.

Project Components	Financing Type	Project Outcomes	Project Outputs	GEF Project Financing	Co-financing
1. Strengthening the policy and legal environment and data management to protect endangered species	TA	<p>1.1 Regulatory and policy framework in place to enable effective conservation of wildlife and biodiversity, in conformity with CBD, CITES, and national laws</p> <p>1.2. Database and information sharing mechanism on endangered species are established</p>	<p>1.1.1 Develop new regulations instructing the implementation of Law on Biodiversity, Penal Code, and Decree 160/2013/ND-CP, regarding endangered species</p> <p>1.1.2 Develop conservation programs for selected wildlife species under Decree 160</p> <p>1.1.3 Develop a system for permits and monitoring law enforcement relating to the exploitation of species prioritized for protection.</p> <p>1.1.4 Review the implementation of Law on Biodiversity and recommend amendment in area of managing and conserving rare and precious species prioritized for protection in regard to real situation.</p> <p>1.1.5 Develop criteria to evaluate the impact (enforcement effectiveness) of law and regulations on conservation of rare and precious species prioritized for protection.</p> <p>1.2.2 Develop database on rare and precious species prioritized for protection and periodically submit to the Government for approving the list of rare and precious species prioritized for protection</p>	900,000	2,000,000
2. Enhancing national enforcement infrastructure to reduce and deter illegal trade of endangered species	TA	<p>2.1 Improved interagency cooperation and coordination in implementing and enforcing biodiversity and wildlife protection regulations</p> <p>2.2 Strengthened systems and processes for managing and handling law enforcement relating to biodiversity</p> <p>2.3 More effective enforcement of retail outlets selling products made from protected wildlife species in hotspot areas of Vietnam</p>	<p>2.1.1 Strengthen the capacity, resources, equipment, and technology for anti-smuggling law enforcement efforts along Vietnam's borders</p> <p>2.1.2 Strengthen and activate Vietnam-WEN as a national wildlife protection taskforce; including institutionalising training programs, materials, tools and support</p> <p>2.2.1 Develop a procedures for handling and tracking of confiscated wildlife evidence effectively and appropriately</p> <p>2.3.1 Conduct regular enforcement and awareness campaigns targeting businesses and retail outlets selling illegal wildlife products, timbers</p> <p>2.3.2 Develop strategies and methods to investigate and control internet-based wildlife trade</p> <p>2.4.1 Develop and institutionalise training programs and materials for court, judicial authorities, and procurators to support effective prosecution of wildlife violations</p>	1,100,000	4,000,000

Project Components	Financing Type	Project Outcomes	Project Outputs	GEF Project Financing	Co-financing
		<p>2.4 Improved function of the regulatory framework as an effective deterrent against biodiversity violations, with increased number of successful prosecutions of criminal violations</p> <p>2.5 Strengthened anti-poaching measures, reduced rates of poaching incidents, increased number of arrests for wildlife crime, and increased capacity in local communities to protect endangered wildlife</p>	<p>2.5.1 Develop and pilot a model for multi-stakeholder anti-poaching patrol teams, including local community members; equipped with the necessary tools and specialised training</p> <p>2.5.2 Develop a reward system to incentivise public tip-offs of wildlife crime and encourage effective enforcement action</p>		
<p>3. Strengthening partnerships, and scaling and institutionalising behaviour change campaigns, to reduce demand for wildlife consumption</p>	TA	<p>3.1 Improved understanding and awareness of wildlife and biodiversity issues amongst students and young people</p> <p>3.2 Increased support for and awareness of endangered wildlife/plant protection within corporate, health and State sectors</p> <p>3.3 Strengthened partnerships (government /NGOs /private sector /socio-political organisations) for wildlife protection</p>	<p>3.1.1 Institutionalise biodiversity education lessons into the national school curriculum at all levels</p> <p>3.1.2 Expand the partnership with Central Youth Union to nationwide focus for communications campaigns targeting young people</p> <p>3.2.1 Establish an annual national awards program to recognise government officers and civilians making significant contributions to biodiversity protection</p> <p>3.2.2 Targeted, evidence-based communication campaigns and initiatives implemented through strategic partnerships to reduce demand amongst key consumer groups</p> <p>3.2.3 Conduct research and development programs to further develop alternative medicinal products that don't contain protected plant or animal species</p> <p>3.2.4 Expand the partnership with Central Committee of Propaganda and Education under Vietnamese Party for communications targeting wildlife consumption reduction</p> <p>3.2.5 Develop and institutionalise training and communication programs for health students and professionals promoting the use of alternative traditional medicine products</p>	780,000	3,100,000

Project Components	Financing Type	Project Outcomes	Project Outputs	GEF Project Financing	Co-financing
		3.4 Strengthened regional cooperation in demand reduction on selected endangered species	3.3.1 Further develop the Wildlife Partnership Forum as the networking and coordination platform for wildlife protection efforts 3.3.2 Promote initiatives on wildlife protection from various NGOs, socio-political organisations through small-scale projects 3.4.1 Strengthen cooperation with relevant regional initiatives such as ARREST Program 3.4.2 Enhance cooperation of Vietnam-WEN with other WENs worldwide through joint education and exchanges 3.4.3 Strengthen the implementation of MOUs with neighbouring countries relating to the management and control of wildlife poaching, transporting and trafficking 3.4.4 Enhance regional cooperation for communication activities in international airports and at borders		
4. Project Management	TA	4.1. Effective project management		220,000	900,000
<b>Total project costs</b>				3,000,000	10,000,000

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

## C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	MONRE*	Cash	500,000
Recipient Government	MONRE, MARD, MOPS, MOJ, MOH, MOET, MOF**	In-kind	6,000,000
Recipient Government	MONRE (ADB-financed BCC Project)	Cash	1,000,000
CSO	ARREST Program – Freeland via USAID	Cash	500,000
Donor Agency	USAID (GIG Program)	Cash	2,000,000
<b>Total Co-financing</b>			<b>10,000,000</b>

\* MONRE cash contributions are for staff positions funded by MONRE for project management.

\*\* In-kind contributions from all government implementing partners are for contributions to project management expenses. Of the MONRE in-kind contribution, \$10,000 was for project preparation.

The BCC project funds will be implemented and managed separately. This project will carry out complementary activities to the FSP, in rural as opposed to urban environments (see further details below in *Coordination*). This is a cash contribution as the funds are borrowed by the Government of Vietnam from the ADB; the co-financing has been designated by the Government.

Freeland has indicated it wishes to closely cooperate with BCA on the agenda of reducing wildlife consumption and trade, and is providing as co-financing for this project \$500,000 through the ARREST Program (funds originating from USAID).

USAID have also prioritised the issue of reducing wildlife consumption and trafficking globally, and are contributing \$2 million as co-financing for this project through the Governance for Inclusive Growth program in Vietnam.

## D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
(select)	GEFTF	Vietnam	Biodiversity	(select as applicable)	3,000,000	270,000	3,270,000
<b>Total GEF Resources</b>					<b>3,000,000</b>	<b>270,000</b>	<b>3,270,000</b>

E. PROJECT PREPARATION GRANT (PPG)<sup>223</sup>

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

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

<b>Project Preparation Grant amount requested: \$57,615</b>	<b>PPG Agency Fee: 5,185</b>
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<sup>223</sup> PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$50k for PF up to \$2m (for MSP); up to \$100k for PF up to \$3m; \$150k for PF up to \$6m; \$200k for PF up to \$10m; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee <sup>224</sup> (b)	Total c = a + b
(select)	GEFTF	Vietnam	Biodiversity	(select as applicable)	57,615	5,185	62,800
<b>Total PPG Amount</b>					<b>57,615</b>	<b>5,185</b>	<b>62,800</b>

## **PART II: PROJECT JUSTIFICATION**

### **PROJECT OVERVIEW**

1. *Project Description.* Briefly describe: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; 5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

#### **1) The global environmental problems, root causes and barriers that need to be addressed**

It is widely recognized that the illegal trade and consumption of wildlife has increased significantly in recent years, resulting in dramatic declines in wildlife populations. The illegal wildlife trade is global in scope, and estimated to be worth between \$5-20 billion annually. Many species are being poached and extracted from their natural habitat, which affects environmental services provided to the human. This is reducing dramatically the ecosystem services provided by elephants, the grazing services provided by rhinos and giraffes, as well as the myriad services underpinned by the many other species being targeted. Unsustainable levels of illegal trade and consumption is multifaceted threats as it affects all regions, with species being slaughtered and traded within countries, across borders, and between regions.

Besides the threat to biodiversity conservation within forests, wetlands, and protected areas, illegal wildlife trade and consumption also has serious negative impacts on economies and societies. The degradation of ecosystems and natural resources leads to communities' loss of access to resources, lost revenue and income. When natural resources and wildlife are extracted illegally, it is effectively lost income- whether private, in the form of lost wages, or depressed prices in legal markets due to increased supply, or public, in the form of foregone taxes and royalties where legal markets exists. The Environmental Justice Foundation estimates that Guinea loses \$105 million worth of fish to pirate fishing yearly. Crime affecting natural resources and the environment inflict damage on developing countries worth more than US\$70 billion a year (World Bank 2014). Biodiversity accounts for over a third of the wealth of the poor, providing them food, medicines and opportunities for income. As the stock of biodiversity disappears, so too the investment opportunities that attract the private sector, particularly to engage in non-consumptive and consumptive uses such as tourism and sport hunting, a critical economic driver in many countries.

Within this situation, Vietnam's biodiversity is facing various threats, especially illegal hunting, trading and consumption. Moreover, Vietnam is considered a consumer market and transit point of trade chains of wildlife sourced from other countries. The rapid growth of Vietnam's economy over the past 20 years has inflated demand for luxury goods, including high value wildlife products, which are most commonly consumed in specialty restaurants or used in traditional medicine.

Research has shown that Vietnamese consumer markets are increasingly the destination for species such as tiger and bear, pangolin, freshwater turtles, snakes, and monitor lizards sourced from other Asian countries;

<sup>224</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

while products like rhino horn and ungulate horns sourced in Africa are frequently traded to Vietnam for domestic consumers.

Over-hunting and unsustainable levels of wildlife trade and consumption have led to widespread depletion of wildlife species from most forest areas in Vietnam, giving rise to the phenomenon of “empty forests”, in which wildlife density is very low.

Although the Government of Vietnam has recently increased its efforts and commitment to combat illegal wildlife trade and reduce consumer demand for wildlife products, such as signing in London Declaration, Kasane Declaration on wildlife and wild plant trade, Declaration against wildlife trafficking in the 9<sup>th</sup> East Asia Summit and Declaration on the 22<sup>nd</sup> APEC Economic Leaders’ Meeting including a provision for continued efforts against wildlife trafficking; as well as issuing strengthened wildlife protection policies and action plans including Directive 03/CT-TTg) on prioritizing enforcement to combat illegal poaching and wildlife trafficking, demonstrating the government’s recognition of the urgency of controlling and reducing illegal wildlife trade in Vietnam, Guideline 98-HD/BTGTW on enhancing communication to reduce wildlife consumption and trade, joining the ARREST program (Asia’s Regional Response to Endangered Species Trafficking) as a local partner, and developing the Vietnam-Wildlife Enforcement Network, current responses remain inadequate to keep pace with escalating trade and demand.

Root causes and barriers that need to be addressed in Vietnam include the following:

- There are still flaws in the legal and policy framework that make enforcement efforts difficult. Although studies have identified inadequacies, gaps and overlaps in the current policies and legal frameworks, the development of recommended regulations and legal documents requires more time and resources to complete, especially in new areas such as management of wildlife conservation breeding facilities and re-introduction to the wild; management of commercial captive breeding facilities to ensure they do not bring negative impacts to conservation; mechanisms for long-term species-based conservation programs; and many others.
- Weak law enforcement: Inter-agency cooperation has not been well coordinated despite the creation of Vietnam-WEN, because its coordination role and capacity has not been promoted; and law enforcement capacity is limited compared to the sophistication of wildlife trade operations controlled by organized criminal syndicates. Capacity building training for law enforcement officers has not been focused and institutionalized, and there are low incentives to combat wildlife crime when considering the high occupational risks for enforcement officer versus the low salaries and benefits.
- Awareness and support from the community for wildlife protection is not yet adequate. In particular, the private sector is not yet seriously engaged in conservation issues, providing only limited support and not yet mainstreaming conservation issues into business codes of conduct.

## 2) The baseline scenario or any associated baseline projects

This proposed project is designed to continue developing and scaling up the work begun under the project “Wildlife Consumption in Vietnam: Reforming policies and practices to strengthen biodiversity conservation” (WLC Project). The WLC Project was funded by the Global Environment Facility via the World Bank, and implemented by the Ministry of Natural Resources and Environment from 2012 up to May 2015.

It was the first project to attempt to make systematic efforts to address illegal wildlife consumption and demand reduction at a national level. It has also produced some important results, outcomes, and experience that have provided an important baseline for all future demand reduction efforts, and need to be further developed and expanded in order to secure long-term behavior change.

The baseline scenario created from relevant results from the WLC Project and other associated projects and grouped into three components to follow up current efforts as follows:

- *Strengthening policy and legal environment and data management to protect endangered species:* An in-depth review of the weaknesses and limitations of the legal framework for wildlife protection was conducted

under the WLC Project, which provided a comprehensive list of recommendations for policy revisions and amendments, which will become an important basis for all future efforts in strengthening the framework. Some key recommendations include further regulations to enable application of the Penal Code to Decree 160/2013/ND-CP, and regulations to specify and support the management of wildlife conservation breeding, develop a permit system and law enforcement and management monitoring system for the exploitation of species prioritized for protection (under Decree 160), review the implementation of Law on Biodiversity to determine the contents in need of revision and amendment relating to rare and precious species prioritized for protection and many others. The development of these regulations is in urgent need of completion in the shortest time. This project proposal is designed to fulfill these needs to strengthen the wildlife protection legal system and comply with international conventions to which Vietnam is a party.

- *Enhancing national enforcement infrastructure to reduce and deter illegal trade of endangered species:* A new directive was issued by the Prime Minister in February 2014 (Directive 03/CT-TTg) on prioritising enforcement to combat illegal poaching and wildlife trafficking, demonstrating the government's recognition of the urgency of controlling and reducing illegal wildlife trade in Vietnam. Although law enforcement efforts have been enhanced recently, it has been insufficient to adequately respond to the rapid increase in wildlife violations in Vietnam. According to statistics from Vietnam's National Forest Protection Department, from 2010 to the end of October 2014, there were 3,823 cases of wildlife violations, involving more than 58,869 individual wild animals, of which 3,078 were rare, precious and endangered species. These figures represent only a small portion of the quantity of wildlife being consumed domestically or smuggled to other countries, as it is estimated that only between 5-10% of all illegal trade is intercepted by authorities. The application of criminal measures is also very limited and inadequate to deter violators, with cases being slow to process and having a very low rate of successful prosecution. According to National Forest Protection Department statistics, between 2011 and 2013, 1028 cases of serious violations of regulations on management and protection of forests and forest products were prosecuted, involving 1233 criminal defendants; however, only 153 cases (15%) were actually brought to trial.

Under the scope of the WLC project, strengthening law enforcement capacity and effectiveness was targeted through various efforts including: supporting law enforcement agencies in organizing strategic enforcement campaigns against wildlife retail establishments; developing law enforcement support materials (law enforcement manual, species ID guide, WildScan phone application for species identification and reporting wildlife crime); and developing a database to track and record wildlife violations in Hanoi. However, these efforts are still at the initial stage. They will support law enforcement efforts more effectively when they are further improved and scaled up to other areas beyond Hanoi, such as hotspots for wildlife poaching, and illegal trade and consumption.

- *Strengthening partnerships, and scaling and institutionalising behaviour change campaigns, to reduce demand for wildlife consumption:* The WLC Project piloted a partnership approach, and developed the Wildlife Partnership Forum as a networking platform for collaboration between government agencies, offices and organisations, socio-political organisations, the private sector, and NGOs and international organisations. As such, communication activities have directly reached key target audiences with the active support and cooperation from forum members such as the Central Committee of Propaganda and Education, National Youth Union, relevant government ministries such as Ministry of Health, Ministry of Public Security, Ministry of Industry and Commerce, and others. . The communication campaigns were developed based on the results of various scientific studies and surveys on wildlife consumption (Institute of Sociology survey under WLC project in 2014, TRAFFIC survey in 2007, ENV survey in 2010), and achieved some significant results. However, campaigns were only conducted in limited areas and scales. Cooperation from other key partners such as Ministry of Education and Training (to target students and children) and the private sector (to target businessmen) has not yet been activated, therefore communications activities have not been comprehensive to have an overall impact on the whole of society.

There are also many NGOs working on various aspects of the demand reduction issue in Vietnam, including ENV, TRAFFIC, WWF, Humane Society International, Animals Asia Foundation, Wildlife Conservation Society, etc., but these efforts have not been well linked despite BCA's coordination efforts. Although these efforts have not yet resulted in any significant level of behavior change in Vietnam, it is certain that over time,

education and public awareness raising activities play a very important role in the prevention and reduction of illegal wildlife trade and consumption. For example, in 2012, WildAid reported a 50-70% reduction in shark fin consumption in China, and a government ban on serving shark fin soup at state banquets, as key results of longstanding communication campaigns targeting this issue.

### **3) The proposed alternative scenario, with a brief description of expected outcomes and components of the project**

The proposed project is designed to fit into the ‘*Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development*’, a global program coordinated by the World Bank Group to reduce impacts to known threatened species from poaching and illegal trade, and as such, the outcomes will support both the global and local contexts.

To achieve this, the project will apply a participatory and mainstreaming approach to reduce the threat of illegal poaching, trafficking and consumption, and protect globally significant species. As such, the project has been designed so that a range of agencies will take on implementing roles for specific and relevant output within this project, under the overall coordination of the Ministry of Natural Resources and Environment (MONRE). Agencies with implementing roles will include MONRE, Ministry of Agriculture and Rural Development, Ministry of Public Security, Ministry of Justice, Ministry of Health, Ministry of Education and Training, and Ministry of Finance. The project will focus on three main components:

#### *(i) Strengthening the policy and legal environment and data management to protect endangered species:*

- This component aims to continue to develop the regulatory and policy framework to enable effective protection of endangered species and biodiversity, in conformity with Vietnam’s obligations to the Convention on Biological Diversity (CBD), the Convention on International Trade of Endangered Species (CITES), and national laws. Expected output will include the development of regulations to instruct the implementation of the Law on Biodiversity, especially in applying the Penal Code to Decree 160 and developing specific and technical guidelines to manage wildlife conservation breeding facilities, review the implementation of Law on Biodiversity and recommend contents in need of revision and amendment relating to the conservation of rare and precious species prioritized for protection. These have been identified as some of the priority needs by the law and policy review conducted under the WLC Project.
- Long-term and specific national conservation programs for selected species under Decree 160 will be also developed, with initial focus on endemic primate and turtle species. The species conservation programs will also support the implementation of the NBSAP and Biodiversity Master Plan. Currently, national species conservation programs have only been developed for tiger and elephant species, but there are many other critically endangered species that are in urgent need of the support of a comprehensive conservation strategy, in particular the critically endangered and endemic primates and turtles. In addition, it is necessary to develop a database on rare and precious species prioritized for protection to support their management and conservation and periodically submit to the Government for approval the List of rare and precious species prioritized for protection.

#### *(ii) Enhancing national enforcement infrastructure to reduce and deter illegal poaching and trafficking of endangered species:*

- The challenges that law enforcement authorities face in managing illegal wildlife trade and consumption in Vietnam have been well documented in various studies, including in the legal review and consultation workshops carried out under the WLC Project. Some of the biggest challenges include the lack of capacity, equipment and training for law enforcement authorities, the lack of clear procedures and systems for handling evidence, the lack of prosecutions for criminal violations and inadequacy of punishments, and the lack of policy incentives for officials to implement the law fully and correctly. While Vietnam-WEN has been created, it is not yet an effective institution because it still lacks capacity, resources and support. This component is designed to build on the baseline scenario established under the WLC Project and address these shortcomings. It is expected that the Ministry of Agriculture and Rural Development would be most suitable to lead on this component, with Ministry of Public Security and Ministry of Justice also playing key implementing roles for particular output.

- In order to improve interagency cooperation and coordination for wildlife law enforcement, a national enforcement action plan will be developed in conformity with NBSAP requirements, including national monitoring and reporting measures, policing strategies, data collection, etc. There will be increased support for anti-smuggling enforcement authorities along Vietnam's borders, especially borders with Laos and China, with more resources, equipment, technology, the introduction of detection dogs to assist detection and investigations, training, and a sustained campaign to prevent corruption amongst border officials. Vietnam-WEN will also be strengthened and activated as a national taskforce for biodiversity protection, with the institutionalization of training programs, materials, tools and support for more effective investigations, patrolling, intelligence analysis, policing operations, etc.
- Systems and processes for managing and handling law enforcement relating to biodiversity will be strengthened with the development of secure central storage facilities for confiscated wildlife evidence, including a national database and related procedures for transparent and consistent handling and tracking of evidence;
- Retail outlets selling protected wild fauna and flora will be more effectively managed with regular enforcement campaigns in identified hotspot trade and consumption areas of Vietnam, followed up with targeted awareness campaigns (scaling up from WLC Project). Online auction sites and retail outlets will also be targeted with the development of strategies and methods to control and prevent online trade of illegal wildlife products.
- In order to improve the function of the regulatory framework as an effective deterrent against biodiversity violations, training programs and materials for judicial authorities and procurators will be institutionalized. This will support more effective prosecution of wildlife violations, including sentencing guidelines, applying sanctions to biodiversity and wildlife crime, and raising awareness of the seriousness of biodiversity crime.
- Anti-poaching measures will also be strengthened by increasing the capacity of local communities to protect wildlife. A pilot model will be developed to create multi-stakeholder anti-poaching patrol teams in protected areas, equipped with the necessary tools and specialised training. Patrol teams will consist of forest rangers, law enforcement officials, and local community members. Biodiversity protection will also be incentivized by developing a system to encourage and reward public tip-offs and excellent enforcement efforts that lead to successful arrests and prosecutions for biodiversity crime.

(iii) *Strengthening partnerships, and scaling and institutionalising behavior change campaigns, to reduce demand for wildlife consumption:*

- Some of the key findings from the study on wildlife consumer behavior and attitudes, conducted under the WLC Project, included a general low awareness of the consequences of wildlife consumption, the significant potential for future growth in the rate of wildlife consumption for food, medicine and ornaments, but also an overall willingness for consumers to try alternative, non-wildlife products (especially relating to traditional medicine). Following these findings, this component will build on the experience of the awareness activities and partnerships developed under the WLC Project, as well as that of other NGOs and organisations working in demand reduction activities in Vietnam. This component aims to increase the support for and awareness of biodiversity and wildlife protection within key target audiences, especially government agencies, socio-political organisations, non-governmental organisations, the private sector, and the public.
- In targeting young people, biodiversity education lessons will be institutionalised into the national school curriculum at all levels, and the partnership with the Central Youth Union will be expanded to reach young people nationwide with communication campaigns to reduce demand for wildlife consumption.
- In order to increase support for and awareness of biodiversity protection within the corporate, health and State sectors, the proposed project will establish an annual national awards program to recognize "Vietnam's Biodiversity Heroes", including government officers and civilians who make significant contributions to biodiversity protection. The national awards aim to encourage and add an incentive for

biodiversity protection efforts. Targeted, evidence-based communication campaigns will be implemented nationwide through expanded partnerships with the Central Committee for Propaganda and Education (CCPE) and the private sector, based on consumer survey and market research information, to reduce demand for consumption of endangered wildlife products amongst government officials and business people. New private sector partnerships will be developed, particularly targeting the transport industry to manage and eliminate the risk of transportation of wildlife products; the tourism industry to educate consumers and prevent the sale of wildlife food, drinks, souvenirs and gifts; and online retailers to prevent the online sale of illegal wildlife products. Research and development programs will be conducted to further develop safe, effective alternative medicinal products that don't contain protected plant and animal species; and training and communication programs for health students and professionals will be developed and institutionalized promoting the use of alternative medicine products.

- Partnerships between government agencies, NGOs, the private sector, and socio-political organisations, will be strengthened and supported by further development of the Wildlife Partnership Forum (coordinated by MONRE) as the networking and coordination platform for wildlife protection efforts. The project will also promote initiatives on wildlife protection for various NGOs and socio-political organisations through small-scale projects.
- Regional cooperation in demand reduction for selected species will be strengthened through increased participation in the ARREST Program (Asia's Regional Response to Endangered Species Trafficking) and increased regional cooperation among agencies and organisations on communication activities in international airports and borders. Cooperation of Vietnam-WEN with other WENs in Asia, Africa, Europe and Latin America will be enhanced through joint education and exchange in controlling transboundary and transcontinental wildlife crime. Implementation of MOUs with neighboring countries will be strengthened relating to the management and control of wildlife poaching, transportation and trafficking, especially MOUs with Laos, Cambodia, Thailand and China.

#### **4) Incremental cost reasoning and expected contributions from the baseline, the GEFTE, and co-financing**

Vietnam's policy and legal framework for the conservation and management of wildlife shows an overall direction that is consistent with the imperative of controlling illegal wildlife consumption and trade. The Government of Vietnam has indicated at a high level that this is an issue of concern, including by signing the London Declaration on Illegal Wildlife Trade in February 2014, by issuing the Prime Minister's Directive 03/QD-TTg (also in February 2014), Kasane Declaration on illegal wildlife trade on March 2015 and by approving Vietnam's National Tiger Recovery Program for the period 2014-2022, which will support Vietnam's commitments to the Global Tiger Initiative. However, there is still a very large gap between the overall legal framework and statements of political support, and the implementation of these regulations on the ground to result in effective control of illegal wildlife trade and real reduction in illegal wildlife consumption.

The review of weaknesses and limitations in the policy and legal framework, which was conducted under the WLC Project and released in September 2014, highlighted the lack of specific technical guidelines and procedures and many gaps, loopholes, overlaps and inconsistencies, which are inhibiting the ability of law enforcement officials to do their jobs effectively. For example, the Law on Biodiversity was passed in 2008, but the first Decree to implement it (Decree 160/2013/ND-CP on Species Prioritised for Protection) only just came into effect in January 2014, and further regulations are urgently needed in order to support its effective implementation and achieve the intended objective of conservation and sustainable use of wildlife. There is also a lack of knowledge, awareness, and confusion about policies and institutional structures, and a lack of best practice ideals to make real changes.

This GEF project will build on the existing baseline and systemic improvements created in the WLC Project, and incrementally apply technical assistance and expertise to make stronger inroads into the large problem of illegal wildlife trade and consumption. In the absence of this support, the momentum for change initiated in the WLC Project is likely to dissipate quickly and prematurely, before having the chance to amount to any significant results for wildlife protection or conservation on the ground. The baseline situation of unsustainable wildlife consumption and trade over-exploiting Vietnam's natural resources would then be expected to

continue for many years, and likely result in the extirpation or extinction of some particularly vulnerable species, such as tigers and pangolins. This scenario could be expected to occur not just in Vietnam, but potentially in neighboring countries as well.

Vietnam currently lacks the technical capacity to develop effective strategies and mobilise the cross-sectoral support that is necessary to address illegal wildlife consumption and trade. GEF support can add value by supporting the development of interagency approaches, helping Vietnam to identify effective approaches that have been applied elsewhere, and by helping Vietnam to monitor progress at national level and hence be able to better report on progress at international level, such as through CITES. The focus of project efforts will be on globally threatened species – both those sourced into wildlife trade from Vietnam, as well as species (and parts thereof) traded internationally (such as rhino horn, ivory, and tiger bone glue). This focus on global environmental benefits should complement GEF investments in other biodiversity conservation projects, including other wildlife poaching and trafficking projects and protected areas management projects in southern Africa and South and South-East Asia. It is expected that this project would provide learning and experiences that would be particularly valuable for application in efforts for regional cooperation with other wildlife source, transit and consumer countries in Asia, such as China and Thailand.

## 5) Global environmental benefits

Illegal wildlife trade and consumption is now widely recognized as a significant threat to biodiversity on a global scale, to be tackled with urgency. It has particularly important implications for globally threatened species such as rhino, elephant, tiger, and pangolin. However, international concerns also extend beyond the environmental issues and threats to species and ecosystems, to include threats to transnational security posed by organized criminal syndicates, human health impacts posed by the spread of zoonotic diseases, and the threat to economies and sustainable development posed by the loss and destruction of natural resources and biodiversity.

These concerns are reflected in various recent decisions by the Convention on Biodiversity, Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the United Nations General Assembly, INTERPOL, and others (UNEP report, 2014). In February 2014, the London Declaration on Illegal Wildlife Trade was signed by more than 40 countries including Vietnam, committing to greater efforts and coordination to strengthen policies and enforcement, and reduce consumer demand for wildlife products. Since 2012, many countries have also destroyed stockpiles of confiscated ivory to publicly demonstrate their commitment to end illegal poaching and trafficking, including Gabon, Philippines, United States, China, France, Chad, Belgium, and Hong Kong.

In this context, the proposed project aims to not only address the domestic challenges of illegal exploitation, trade and consumption of endangered species for Vietnam, but to also make an important contribution at the global level by reducing the impact of domestic trade and consumption on global biodiversity.

This aim will be supported by the inclusion of the proposed project as a child project in the ‘*Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development*’, which will ensure linkages and coordination with similar projects in other countries across the world, and the sharing of experience and lessons learned to combat wildlife trafficking.

For example, by strengthening policies and law enforcement, and reducing demand for wildlife products in Vietnam, the proposed project can help to reduce the impact of poaching in other countries that would otherwise service the demand in Vietnam, such as poaching rhinos in African countries, such as South Africa. This would reduce the negative effects on conservation efforts in those countries; the economic threats caused by degradation, loss of biodiversity, and negative impacts on the tourism industry; and the loss of livelihoods for local communities caused by loss of access to natural resources. The proposed project would also contribute to strengthening the rule of law and improved control of the illegal trade, aiming to reduce the power and spread of organised transnational criminal networks, and contribute to the restoration and enhancement of national and regional security.

GEF has continued to support the Government of Vietnam in important investments for the protection of the environment. Due to the global nature of this issue, by tackling poaching, trafficking and consumer demand in

order to support the needs of wildlife protection and conservation in Vietnam, the proposed project will also help to reduce the pressure on wildlife and biodiversity around the world.

This project is consistent with the objectives of the GEF-6 Biodiversity Strategy and Programming Directions. The expected output and outcomes will make a direct and significant contribution to BD 2-Program 3 on "Reducing Poaching and Illegal Trafficking of Threatened Species", by mainstreaming wildlife and biodiversity concerns across a wide range of government agencies and sectors, including agencies not traditionally concerned with wildlife and biodiversity issues.

## **6) Innovation, sustainability and potential for scaling up**

- (i) *Innovation*: The proposed project will continue to develop the multi-stakeholder, partnership approach piloted under the WLC Project, to combat illegal wildlife trade and consumption in Vietnam. This approach has been incorporated into the overall project design, with output and outcomes that engage other agencies as responsible implementing partners, to mainstream the illegal wildlife trade issue across sectors. This design will also enable the development of national expertise across a range of government agencies. The proposed project is also tackling the three pillars of poaching, trafficking and demand reduction together, in recognition that the issue needs to be addressed holistically in order to make an impact. The project design also includes several innovative outputs that aim to incentivize biodiversity protection for both the general public and government officials. For example, a sustainable biodiversity financing mechanism in the form of an asset recovery and restitution program for biodiversity crime which can be used to fund community conservation initiatives as well as partly channeled back into operational budgets for enforcement agencies; an annual awards program that recognizes and rewards outstanding efforts of civilians and government officials in biodiversity protection; and a system that rewards and encourages public tip-offs and excellent enforcement efforts that lead to successful arrests and prosecutions of biodiversity crime. The project is also looking to the future by incorporating biodiversity education into the national school curriculum for all school grades, with the aim of fostering a stronger understanding, appreciation and love of nature in children, in order to reduce future demand for wildlife consumption.
- (ii) *Sustainability*: By reducing the illegal poaching, trafficking and consumption of endangered wildlife species, the proposed project will contribute to the conservation and sustainability of biodiversity in Vietnam. Vietnam's economy is built on biodiversity and the natural resources it provides, so ensuring the sustainability of biodiversity is critical for socio-economic development. Reducing the risks and threats to biodiversity of international importance also gives additional support for global environmental sustainability.

The project will strengthen and improve the legal and policy framework for the management and protection of wildlife, aiming to enhance the transparency of the legislation system and simplify the implementation of regulations to enable more effective law enforcement on the ground. A strengthened and improved legal and policy framework will bring long-term benefits and sustainability for the environment and society that extend far beyond the completion of the project.

In addition, the project's multi-stakeholder approach, involving the participation of many government agencies in the implementation of relevant project components, contributes to the mainstreaming of conservation and biodiversity issues across many sectors and agencies. Mainstreaming these issues, increasing awareness, and strengthening policies, will make significant contributions to the sustainability of project outcomes and changing behavior for wildlife protection.

The project design recognises the importance of empowering the community to participate in biodiversity and wildlife protection is critical for long-term sustainability of controlling illegal trade and reducing demand for wildlife consumption. It has therefore incorporated output to stimulate and encourage community involvement, such as community participation in anti-poaching patrol teams, developing a fund that can finance community conservation initiatives, and systems that recognise and reward community efforts in biodiversity protection. Similarly, by investing in outcomes that support educating and mobilizing young people in support of biodiversity and wildlife protection, the project is building sustainability into its design.

- (iii) *Potential for scaling up*: As this is just the second project to implement systematic efforts to address illegal wildlife trade and consumption at a national level in Vietnam, and it is starting from a low baseline, there is significant

potential for scaling up outcomes and output. In general, aspects such as training, capacity building and education programs for enforcement and demand reduction can be expanded and strengthened, and through increased international cooperation, lessons learned can continued to be applied and exchanged. The policy and legislation support will be important to enable further species conservation programs to be developed and implemented on the ground, especially for species prioritized for protection under Decree 160/2013/ND-CP.

The project will also test and implement several specific initiatives that have great potential for scaling up within Vietnam, or replication elsewhere. For example, the project will develop and pilot a model for multi-stakeholder anti-poaching patrol teams in protected areas, which could be expanded nationwide if it proves to be an effective tool to engage local communities in biodiversity and wildlife protection.

As Vietnam becomes a middle-income country, it recognizes the need to develop new mechanisms to finance conservation and reduce reliance on ODA, and trialing the creation of a biodiversity conservation fund (as part of the asset recovery and restitution program) is an important step in achieving this. The biodiversity conservation fund could also be expanded to include other sources of finance, such as fines and administrative penalties paid from biodiversity crimes, and used to invest in a wider range of conservation projects in Vietnam.

A.2. *Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation.

Stakeholder	Role/Responsibility
Vietnam Environment Administration (VEA) / MONRE	VEA will be responsible for the overall coordination of the proposed project on behalf of MONRE. It will also be a lead agency for several components and outputs, including strengthening policies and institutionalising behavior change campaigns and programs
Ministry of Agriculture and Rural Development (MARD)	MARD will be a key partner in project activities to strengthen and build capacity of Vietnam-WEN; and strengthen enforcement activities in implementing biodiversity laws
Ministry of Public Security (MOPS)	MOPS will be a key partner in implementing project activities including developing a national enforcement action plan, strengthening anti-trafficking efforts along Vietnam's borders, conducting regular enforcement campaigns, and contributing to capacity building and training efforts of Vietnam-WEN
Ministry of Justice (MOJ)	The MOJ will be a key partner in developing and institutionalising training programs and capacity building for court, judicial and procuracy officials; and supporting the strengthening of the wildlife protection policy and legal framework
Ministry of Health (MOH)	The MOH will be a key partner in activities to develop and implement research programs for safe alternative medicinal products that don't contain endangered species; and institutionalising training and communication programs for students and professionals on the use and promotion of alternative products
Ministry of Education and Training (MOET)	The MOET will be a key partner in implementing the project component on institutionalising biodiversity education in the national school curriculum, and supporting the dissemination of wildlife and biodiversity education activities generally throughout the school system
Central Committee for Propaganda and Education	CCPE is under the Communist Party of Vietnam, and is a key partner in implementing and communicating government and Party policies and directions on biodiversity and wildlife conservation to party members and the public.

Socio-political organisations	Socio-political organisations such as the Communist Party's Central Committee for Propaganda and Education, and the Central Youth Union, will be important partners for disseminating communication and awareness campaigns to their membership and the general public to reduce consumer demand for wildlife products
Provincial, District and Commune People's Committees (PCs)	The PCs will be important in supporting the implementation of law enforcement efforts to control and reduce illegal wildlife trade, and communication and awareness campaigns at the local level to reduce consumer demand for wildlife products
International and local non-governmental organisations (NGOs)	NGOs will be important partners and will have the opportunity to contribute expertise to the development of project plans and activities, as well as to partner with the project on the implementation of certain activities, particularly in the behavior change component
National and provincial press and media	The project will cooperate with press and media on public awareness issues to educate and inform the general public, and reduce demand for wildlife consumption
Universities, research institutes and conservation experts	Relevant conservation-related experts will have the opportunity to contribute to and benefit from the project through studies, scientific surveys, workshops and educational activities
Private sector	The private sector and relevant corporate associations such as the Vietnam Young Entrepreneur's Association will be key partners to engage in awareness campaigns and activities for behavior change targeting the business community
Local communities	Local communities will directly benefit from the project's objectives of the protection of biodiversity resources. They will also benefit from project components aimed at improving livelihoods, such as incentives and rewards for wildlife protection, and the development of community-based monitoring systems
Target audience groups	Key target audience groups including youth, corporate, health and State sectors will benefit from targeted communication activities, gaining enhanced awareness of wildlife protection, biodiversity conservation, and sustainable use of natural resources

**A.3 Risks.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable).

Objective/Outcome	Risk	Risk Rating	Risk Management
<b>Objective:</b> To apply a participatory and mainstreaming approach to reduce the threat caused by illegal wildlife poaching, trafficking and consumption to globally significant species	Conflicts and misunderstandings between implementing partners; or agencies are not willing to cooperate effectively, undermining the partnership approach	Medium	Where possible, formal agreements /MOUs will be used to clearly define roles and responsibilities of implementing partners. This project will also build on the experiences and lessons learned in coordinating agencies under the WLC Project. It will utilize and strengthen existing inter-ministerial groups through regular meetings, assigned focal points, and small focused studies to improve the coordination between agencies.
<b>Outcome 1.1:</b> A regulatory and policy	Inadequate promulgation of new policies to relevant	Medium	Develop a promulgation strategy to accompany new policies, including

framework in place to enable effective conservation of wildlife and biodiversity	authorities, undermining their implementation and effectiveness		holding training workshops with key implementing agencies on how to apply the new policies
<b>Output 1.2:</b> Established database and information sharing mechanism on endangered wildlife	Information is not updated and systemized	Low	Establishing mechanism to share and update species information and data
<b>Outcome 2.1:</b> Improved interagency cooperation and coordination in implementing and enforcing biodiversity and wildlife protection regulations	MARD, MONRE, MOPS and other agencies are not willing to cooperate effectively in a coordinated approach to enforcing wildlife protection regulations	Medium	Where possible, formal agreements /MOUs will be used to clearly define roles and responsibilities of implementing partners, and existing inter-ministerial groups will be utilized with regular meetings, to improve coordination.
<b>Outcome 2.2:</b> Strengthened systems and processes for managing and handling law enforcement related to biodiversity	Maintaining security at storage facility	Medium	Storage facility will be designed with high level security features, location kept confidential and access restricted to relevant authorities only.
	Effective design of procedures to manage transportation costs and ensure consistent handling and tracking of confiscated evidence	Low/Medium	Seek technical support from experts and consultation with enforcement authorities to ensure procedures are practical, logical, and no loopholes.  Ensure that State budget is allocated to law enforcement operational budgets to cover the costs associated with transporting confiscated wildlife evidence to secure storage facilities.
<b>Outcome 2.3:</b> More effective enforcement of retail outlets selling products made from protected wildlife species in hotspot areas of Vietnam	Corruption from retailers to law enforcement agencies compromises arrest, prosecution, and punishment	Medium/High	The risk of corruption cannot be avoided, but can be minimised by enhancing transparency and national monitoring systems, and implementing incentives and recognition mechanisms to encourage effective enforcement efforts.
<b>Outcome 2.4:</b> Improved function of the regulatory framework as an effective deterrent against biodiversity violations, with an increased number of successful prosecutions of criminal violations	Corruption from violators to enforcement officers compromises arrest, prosecution and punishment	Medium/High	The risk of corruption cannot be avoided, but can be minimised by enhancing transparency and national monitoring systems, and implementing incentives and recognition mechanisms to encourage effective enforcement efforts.
	Inadequate evidence collection and case building affects ability to prosecute violations	Medium/High	This risk will be offset by project components to build capacity and training for enforcement officers in intelligence gathering and analysis, policing operations, investigations, etc.
<b>Outcome 2.5:</b> Strengthened anti-poaching measures, reduced rates of poaching incidents,	Failure to attract the interest of local communities to join anti-poaching patrol teams	Low/Medium	Use incentives to encourage local communities to support and participate in anti-poaching measures, such as providing a stipend, training, equipment, etc.

increased number of arrests for wildlife crime, and increased capacity of local communities to protect wildlife	Corruption from poachers to patrol teams to avoid arrest and punishment	Medium/High	The risk of corruption cannot be avoided, but can be minimised by enhancing transparency and national monitoring systems, and implementing incentives and recognition mechanisms to encourage effective enforcement efforts.
	Conflict and difficulties in managing cooperation between various stakeholders in patrol teams	Low	Design clear guidelines and procedures for patrol teams, including formal agreements /MOUs to clearly define the roles and responsibilities of all stakeholders.
	Maintaining transparency and chain of evidence in investigation processes to track public tip-offs that contribute to successful enforcement efforts	Medium	Seek expert technical assistance to design the reward system, based on learnings and experience of models used in other countries. Design clear and practical guidelines and procedures, including a procedure to monitor and track tip-offs, and training workshops to manage the system.
<b>Outcome 3.1:</b> Improved understanding and awareness of wildlife and biodiversity issues amongst students and young people	Challenges to engage MOET cooperation in developing and rolling out new biodiversity curriculum	Low	Work via the Central Committee for Propaganda and Education of the Communist Party to help develop a formal MOU and cooperative partnership with MOET.
<b>Outcome 3.2:</b> Increased support for and awareness of wildlife protection within corporate, health and State sectors	State employees respond negatively or not at all to state media campaigns.	Medium	The project will build on the experience and lessons learned in the WLC Project, and collaborate with the Central Committee for Propaganda and Education of the Communist Party in communication campaigns for the state sector.
	Private sector is difficult to reach, or it is difficult to find private sector champions to work with.	Medium	The project will work with the Vietnam Young Entrepreneur's Association to recruit private sector champions for this cause (relationship already established with VYEA under WLC Project).
<b>Outcome 3.3:</b> Strengthened partnerships (government /NGOs /private sector /socio-political organisations) for wildlife protection	Conflicts and misunderstandings between partners; or agencies are not willing to cooperate effectively, undermining the partnership approach	Medium	The Wildlife Partnership Forum will be used to engage with partners and maintain clear, open and transparent communication throughout project. Formal agreements will be used to manage major partnerships. Activities will be designed and implemented in a win-win manner, beneficial to all, as far as possible.
<b>Outcome 3.4:</b> Strengthened regional cooperation for demand reduction in selected endangered species	Lack of political will in neighboring countries for enhancing cooperation; conflicts in developing /implementing MOUs	Medium	Seek the support and mediation of relevant international development organisations (such as GEF Implementing Agencies) to help enhance cooperation with neighboring countries.
	Lack of interest in airport authorities to cooperate	Low	The project will learn from the experience and lessons of NGOs working on similar

	with communication campaigns		campaigns in other countries, such as Freeland in Thailand.
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*A.4. Coordination.* Outline the coordination with other relevant GEF-financed and other initiatives.

(i) The project will coordinate with the following relevant GEF-financed projects:

- Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (WBG-GEF): The proposed project aims to fit into this global program as a child project, and link with similar projects in other countries across the world. Through the partnership, the proposed project will benefit from and contribute to the coordination of efforts, and sharing of experience and lessons learned to combat wildlife trafficking.
- Capacity Building for Access and Benefit-sharing of Genetic Resources and Associated Traditional Knowledge in Vietnam (UNDP-GEF): Although the proposed project will not work directly on the protection of genetic resources, it is anticipated that there will be synergies in both project's attempts to motivate an attitudinal change of Vietnamese people in regards to biodiversity, through adding a value and income benefits from biodiversity to the economic argument of biodiversity conservation.
- Combating Illegal Trade in Wildlife and their Products in Asia from Source to Destination (UNEP-GEF): This regional project is still at the project inception stage, but when finalised and approved, will be directly relevant to the proposed project in terms of building regional cooperation and approach to strengthen legal and judicial systems, and enforcement measures. It is anticipated that much of the work done at the national level of the proposed project will directly benefit and support efforts at a regional level.
- Reducing Demand for Illegal and Endangered Wildlife Products in Key Markets (WWF-GEF): This regional project is also still in the project inception stage, but when finalised and approved, will have many synergies with this proposed project, especially in terms of the components on strengthening policies and targeted user outreach. The WWF project will benefit from much of the work already done at the national level under the WLC Project, and the two projects will coordinate closely to ensure work is complementary and avoids duplication.

(ii) The project is designed to improve interagency coordination and cooperation on wildlife poaching, trafficking and consumption, and it also seeks to support and inform the existing institutional structures designed to promote interagency coordination. The project will communicate the project outcomes, findings, lessons learnt from the field, and significant outputs to the members of two inter-ministerial committees that are relevant to this project: the National Steering Committee on Biodiversity Conservation (chaired by the Minister of MONRE, with 11 members representing all major ministries, reporting directly to the Prime Minister); and the Vietnam Wildlife Enforcement Network (chaired by the Vice-Minister of MARD, with representatives from all relevant law enforcement and regulatory agencies). Information reported from the project will assist in the committees' planning, analysis and operations. In addition, the National Monitoring and Reporting System will inform both of these committees and will also assist in MONRE's statutory reporting responsibilities on the "State of the Environment" to the National Assembly.

(iii) There are a number of local and international NGOs working in Vietnam with existing programs or projects addressing illegal and unsustainable consumption of wildlife. These include the Wildlife Conservation Society (WCS), Education for Nature – Vietnam (ENV), TRAFFIC, Wildlife at Risk (WAR), Fauna & Flora International (FFI), WWF, Freeland Foundation, Animals Asia Foundation, and others. As a state agency with a biodiversity management and protection mandate, BCA and the project will serve as a focal point to facilitate collective actions, as well as bring the results of these NGO initiatives to the policy fora. The proposed project will work closely with NGOs via the Wildlife Partnership Forum and hosting regular partnership meetings, to share project plans, results, learnings, etc., to seek input and consultation, to collaborate in technical activities and awareness raising activities, and to ensure that all efforts are complementary.

(iv) The ADB-funded Greater Mekong Subregion Biodiversity Corridors Project (Phase II) in Central Vietnam aims to establish a biodiversity corridor regime in three central provinces with functioning management plans and

enforced local policy and legal framework. MONRE is the executing agency for this project, and BCA will lead on a number of activities. This project will be improving the livelihoods of local communities and their capacity to manage and protect forests and natural resources in the corridors. Major components are targeted to awareness raising and encouraging a strong local role in biodiversity conservation, both *in situ* and through reducing engagement in illegal wildlife trade. The project will be active in Quang Nam, Quang Tri and Thua Thien Hue Provinces. About \$10 million of this \$34 million project will be focused on the community livelihood and community-based biodiversity conservation components. About a tenth of that, or \$1 million, has been designated as cofinancing for this project by MONRE because of the strong linkages to be developed. The project teams will maintain close communication to ensure lessons and field implementation issues relating to policy and laws are fed upwards to national analyses and revisions. The fact that BCA manages both projects will help ensure complementarity of actions and financing.

- (v) The ARREST program (Asia's Regional Response to Endangered Species Trafficking) is funded by United States Agency for International Development (USAID) and implemented by Freeland (a Bangkok-based NGO). It is a regional effort to combat illegal wildlife crime, bringing together a consortium of partners including government agencies, NGOs and private sector organisations in ASEAN countries, China and South Asia. The program focuses on reducing consumer demand, strengthening law enforcement, and strengthening regional cooperation and anti-trafficking networks. The project will coordinate closely with the ARREST program, particularly relating to counter trafficking efforts and awareness raising programs. Coordination and collaboration is assured by the fact that the Biodiversity Conservation Agency (under the Vietnam Environment Administration and MONRE) is also a local ARREST partner in Vietnam.
- (vi) The USAID has recently launched the five-year Governance for Inclusive Growth program (GIG Program) from 2014 to 2018 worth 42 million USD, which seeks to support the Government of Vietnam's efforts to improve governance and accountability, as a means to bring about broad-based, sustainable growth. The GIG Program will work directly with the National Assembly and several Ministries to provide technical assistance, training, institutional strengthening, grants, and other direct support. Within the framework of the GIG Program, a program on Combatting Wildlife Trafficking is being developed, which will focus on enhancing enforcement, coordination, and institutional capacity building relating to combatting wildlife trafficking in Vietnam. Through this program, the proposed project will coordinate and collaborate, particularly on output relating to strengthening the policy framework, enhancing enforcement, and increasing community participation in wildlife protection.
- (vii) The Asian Development Bank (ADB) is currently working with the Supreme People's Court of Vietnam (under MOJ) to conduct a needs assessment of illegal wildlife trade and environmental crime in the justice system. ADB's work in strengthening the judicial system to more effectively deal with environmental crime is of particular relevance to this proposed project, and will support the outputs on strengthening the capacity of judicial authorities to handle and prosecute wildlife crime. The project will coordinate with ADB and MOJ where relevant to support their work, and incorporate their experiences and lessons learned.
- (viii) The United Nations Office on Drugs and Crime (UNODC) is currently working with the Government of Vietnam via MARD, MOJ and other agencies to implement the Wildlife and Forest Crime Analytic Toolkit. The Toolkit is a technical resource to assist government officials to conduct a comprehensive analysis of the strengths and weaknesses of preventative and criminal justice responses and other measures relating to the protection of wildlife and forest products, which are critical to curtailing wildlife and forest crime both nationally and internationally. After the national analysis mission is complete, UNODC will support the design and delivery of national capacity building programs and technical assistance. The proposed project will coordinate with UNODC wherever relevant, to support the analysis of legislation, enforcement, judiciary and prosecution, and drivers and prevention for wildlife crime in Vietnam.
- (ix) Addressing domestic trade and consumption of endangered and protected wildlife is a key focus of a number of CITES resolutions/decisions and also under the ASEAN action plan on wildlife trade control (including ASEAN-WEN). MONRE and MARD will ensure significant outcomes of this project are reported in the relevant fora towards these national commitments.

- (x) The proposed project will coordinate with Vietnam's National Tiger Recovery Program for the period 2014-2022, which contributes to Vietnam's commitments to the Global Tiger Initiative, because many of the project's outputs and outcomes directly support the objectives of the Tiger Recovery Program. In particular, there are synergies in efforts to reduce the threats to tigers and their prey base, reduce the decline of wild tiger populations, and tighten controls on illegal tiger/wildlife farms. As BCA under MONRE is the national focal point for the Global Tiger Initiative, it will assist the coordination between the proposed project and the National Tiger Recovery Program.
- (xi) The proposed project will work via Vietnam-WEN to strengthen regional cooperation with other Wildlife Enforcement Networks in Asia, Africa, Europe and Latin America, through joint education and exchange in controlling transboundary and transcontinental wildlife crime.
- (xii) The project will coordinate bilaterally with neighboring countries, including Laos, Cambodia, Thailand and China, to strengthen the implementation of Memoranda of Understanding (MOUs) relating to the management and control of wildlife poaching, transporting and trafficking.

### **DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:**

*B.1. Consistency with National Priorities.* Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.

The Government has issued a large number of laws, decrees, regulations, and other legal instruments to address illegal wildlife trade and consumption. The overriding policy originates from the Penal Code (amended in 2009), the Law on Biodiversity (2008) and the Law on Forest Protection and Development (2004). These laws prohibit the illegal hunting, shooting, trapping, catching, keeping in captivity, killing, buying, selling, doing business with, storing, processing, transporting, using, consuming, advertising, importing, and exporting of protected species in Vietnam. In addition, the issuance of the Biodiversity Law (2008) highlighted the increasing attention from the Government on wildlife conservation and the importance of changing public attitudes and behaviours towards preserving wildlife species and the use of their products.

The project supports the implementation of 2008 Law on Biodiversity and Decree 160/2013/ND-CP on the Criteria to Determine Species and the Regime to Manage Species Under the List of Endangered, Precious and Rare Species Prioritised for Protection; by developing stronger regulations to implement this legislation, as well as by reducing illegal wildlife trade and consumption, which is one of the most critical threats facing wildlife species. It also supports the implementation of other important government policies, such as the Prime Minister's Directive 03/CT-TTg issued in February 2014, on prioritising enforcement to combat illegal poaching and wildlife trafficking, and the Communist Party's Central Committee for Propaganda and Education (CCPE) issuance of Guideline 98-HD/BTGTW in December 2013, on enhancing communication to reduce consumption and trade of wildlife products.

The Government of Vietnam has approved national action plans on biodiversity protection such as the "National Biodiversity Strategy to 2020, Vision to 2030" (approved by Prime Minister's Decision 1250/QD-TTg), in which one of the three specific targets is to improve the quality and populations of endangered, rare and precious species, ensuring that no new case of species extinction is reported, and to significantly improve the status of endangered, rare and threatened species. In addition, Decision 1250 assigns various ministries to develop relevant priority programs and projects, including MONRE on strengthening the institutional systems for biodiversity management; MARD on controlling illegal wildlife trade; and MOPS on strengthening biodiversity crime prevention. The National Master Plan on Biodiversity Conservation to 2020, Vision to 2030 (approved by Prime Minister Decision 45/QD-TTg), also states as its overall objective that important natural ecosystems, endangered, rare and precious species, and genetic resources are preserved and sustainably used. The project is consistent with both of these important national biodiversity planning documents.

Vietnam has been a member of both CBD and CITES since 1994; and operates a relatively large Interpol NCB with officers working on wildlife crime issues and participating in Wildlife Crime working group operations

and intelligence-sharing tools. In February 2014, Vietnam was one of more than 40 countries to sign the London Declaration on Illegal Wildlife Trade, committing to greater efforts and coordination to strengthen policies and enforcement, and reduce consumer demand for wildlife products.

Vietnam also participates in the ASEAN-Wildlife Enforcement Network with national focal points in CITES Management Authority, National Environmental Police and the General Department of Customs Anti-smuggling Unit. During 2014-2015, Vietnam also holds a leadership position in chairing the ASEAN-WEN.

Lastly, in April 2014, the Prime Minister approved Vietnam's National Tiger Recovery Program for the period 2014-2022, which contributes to Vietnam's commitments to the Global Tiger Initiative, and aims to protect and conserve tigers, their habitat and prey, reduce the decline in wild populations, and investigate and tighten control on tiger farming operations. The implementation of the proposed project will directly contribute to the priorities identified in the national action program for Vietnam through reducing the threats to tigers and their prey base. Therefore, the project is fully supportive and consistent with the common vision developed under the global initiative for tiger conservation, which is seen as a flagship species in Vietnam to support the broader agenda of biodiversity conservation.

These above mentioned policies and plans have created the appropriate legal and policy framework at a broad level to mobilise support for the protection of highly endangered species, and conservation of the biodiversity of Vietnam. However, as already noted above, at the level of individual policies and decrees, there are many gaps, overlaps, and problems in the policy framework that need to be addressed.

## 20. Integrated Forest and Sustainable Land Management Program (ZIFL-P) (Zambia)

### PART I: PROJECT INFORMATION<sup>225</sup>

Project Title:	Integrated Forest and Sustainable Land Management Program (ZIFL-P)
Country(ies):	Republic of Zambia
GEF Agency(ies):	WB (select) (select)
Other Executing Partner(s):	Forestry Department Zambia Wildlife Authority
GEF Focal Area(s):	Multi-focal Areas

### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>226</sup>:

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-1 Program 1 (select) (select)	GEFTF	1,600,086	5,000,000
BD-2 Program 3 (select) (select)	GEFTF	1,083,400	0
(select) CCM-2 Program 4 (select)	GEFTF	1,341,743	15,000,000
LD-1 Program 1 (select) (select)	GEFTF	1,341,743	5,000,000
(select) (select) SFM-3	GEFTF	2,683,486	15,000,000
Total Project Cost		8,050,458	40,000,000

### B. CHILD PROJECT DESCRIPTION SUMMARY

**Project Objective:** Increase the effective management of the Conservation Areas and enhance the overall living conditions of communities in and around the Conservation Areas to catalyze economic development.

Project Components	Financing Type <sup>227</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
Increased Carbon Stocks	TA/Inv	Targeted policy, legal and regulatory frameworks to address the drivers of increased emissions from and depletion of carbon in agriculture, forest, and other land-use adopted and enforced  Sustainable management practices that lead to long-term climate change mitigation and carbon sequestration adopted in agricultural lands, forests, and in the wider landscape introduced	1,300,000	23,000,000

<sup>225</sup> This Concept Note is intended to convey whatever preliminary information exists at this stage on a child project and that is indicative of how it will contribute to the overall Program.

<sup>226</sup> When completing Table A, refer to the Program Results Framework, which is already mapped to the relevant *Focal Area Results Framework* in the *GEF-6 Programming Directions*.

<sup>227</sup> Financing type can be either investment or technical assistance.

Project Components	Financing Type <sup>227</sup>	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
Poverty Reduction	TA/Inv	Good management practices are applied in all forests by relevant government, local community, and private sector actors.  Enhanced forest-based livelihoods for communities and smallholders.	1,797,248	5,000,000
Institutional Strengthening	TA/Inv	Forest management plans and community conservation plans that integrate agriculture with forestry/wildlife management plans  Capacity building of local government in REDD+ design, implementation, monitoring, and overall management	1,950,688	5,000,000
Biodiversity Conservation	TA/Inv	Improved management effectiveness of new protected areas  Reduction in poaching rates of rhinos and elephants and other threatened species and increase in arrests and convictions  Increased area of production landscapes that integrate conservation and sustainable use of biodiversity into management	2,600,000	5,000,000
Subtotal			7,647,936	38,000,000
Project Management Cost (PMC) <sup>228</sup> (select)			402,522	2,000,000
<b>Total Project Cost</b>			<b>8,050,459</b>	<b>40,000,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	Biocarbon fund	Grant	40,000,000
<b>Total Co-financing</b>			<b>40,000,000</b>

<sup>228</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
WB	GEFTF	Zambia	Biodiversity	(select as applicable)	2,683,486	241,514	2,925,000
WB	GEFTF	Zambia	Climate Change	(select as applicable)	1,341,743	120,757	1,462,500
WB	GEFTF	Zambia	Land Degradation	(select as applicable)	1,341,743	120,757	1,462,500
WB	GEFTF	Zambia	SFM	(select as applicable)	2,683,486	241,514	2,925,000
<b>Total GEF Resources</b>					<b>8,050,458</b>	<b>724,542</b>	<b>8,775,000</b>

d) No need to fill this table if it is a single Agency, single Trust Fund, single focal area and single country project.

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

f) If Multi-Trust Fund project :PMC in this table should be the total amount; enter trust fund PMC breakdown here ( )

**PART II: PROJECT JUSTIFICATION**

Project Overview

**A.1. PROJECT DESCRIPTION. BRIEFLY DESCRIBE: 1) THE GLOBAL ENVIRONMENTAL AND/OR ADAPTATION PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED; 2) THE BASELINE SCENARIO OR ANY ASSOCIATED BASELINE PROJECTS, 3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT, 4) INCREMENTAL/ADDITIONAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF, SCCF, AND CO-FINANCING; 5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND/OR ADAPTATION BENEFITS (LDCF/SCCF); AND 6) INNOVATION, SUSTAINABILITY AND POTENTIAL FOR SCALING UP.**

Sub-Saharan Africa's rich biodiversity endowment serves as the foundation for many local and national economies, including the livelihoods of millions of people. Yet, the decimation of habitats, plants, and animals in the wild continues at an unprecedented pace. The recently published Living Planet Report (2014) states that overall terrestrial species populations have declined by 39% between 1970-2010.

In Africa, this decline in biodiversity is reflected in population trends for the iconic African Elephant *Loxodonta Africana* which have experienced dramatic declines in all regions of Africa, predominantly a result of poaching to supply the wildlife trade. It is estimated that forest elephants have declined by 62% between 2002 and 2011. This significant decline in elephant populations reflect the fact that wildlife poaching has been and is a growing threat.

In 2009, Zambia scored 35% (110<sup>th</sup> rank among 135 countries) on the Human Poverty Index (HPI-1). The percentage of population living under the poverty line in Zambia is 68 and rural poverty is significantly higher than urban poverty. Such high poverty, and its underlying human development indicator, creates a situation whereby communities have few alternatives but transform natural ecosystems for energy, farm land, and food. The Government of the Republic of Zambia (GRZ) has recognized that cross-sectoral and integrated rural development approach including biodiversity conservation and promotion of eco-tourism through the protected area network is an opportunity to enhance rural livelihoods strategies and options. The challenged is to achieve cost-effective conservation while enhancing livelihoods particularly of adjacent communities around protected areas.

## **Baseline: Parent Project Description and Background**

The World Bank is assisting the Government of Zambia in preparing a project called the Zambia Integrated Forest and Sustainable Land Management Program (ZIFL-P). It will be financed by the BioCarbon Fund Initiative for Sustainable Forest Landscapes (BioCF ISFL). Conceived to be initially a US\$ 10 million technical assistance grant, it will be followed by about US\$ 30 million of carbon financing through the BioCarbon Fund. This project's geographic focus will be the Eastern Province of Zambia and the proposed Project Development Objective is to promote reduced greenhouse gas emissions from the land sector in the Eastern Province, while simultaneously improving rural livelihoods and wildlife conservation.

The discussions to date between Zambia's GEF Focal Point and the World Bank have pointed to the country's interest in a set of GEF-financed investments in the Eastern Province that would be a multi-focal project with investments in biodiversity protection, sustainable forestry management, and sustainable livelihoods. There is a remarkable confluence of ideas and proposals between the ZIFL-P and a proposed GEF investment, so it is proposed to blend GEF financing with the BioCarbon Fund-financed project. This will ensure the availability of co-financing for the GEF investment, will allow for a larger project overall, and will increase the leverage and impact of the GEF funds and bring a relatively greater benefit to Zambia.

## **Alternative Scenario: Indicative Project Structure**

Sections below provide a description of the proposed components in the BioCF/GEF blended project and a more explicit explanation of the proposed use of the GEF resources. It is important to mention that more details cannot be provided in this PIF as the full scoping mission to detail activities is scheduled for March 23 to April 8, 2015. The government has however endorsed the GEF resources for this project based on this indicative project structure.

The GEF funded activities would all be incremental to the overall program and address the institutional and financial sustainability of public conservation areas, private sector game farms and community conserved areas.

The proposed pillars of the project, which could eventually become project components, are the following:

### **Pillar 1: Increased carbon stocks**

The proposed BioCF investments would include activities that directly address drivers of deforestation and would promote sustainable agricultural land management resulting in improved soil carbon and enhancement of carbon stocks through afforestation and reforestation.

GEF financing of \$1.5 million (possibly more if LDCF funding can be accessed; see footnote on first page) would add additional resources to help achieve GEF outcomes: i) "Targeted policy, legal and regulatory frameworks to address the drivers of increased emissions from and depletion of carbon in, agriculture, forest, and other land-use adopted and enforced"; and ii) "Sustainable management practices that lead to long-term climate change mitigation and carbon sequestration adopted in agricultural lands, forests, and in the wider landscape introduced."

### **Pillar 2: Poverty Reduction**

Activities will be supported that will reduce poverty, improve livelihoods and provide alternatives to deforestation-dependent communities. A variety of possible investments and approaches are under consideration.

GEF financing of US\$ 1.5 million from the Land Degradation window would be added to the project design to support conservation agriculture livelihood investments, particularly in areas adjacent to critically important protected areas.

Additionally, the GEF would provide \$US 3.0 million from the Sustainable Forest Management Financing window. Investments would help achieve the two following GEF outcomes: i) "Good management practices are applied in all forests by relevant government, local community and private sector actors"; and ii) "Enhanced forest-based livelihoods for communities and smallholders."

### **Pillar 3: Institutional Strengthening**

Under this component, the BioCF would finance forest management plans and community conservation plans that integrate agriculture with forestry/wildlife management plans.

GEF financing from any or all of the windows could be included under this component if the intention is to specifically support institutional strengthening.

#### **Pillar 4: Biodiversity Conservation**

The BioCF project intends to support national strategic protected areas. Support could include carbon payments, capacity building, and support to protected area management.

GEF financing would add substantial additional funding (US\$ 3.0 million) to support national parks in the project area, as agreed with ZAWA and the GEF FP. There is an expectation that the project would build on the GEF-financed Nyika Transfrontier Conservation Area Project, currently under implementation, and the GEF financing would focus substantial investments in Lukusuzi National Park, promoting wildlife connectivity with Kasungu National Park in Malawi, both integral parts of the Nyika TFCA. It should be noted that under a separate GEF-funded project in Malawi, being prepared by Malawian authorities and the World Bank, complementary financing would be provided to Kasungu National Park.

The two national parks of Lukusuzi and Kasungu are separated by an important corridor for wildlife movement of customary land of about 12-25 km wide and 490 km<sup>2</sup>. This corridor is under threat and its loss would be a major loss to regional conservation goals. The total size of the TFCA component, including the former corridor, is about 5,639 km<sup>2</sup> with Kasungu National Park contributing 2,316 km<sup>2</sup> and the Lukusuzi National Park 2,729 km<sup>2</sup>. This complex is connected in turn to the national parks in the Luangwa Valley via several Game Management Areas, parks that are expected to be the focus of the BioCF investments.

Specifically, three GEF outcomes would be supported: i) “Improved management effectiveness of new protected areas”; ii) “Reduction in poaching rates of rhinos and elephants and other threatened species and increase in arrests and convictions”; and iii) “Increased area of production landscapes that integrate conservation and sustainable use of biodiversity into management”.

It is expected that financing from German cooperation (KfW) will be available as additional parallel co-financing as they are developing a project with Zambia to support the northern parts of the Nyika TFCA, but not in the area of the Lukusuzi NP.

**Incremental Reasoning:** In complement with the baseline activities, the GEF resources under the proposed project will be developed as a multi-focal area operation combining several GEF strategic goals that are fully consistent with GEF-6 strategies and policies. The proposed project will be specifically aligned with the following GEF’s focal area strategic objectives:

Biodiversity focal area strategic objectives:

- 1) BD-1: Improve sustainability of protected area systems
- 2) BD-2: Reduce threats to globally significant biodiversity.

Land degradation focal area strategic objectives:

- 3) LD-3: Integrated landscape management practices adopted by local communities based on gender sensitive needs.

Climate Change focal area strategic objectives:

- 4) CC-2: Demonstrate systemic impacts of mitigation options. Program 4: Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture.

Sustainable Forest Management focal area strategic objectives:

- 5) SFM-1: Maintained Forest Resources: Reduce the pressures on high conservation value forests by addressing the drivers of deforestation.
- 6) SFM-4: Increased Regional and Global Cooperation: Enhanced regional and global coordination on efforts to maintain forest resources, enhance forest management and restore forest ecosystems through the transfer of international experience and know-how.

**Global Environmental Benefits:**

Global environmental benefits resulting from the project include:

**Biodiversity**

- Conservation of globally significant biodiversity
- Sustainable use of the components of globally significant biodiversity.

**Land Degradation**

- Improved provision of agro-ecosystem and forest ecosystem goods and services;
- Reduce soil erosion and watershed degradation; and
- Conservation and sustainable use of biodiversity in productive landscapes.

**Climate Change**

- Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture

**Sustainable Forest Management**

- Reduction in forest loss and forest degradation; and
- Maintenance of the range of environmental services and products derived from forests.

*A.2. Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

This project will build on a far-reaching network of stakeholders at the local, national, and regional levels. At the national level, government commitment is key to the success and sustainability of this project, as described above. As a result the project will provide a platform to magnify its interventions across all branches of government including the Executive, the Legislative, the Judiciary and Ministries of Justice, Finance, Tourism, Defense, Planning and Natural Resource Management, to name just a few. Working with law enforcement and protected area agencies with jurisdiction over the species and their habitats, rural communities dependent on natural resources for their livelihoods, the transportation networks illegal wildlife travels within, the borders it crosses and the court systems the criminals are brought before, is critical.

The project will also work closely with community-based organizations and local communities, who are invested in the sustainable management of biodiversity, including wildlife, and the income and job opportunities that it provides. This engagement will go beyond consultation to actively involve communities in the design and implementation of child projects and in the learning across the project.

The project will also work with national and international non-governmental organizations (NGOs) and private actors who will be a key part of the delivery of Program activities. These entities include traditional environmental and conservation organizations, tourism entities, business leaders, religious leader, celebrities, marketing firms and advocacy organizations with established expertise in wildlife management, community development, and deterring wildlife crime.

*A.3 Risk.* Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

The risk section will be filled out upon return from the detailed scoping mission.

*A.4. Coordination.* Outline the coordination with other relevant GEF-financed and other initiatives:

The Norwegian Government is supporting COMACO Ltd. With a \$14.5 grant (2014-2018) to scale the CAMACO model to 160,000 households across the Luangwa Valley, with support to integrate carbon markets in the mix of economic incentives directed at communities demonstrating compliance to sustainable land use and agricultural practices. Adding to these efforts is a further \$6 million grant (2012-2015) from USAID to provide direct farmer support services in conservation agriculture and farm product development. As a stand-alone, non-profit commercial enterprise, COMACO seeks to achieve \$25 million in gross sales of farm and off-farm products under the brand *It's Wild!* As a source of revenue to sustain farmer compliance to conservation agriculture and to community conservation plans.

The Government of Zambia is leading the implementation of a \$4.49 million United Nations Joint Programme on Reducing Emissions from Deforestation and Forest Degradation (UN-REDD) with the support of the United Nations Development Programme (UNDP), the Food and Agriculture Organization (FAO) of the United Nations Environment Programme (UNEP). The UN-REDD programme has been implementing and concluding major outputs, including analytical work and studies such as on the drivers of deforestation, economic context of REDD+, legal preparedness for REDD+ , finance, incentives and benefit sharing options and opportunities for REDD+, forest management practices and initiatives of relevance to REDD+, assessment of capacity and capacity needs for REDD+ implementation, and role of private sector in REDD.

Description of the consistency of the project with:

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSEMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /NO  ). IF YES, WHICH ONES AND HOW: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCS, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURS, ETC.:**

This project is designed within the broader development agenda, known as the Vision 2030, which aims to make Zambia a “prosperous middle-income country by 2030” with guidance from the Sixth National Development Plan (SNDP). This project helps develop relevant actions at the jurisdictional level in key sectors such as agriculture, energy, and forests that align to the Climate Response Strategy and the National REDD+ Strategy through public private partnerships.

This project will also contribute to achieving Target 12 of the Aichi Biodiversity Targets: “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.” Countries participating in this programme have identified poaching and the illegal wildlife trade as a significant threat in their National Biodiversity Strategies (NBSAPs).

## **21. Strengthening Biodiversity and Ecosystems Management and Climate-Smart Landscapes in the Mid to Lower Zambezi Region of Zimbabwe**

### **PART I: PROJECT INFORMATION**

Project Title	Strengthening Biodiversity and Ecosystems Management and Climate-Smart Landscapes in the Mid to Lower Zambezi Region of Zimbabwe
Country(ies):	Zimbabwe
GEF Agency(ies):	UNDP
Other Executing Partner(s):	Ministry of Environment, Water and Climate (MEWC)
GEF Focal Area(s):	Multi-focal Area (Biodiversity, Land Degradation, Climate Change, Sustainable Forest Management)

### **A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES:**

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
<b>BD-1</b> Improve sustainability of protected areas systems / <b>Program 2</b> Nature's last stand: Expanding the reach of global protected areas estate	GEFTF	1,024,312	4,000,000
<b>BD-2</b> Reduce threats to globally significant biodiversity / <b>Program 3</b> Preventing the extinction of known threatened species	GEFTF	1,100,000	6,000,000
<b>LD-2</b> Forest Landscapes: <b>Program 3:</b> Landscape Management and Restoration	GEFTF	3,540,459	17,000,000
<b>CC-2</b> Demonstrate systemic impacts of mitigation options / <b>Program 4</b> Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture	GEFTF	1,015,872	10,000,000
<b>SFM 3:</b> Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes	GEFTF	3,345,321	5,000,000
Total Project Cost		<b>10,025,964</b>	<b>42,000,000</b>

### **B. CHILD PROJECT DESCRIPTION SUMMARY**

**Project Objective:** To promote an integrated landscape approach to managing wildlife resources, carbon and ecosystem services in the face of climate change in the protected areas and community lands of the Mid to Lower Zambezi Regions of Zimbabwe

Project Components	Financing Type	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
1. Strengthening capacity and governance frameworks for integrated biodiversity, carbon and land-use management in Zimbabwe	TA	<p>1.1 Development and implementation of an integrated governance framework to promote the value of wildlife and biodiversity for Zimbabwe's national development and to combat illegal wildlife trade.</p> <p>1.2 Implementation capacity in place to combat illegal wildlife trade through a coordinated approach.</p> <p><i>Indicators:</i></p> <ul style="list-style-type: none"> <li>• <i>Development and implementation of harmonised BD, LD, CC policy and legislative framework; NBSAP II targets met; new PA, IWT, Wetlands, SFM and related PPCP frameworks and strategies developed and implemented;</i></li> <li>• <i>Significant improvements in the capacity of key role players on IWT as indicated by customised Capacity Development Scorecard</i></li> </ul>	1,000,000	4,000,000
2. Strengthening and expanding Zimbabwe's PA estate in areas of global BD significance [site level]	TA	<p>2.1 Expansion of the protected area estate through the establishment of three additional Community Wildlife Conservancies (CWCs) established in Mbire, Hurungwe and Dande (covering 415,700 ha) and corridors connecting these to formal PAs.</p> <p>2.2 Improved management effectiveness and enforcement over a total area of 1,092 million hectares, which includes key PAs, Forest and Wetland landscapes [specifically in the Mana Pools (219,600 ha), Chewore and Sapi (457,000 ha), and contiguous wildlife areas of Hurungwe, Dande and Doma (415,700 ha).</p> <p><i>Indicators:</i></p> <ul style="list-style-type: none"> <li>• <i>Additional estimated 415,700 ha under effective protection (sites and hectares to be confirmed in PPG)</i></li> <li>• <i>Biodiversity enforcement improved over 676,600 ha of important PA complexes;</i></li> <li>• <i>Stable elephant population in the landscape;</i></li> </ul>	4,023,872	18,000,000

Project Components	Financing Type	Project Outcomes	(in \$)	
			GEF Project Financing	Co-financing
		<ul style="list-style-type: none"> <li>Improved management effectiveness as measured by the METT scorecard;</li> <li>Increased prosecutions and convictions relating to IWT [to be determined at PPG]</li> </ul>		
3. Mainstreaming BD and ES management, and climate change mitigation, into the wider landscape	TA	<p>3.1 Adoption of management practices and community-centred initiatives building on ‘Communal Areas Management Programme for Indigenous Resources’ (CAMPFIRE) that supports sustainable local income generation and also reduces potential involvement in wildlife crime.</p> <p>3.2 Rehabilitation of degraded lands, and sustainable land and forest management measures implemented in new conservancies to enhance soil fertility and carbon sequestration.</p> <ul style="list-style-type: none"> <li>Indicators: Number of small grants disbursed in support of SLM, SFM and CBNRM;</li> <li>SLM benefits covering 4,050,000 ha (to be confirmed in PPG);</li> <li>Enhanced carbon sequestration as a result of agroforestry, rehabilitation, climate smart agriculture and wetland management</li> </ul>	4,524,665	18,000,000
Subtotal			9,548,537	40,000,000
Project Management Cost (PMC) GEFTF			477,427	2,000,000
<b>Total Project Cost</b>			<b>10,025,964</b>	<b>42,000,000</b>

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust

### C. CO-FINANCING FOR THE PROJECT BY SOURCE, BY TYPE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Government	Ministry of Environment, Water and Climate (MEWC), Climate Change Department	Grant	10,000,000
Government	Environment Management Authority (EMA)	Grant	6,500,000
Government	Parks and Wildlife Management Authority	Grant	15,500,000
Government	Forestry Commission	Grant	2 000,000
Government	Ministry of Local Government, Rural and Urban Development	Grant	3,500,000
Others	UNESCO	In-kind	120,000
GEF Agency	UNDP	Cash	2,500,000
CSO	WWF	Grant	50000
CSO	Practical Action	Grant	50000

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
CSO	Environment Africa	Grant	20000
CSO	Kariba Redd+	Grant	1,000,000
Private Sector	Safari Operators	Grant	750,000
Research Institute	Harare Institute of Technology	Grant	10000
<b>Total Co-financing</b>			<b>42,000,000</b>

#### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee 9% (b) <sup>b</sup>	Total (c)=a+b
UNDP	GEFTF	Zimbabwe	Biodiversity		2,124,312	195,688	2,370,000
UNDP	GEFTF	Zimbabwe	Land Degradation		3,540,459	319,541	3,870,000
UNDP	GEFTF	Zimbabwe	Climate Change		1,015,872	94,128	1,140,000
UNDP	GEFTF	Zimbabwe	MFA	SFM	3,345,321	304,679	3,690,000
<b>Total GEF Resources</b>					<b>10,025,964</b>	<b>914,036</b>	<b>11,070,000</b>

#### E. PROJECT PREPARATION GRANT (PPG)

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

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

Project Preparation Grant amount requested: \$130,000					PPG Agency Fee: 11,700		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee (b)	Total c = a + b
UNDP	GEF TF	Zimbabwe	Biodiversity		70,000	6,300	76,300
UNDP	GEF TF	Zimbabwe	Land Degradation		18,300	1,700	20,000
UNDP	GEF TF	Zimbabwe	Climate Change		30,000	3,700	33,700
UNDP	GEF TF	Zimbabwe	Multi-focal Areas	SFM			
<b>Total PPG Amount</b>					<b>118,300</b>	<b>11,700</b>	<b>130,000</b>

## PART II: PROJECT JUSTIFICATION

### Project Overview

#### 1. Project Description

**The Problem:** Zimbabwe is a landlocked country in southern Africa, lying between latitudes 15° and 23° south of the Equator and longitudes 25° and 34° east of the Greenwich Meridian. It has a total land area of 39 million hectares (ha), of which approximately 43% or 16.8 million ha is under forests. The country is bordered by Mozambique to the east, South Africa to the south, Botswana to the west and Zambia to the north and north-west. The Zambezi River to the north and the Limpopo River to the south form Zimbabwe's borders with Zambia and South Africa, respectively. Most of the country is elevated in a central plateau (Highveld), stretching from the south-west to the north-west at altitudes between 1,200 and 1,600 metres. The country's east is mountainous, with Mount Nyangani as the highest point in the country at 2,592 metres (m). About 20% of the country consists of the Lowveld below 900m, with the Zambezi and Limpopo river valleys found in the north and south, respectively having the lowest altitudes of approximately 500m.

Zimbabwe's protected areas (PA) network covers 28% of the total land area, with national parks constituting 13%, gazetted forests 3%, conservancies and private game parks 1.9%, and the Communal Areas Management Programme for Indigenous Resources (known as CAMPFIRE) 11.9%. The CAMPFIRE Programme represents a crucial element of Zimbabwe's overall PA network. It is a community-based natural resources management (CBNRM) programme developed by the Government of Zimbabwe in the late 1980s. The programme is principally designed to promote the sustainable utilisation of natural resources and preserving the rich natural heritage of Zimbabwe, through the generation of income for rural communities. Since 1975, Zimbabwe has allowed private property holders to claim ownership of wildlife on their land and to benefit from its use. Under CAMPFIRE, people living on Zimbabwe's impoverished communal lands, which represent 42% of the country, claim the same right of proprietorship. Conceptually, CAMPFIRE includes all natural resources, but its focus has been wildlife management in communal areas (known as community wildlife conservancies or CWCs), particularly those adjacent to national parks, where people and animals compete for scarce resources.

Since its official inception in 1989, CAMPFIRE has engaged more than a quarter of a million people in the practice of managing wildlife and reaping the benefits of using wild lands. Today, CAMPFIRE operates with the support of the Zimbabwe Parks and Wildlife Management Authority, as part of its conservation function in rural areas, in which 58 out of 60 Rural District Councils (RDCs) in Zimbabwe participate. CAMPFIRE has proven most successful in high value wildlife areas with low populations and low levels of agriculture, which have attracted substantial levels of ecotourism. However, many of the CWCs that make up the CAMPFIRE network face severe threats from poaching.

Zimbabwe's forest biodiversity comprise plantations, protected indigenous forests, woodlands, bush land and wooded grasslands. Currently, approximately 42.3% (16.8 million ha) of Zimbabwe's total land area is under woodland and forests whilst bush land and wooded grassland cover 10.8% and 2.3% of the total surface area, respectively. The major forest-types in Zimbabwe are Miombo, Teak, Mopane, Acacia, Combretum/Terminalia and Montane.

Biodiversity and associated ecosystems form the basis of Zimbabwe's social and economic development. According to the Medium Term Plan (MTP) released in 2010, about 23% of rural households derive their income from forest-based activities in Zimbabwe (MTP, 2010). The current economic planning framework, namely the Zimbabwe Agenda for Sustainable Socio-Economic Transformation (ZIMASSET) 2013-2018 and other predecessor frameworks in the last ten years, acknowledge that the key economic sectors of agriculture, mining, industry, energy and tourism are dependent on natural resources and the environment. Zimbabwe's tourism industry, which contributed 10% to the GDP in 2012 (Government of Zimbabwe Budget Statement, 2014<sup>229</sup>), is largely dependent on the services and products derived from protected ecosystems. Eighty percent of the population live in the rural areas and derive their livelihoods from agriculture and biodiversity. Communities depend on water, food, medicines and biomass energy provided by the environment around them. They generate incomes through timber and non-timber forest resources, jobs for local communities through tourism, recreational and hunting ventures, and livestock rearing and cropping (market gardening). They also provide manure and biomass energy for small-scale agro-processing and domestic fuel needs. In 2011, about 61% of the country's energy needs, including urban and peri-urban areas, were provided for by the forest sector through wood fuel (Ministry of Energy, 2011<sup>230</sup>).

Besides providing ecological services, protected areas provide a source of livelihood for adjacent communities. The protected areas have continued to provide food, medicines, fuel-wood and materials for crafts and for their cultural and spiritual needs. The Communal Areas Management Programme for Indigenous Resources (CAMPFIRE<sup>231</sup>) was a model created for communities adjacent to protected areas to benefit from protected area resources. The CAMPFIRE area constitutes 47.1% of the total protected area network and covers 55,208 km<sup>2</sup> (USAID, 2010<sup>232</sup>). Community participation in wildlife management through CAMPFIRE has supported various eco-tourism projects benefitting more

<sup>229</sup> Hon. P. A. Chinamasa, Zimbabwe The 2014 National Budget Statement, "*Towards an Empowered Society and a Growing Economy*", December 19, 2013

<sup>230</sup> NewsDay, Zimbabwe, "*Wood fuel provides 61% energy to Zimbabwe's industry*". <https://www.newsday.co.zw/2014/04/28/wood-fuel-provides-61-energy-zimbabwes-industry/>. Accessed 03.24.2016

<sup>231</sup> CAMPFIRE is a national community-based natural resource management and use programme. It is one of the first initiatives to consider wildlife as renewable natural resources, while addressing the allocation of its ownership to indigenous peoples in and around conservation protected areas.

<sup>232</sup> USAID, "*Community Based Natural Resource Management Stocktaking Assessment, Zimbabwe Profile*". March 2010.

than 1 million households in 57 Districts throughout Zimbabwe<sup>233</sup>. Hunting forms the major source of revenue for CAMPFIRE districts and generated US\$ 2,064,075 revenue in 2012.

There are diverse commercial operations within the PA network. They include consumptive and non-consumptive tourism, commercial and artisanal fishing, trade in game products, hardwood timber harvesting, non-timber forest product harvesting and secondary business operations such as accommodation, transportation, tanneries, fish processors, crocodile and fish farming, bird gardens, snake parks, hardwood furniture manufacturing companies, taxidermists and safari training institutions. Estimated direct revenue from protected areas is US\$ 417.2 million annually<sup>234</sup>. Approximately 32,770 (excluding secondary industries) and an estimated 46,000 people directly derive employment from the network. The economic benefits from protected area forests and CAMPFIRE areas stated above are estimated to contribute 3% to GDP according to FAO and ZIMSTATS. Many indicate this is an underestimate as some activities are unaccounted for. The CAMPFIRE programme benefits more than million households and generated US\$ 2.5 million in 2012.

Poaching, especially of commercially important large mammals such as the elephant, is a major threat. There are costs associated with this threat. Poaching of major species in PA estates led to an estimated cumulative loss of US\$ 47.5 million between 2009 and 2012. Close to US\$ 5 billion worth of elephant, rhino and lion standing stock<sup>235</sup> stand threatened from poaching and other human activity. Bush meat hunting reduced trophy hunting income in the Save Valley conservancy by US\$ 1.1 million per year in the last 5 years<sup>236</sup>. Recent poaching incidents in protected areas show that poaching and internal trafficking methods have become sophisticated. The use of cyanide poisoning at water holes (chemical poaching), for example, is particularly upsetting anti-poaching efforts. Effective anti-poaching is also hampered by lack of capacity to collect crucial information. There is also lack of scientific information for effective wildlife management. The Government spends US\$ 50 million annually to fight invasive alien plant species and livestock diseases emanating from wildlife areas. Zimbabwe's protected and communal area forests store 134,500 and 52,000 million tonnes of carbon, respectively.

The major threats to the integrity of the protected areas network and related ecosystems are mostly human. These include fires, climate change, poaching, mining, agricultural expansion and human encroachment into protected areas, invasive alien species, zoonotic diseases such as foot and mouth, fuel wood use, decline in the cotton farming sector due to the fall in global cotton prices, and lack of harmony in policies, especially for transboundary ecosystems. Poverty and food insecurity are some of the underlying factors to the human threats. There are economic, social and ecological costs associated with these threats.

Human wildlife conflict (HWC) has become a common phenomenon across most communities bordering protected areas in Zimbabwe. The opening-up of land for agricultural expansion, population expansion and encroachment into game corridors and protected areas has fragmented and reduced the wildlife range, thus increasing high incidences of livestock loss from predation by lions, hyena, leopard and crocodiles in most wildlife districts. The Parks and Wildlife Authority reported 335 cases of human-wildlife encounters in the first quarter of 2015. Baboons, hippos and elephants destroyed not less than 100 hectares of crop fields in Tsholotsho, Hwange, Mudzi, Bulilima, Gokwe North, Vungu, Binga and Mbire in 2005. The increase in human population around protected areas and the resultant encroachment into protected areas, and increasing livestock populations, have also been reported to result in increases in human-wildlife conflicts<sup>237</sup>. According to AWF Zambezi Heartland, elephants are estimated to be responsible for up to three-quarters of all crop damage caused by wildlife<sup>238</sup>. Poaching and killing for defence is often used by rural communities in retaliation for loss of crops, lives and assets caused by wildlife. In the first quarter of 2015, at least 12 endangered African elephants, 5 lions and 14 hippos were killed in retaliatory defence.

<sup>233</sup> Gandiwa et al., 2014 An Assessment Of Local People's Participation In Natural Resources Conservation In Southern Zimbabwe. *Journal of Environmental Research and Management Vol. 5(2)*. pp. 042-046. Available on <http://www.e3journals.org>

<sup>234</sup> Madzara (2013). Monetary Quantification of Protected Areas study for the NBSAP

<sup>235</sup> according to values given in SI 56 2012

<sup>236</sup> Lindsey et al (2013). Bushmeat trade in Africa's Savannas: Impacts, Drivers and Possible Solutions. *Biological Conservation Volume 160* pp 80-96.

<sup>237</sup> Lamarque et al. (2009) Human-wildlife conflict in Africa. Rome: Food and Agricultural Organization of the United Nations (FAO)

<sup>238</sup> Muruthi, P., (2005). Human Wildlife Conflict: Lessons Learned From AWF's African Heartlands. AWF Working Papers

Zimbabwe is experiencing one of the highest levels of deforestation in Southern Africa. It is estimated that 330,000 ha, or 1.8% p.a. of forests, are lost per annum. Not so long ago, 66% of Zimbabwe's land area was covered with woodlands and forests.<sup>239</sup> In 1992, a comprehensive survey of vegetation cover carried out by the Forestry Commission, using satellite imagery, reported that woodland cover had reduced to 54% of the land area.<sup>240</sup>

In 1997, UNDP noted deforestation as a major problem confronting Zimbabwe and cited a loss of forest cover of between 70,000 and 100,000 hectares per year (UNDP, 1997<sup>241</sup>). Estimates made by the Zimbabwe Forestry Commission in 2008 indicated that forest and woodland cover had reduced to 42.3%.<sup>242</sup> Zimbabwe's Fourth National Report to the Convention on Biodiversity (CBD), submitted in 2010, recognised that the major changes to the country's forest biodiversity are "a result of a decline in woodland cover from 53% in 1992 to 42.3% in 2008 and expansion of crop cultivated land from 27.5% in 1992 to 41.2% in 2008". Other sources suggest that Zimbabwe's forest and woodland coverage declined by eight per cent per decade between 1990 and 2010.<sup>243</sup> This observation is further reinforced by FAO, which indicates that, over the period 1990 to 2010, Zimbabwe was one of ten countries in the world with the largest annual net loss of forest area.<sup>244</sup>

Forest cover decline is mainly due to agricultural expansion, both in rural and newly resettled areas. In gazetted indigenous forests, human encroachment resulting in unsustainable exploitation of fuel-wood, infrastructural developments and uncontrolled fires have been the major causes of deforestation. Deforestation and forest degradation are more prevalent in resettlement areas, where there is significant agricultural expansion and high demand for wood-fuel for domestic use and resale.

The livelihoods of rural households in areas adjacent to protected areas, and in wider communal and resettlement areas, rely on rain fed/dry land agriculture. Climate change-induced droughts, lack of access to inputs and poor soils all contribute to low average yields under rain-fed crop production (generally commonly being <100kg maize per hectare) to sustain farmers' livelihoods. Farming large tracts of land to meet household requirements in this context exerts further pressure on forest land. With climate change having caused severe droughts in Zimbabwe in recent years, maize production is at risk throughout the country due to its notably poor performance against droughts. Farmers are also forced to clear more land for agriculture and to seek the few remaining forest areas to supplement their livelihoods. This is placing significant pressure on the forest ecosystems and their carrying capacities are declining.

Zimbabwe also harbors extensive wetland ecosystems. In 2009, Zimbabwe had 1,117, covering 793,348 hectares (amounting to 1.8% of the total surface area) and providing major socio-economic benefits to many rural communities in Zimbabwe and ecological services including carbon sequestration and storage services. Following its accession to the Ramsar Convention in 2011, Zimbabwe now has seven wetlands designated as Ramsar Sites: Monavale Vlei, Cleveland Dam, Mana Pools, Lake Chivero and Manyame, Chinhoyi Caves, Victoria Falls National Park and Driefontein Grasslands. The majority of Zimbabwe's wetlands (60%) fall within communal and resettlement areas and are prone to high levels of degradation. The major causes of wetland degradation are unsustainable human activities such as overgrazing cultivation and excessive use of fertilisers. Industrial waste discharge, informal agriculture and infrastructure development are additional threats that face urban wetlands such as Manyame.

### **Baseline:**

In 2013, Zimbabwe launched the development of its second-generation National Biodiversity Strategy and Action Plan (NBSAP II) to address some of the threats facing biodiversity in the country as well as fulfilling its obligations under the United Nations Convention on Biological Diversity (UNCBD) and the Aichi Biodiversity Targets. The process was funded by the GEF and UNDP under a three-year project titled "National Biodiversity Planning to Support the

<sup>239</sup> Forestry Commission 1996, VegRIS Reports 2002, 2008, <http://www.fao.org/docrep/005/ab603e/ab603e03.htm>

<sup>240</sup> 4<sup>th</sup> National Report to CBD.

<sup>241</sup> Zimbabwe-Country Profile, Implementation of Agenda 21: Review of Progress Made Since The United Nations Conference on Environment and Development, 1992. Chapter 11

<sup>242</sup> Forestry Commission (2011) Report on National State of Genetic Resources.

<sup>243</sup> GRID-Arendal (2013) Zambezi River Basin- Atlas of the Changing Environment

[http://www.grida.no/graphicslib/detail/change-in-proportion-of-land-area-covered-by-forests-in-zimbabwe\\_e012#](http://www.grida.no/graphicslib/detail/change-in-proportion-of-land-area-covered-by-forests-in-zimbabwe_e012#)

<sup>244</sup> FAO. 2010. Global Forest Resources Assessment 2010 Main report. FAO FORESTRY PAPER 163. <http://www.fao.org/docrep/013/i1757e/i1757e.pdf>

Implementation of the CBD 2011-2020 Strategic Plan in Zimbabwe”. The vision of the NBSAP II is “a Zimbabwe with resilient ecosystems and biodiversity values for social, political and economic development”. The mission of the strategy is “to utilise traditional knowledge, research, technology, innovations and best practices to protect the environment, conserve and sustainably use biodiversity and ecosystems to benefit present and future generations”.

The NBSAP, through its strategic objectives, aims to contribute to national development targets in the economic strategy for the period 2013-2018, the Zimbabwe Agenda for Sustainable Social Economic Transformation (ZimAsset). Implementation of NBSAP II will be coordinated by the Biodiversity Office in the Ministry of Environment, Water and Climate (MEWC) and guided by the National Biodiversity Forum. NBSAP II is aligned with the Zimbabwe Constitution, which has been recently updated, and which provides for biodiversity conservation through the founding principles and values (Chap. 1: Section 3) national objectives (Chap. 2), environmental rights (Section 73) and provisions for provincial and metropolitan councils (Section 270). Zimbabwe has relatively strong legislative instruments, which include the Parks and Wildlife Act, Zimbabwe’s Environmental Management Act, Forestry Act, Communal Areas Produce Act and the Local Government Act.

Zimbabwe’s Environmental Management Act [Chap. 20:27] has 28 provisions for environmental management, which provide an overarching framework for sectoral integration of environmental issues. The Permanent Secretaries of 12 sectoral ministries, including those that cause biodiversity loss, serve on the National Environmental Council and the Standards and Enforcement Committee, which provides a platform for sectoral integration of biodiversity issues. Provision for the Environmental Management Agency (EMA) Board to conduct hearings on environmental issues is a foundation for the planned establishment of an environmental issues court.

- Provisions for control of invasive alien species in the Environmental Management Act [Chap. 20:27] focus only on plant species, although invasive alien species include birds, animals, insects and micro-organisms. Proceeds of the carbon tax (a tax on sources that emit carbon dioxide in the atmosphere, payable by every motorist to the Zimbabwe Revenue Authority) should ideally accrue to the EMA for use in rehabilitation of degraded lands, soil conservation and waste management, but this is not the case.
- The Indigenisation and Economic Empowerment Act [Chap. 14:33] recognises natural resources as finite resources that have to be used to benefit indigenous people. In the Indigenisation Act, provisions for use of community share ownership trust funds include gully reclamation, soil conservation and general environmental conservation;
- Spatial planning provides an opportunity for addressing tensions and contradictions among sectoral policies through territorial organisation of land use. The Regional Town and Country Planning Act [Chap. 29:12] provides for spatial planning. Development and settlement patterns have, however, not followed set guidelines in many instances, a sign of poor implementation or enforcement.
- The Draft Comprehensive Agricultural Policy Framework 2012-2032 recognises the need for compliance with intellectual property rights requirements and international and local sanitary and phytosanitary standards. The agricultural policy recognises the value of agro-ecological zones and recommends their re-assessment in response to climate change impacts.

Zimbabwe is a Party to the UNFCCC and is currently working on the National Climate Change Policy. Previously, climate change issues were covered by various uncoordinated sectoral policies, strategies and action plans, and these sectoral policies were largely biased towards environmental protection. The establishment of a Climate Change Department in the Ministry of Environment Water and Climate and the launch of a National Climate Change Response Strategy in 2014 have facilitated more coordinated efforts for climate change response. The mission of the Climate Change Strategy is to ensure sustainable development and a climate-proofed economy through engagement of all stakeholders and recognition of the vulnerable nature of Zimbabwe’s natural resources and society. Its goal is to mainstream climate change adaptation and mitigation strategies into economic and social development at national and sectoral levels through multi-stakeholder engagement. Key pillars of the response strategy include (i) adaptation and disaster risk management. (ii) mitigation and low-carbon development strategies, (iii) capacity building, (iv) governance framework for climate response, (v) finance and investment, (vi) technology development and transfer, and (vii) communication and advocacy, information management and dissemination.

The present project will seek to build on a number of historic initiatives that have either been completed or are coming to a close. These include:

- UNDP-implemented ‘*Coping with Drought and Climate change (CwDCC) in Zimbabwe*’, Phase 1 was completed that worked to enhance the capacity of agricultural and pastoral communities in Zimbabwe to adapt to climate variability and change. The primary project objective was to demonstrate and promote adoption of a range of gender-sensitive approaches for adaptation to climate change among rural communities currently engaged in agriculture in vulnerable areas of the Chiredzi.
- The completed ‘*Conservation and Sustainable Use of Traditional Medicinal Plants*’ (TMP) project, implemented by UNESCO and funded by the GEF, sought to promote the conservation, sustainable use and cultivation of endangered medicinal plants by demonstrating effective models at the local levels, developing a legal framework for their conservation, sustainable use and equitable sharing of the benefits of products from medicinal plants at the national level.

The following projects are currently active in ecosystems and biodiversity management and climate change mitigation, and will comprise the baseline for the present project:

- The World Bank-implemented, GEF-financed ‘*Hwange-Sanyati Biological Corridor (HSBC) Environment Management and Conservation*’ project is under implementation. The objective of the project is to provide tools for the sustainable management of the Hwange-Sanyati Biological Corridor (HSBC), which is located in north-western Zimbabwe. The HSBC is one of the four biodiversity hotspots in Zimbabwe and the Government is committed to ensuring that the ecological integrity and biodiversity are protected and that local communities can continue to benefit from wildlife gaming and tourism activities. The project has three components: i) improving PA management effectiveness whose aim to improve the management in the Hwange National Park and the livelihoods of communities living in the buffer areas of the park; ii) improving land and forest management across the HSBC though developing tools to address land degradation, land-use change and deforestation; and iii) addressing institutional technical capacities to better manage the ecosystem using the landscape approach.
- The ongoing *CAMPFIRE Programme*, implemented by the Ministry of Local Government, Rural and Urban Development, aims to help rural communities to manage their resources, especially wildlife, for their own local development. The programme's central objectives are to: 1) obtain voluntary participation of communities in a flexible programme which offers long-term solutions to problems of resources, 2) introduce a system of group ownership with defined rights of access to natural resources for communities residing in the target areas, 3) provide the institutions needed by resident communities to manage and exploit resources legitimately for their own direct benefit; and 4) provide technical and financial assistance to communities, which join the programme to enable them to realise these objectives. The performance of the Communal Areas Management Programme for Indigenous Resources programmes has been declining. For many years it has been recognised that lack of security of tenure and the inability of communities to enter into legal agreements (as they do not constitute a legal entity) constrain effective benefit-sharing under CAMPFIRE. Rural District Councils, which act as custodians of the wildlife resources on behalf of the communities, capture the bulk of benefits. This approach has not directly channeled benefits to individual households in monetary terms. This approach has not provided adequate incentives to communities to conserve. Complaints about human-wildlife conflicts are increasing. Poaching is also increasing, resulting in wildlife depletion.
- The ongoing ‘*Community Biodiversity Monitoring Project*’, funded by a grant from the Rufford Foundation, aims to train community volunteers to effectively record and monitor key species in the Matobo area during their daily activities, such as walking to and from school. This generates usable data for assessing distribution and abundance of species whilst raising awareness of conservation issues. It seeks to link with other ongoing projects to provide training for National Parks staff in biodiversity monitoring, GIS skills and data management and analysis skills.
- The Ministry of Environment Water and Climate, in partnership with OXFAM, is implementing a project on ‘*Scaling-Up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods*’ in three districts. The project

addresses a number of climate-related risks faced by smallholder farmers in Natural Region V of Zimbabwe. The main objective of the project is to scale-up adaptation measures that reduce the vulnerability of rural communities, particularly women small-holder farmers affected by climate variability and change in the targeted project area. UNDP is supporting the Government of Zimbabwe through the Environment Management Agency to implement a related project, '*Scaling-Up Adaptation in Zimbabwe through Strengthening Integrated Planning Systems*'. The overall objective of this project is to strengthen planning and budgeting processes, development and climate change adaptation investment frameworks at national and district levels.

- The *Kariba REDD+ Programme* was initiated in Mbire, Nyami, Hurungwe and Binga districts in the Lake Kariba area in 2009 through investment by a private developer, Carbon Green Africa. The project is trading verified avoided CO<sub>2</sub> emissions under the voluntary carbon market, and specifically the VCS and CCBA standards. Carbon credits were first verified in 2012/2013. Although this pilot project has registered key immediate achievements, such as increased conservation activities, diversification of non-extractive livelihood activities and financial benefits to local authorities, the lack of clarity on REDD+ project management frameworks (Local Authority, Government and other stakeholders), limited capacity for REDD+ and conflicting land-uses have been encountered as key challenges. The proposed GEF project will build on this experience to harness opportunities for REDD+ in providing incentives for SFM, building on UN-REDD.
- Zimbabwe is involved in six *Transfrontier Conservation Areas (TFCAs)*, namely: the Great Limpopo Transfrontier Park and Great Limpopo Transfrontier Conservation Area that includes Zimbabwe, South Africa and Botswana, whose treaty was signed in 2002; Chimanimani TFCA, which covers Mozambique and Zimbabwe, signed in 2001; the Greater Mapungubwe TFCA, which encompasses Botswana, South Africa and Zimbabwe, the Kavango- Zambezi (KAZA) TFCA, which includes Angola, Botswana, Namibia, Zambia and Zimbabwe, signed in 2011; the ZIMOZA TFCA; and the Lower Zambezi-Mana Pools TFCA. These provide an opportunity for transfrontier conservation efforts, including collaboration in addressing illegal wildlife trade.
- Sustainable Agriculture Technology (SAT) is implementing the European Union-funded '*Wildlife in Livelihood Development (WILD) Programme*' (2013-2017), focusing on a variety of hardware, software, training and policy inputs for expansion of protected area networks through development and organization of Community Wildlife Conservancies (CWCs), promoting more efficient and sustainable CBNRMU for long-term viability of tourism, wildlife, crop and livestock production in communal areas surrounding National Parks and other protected areas. The WILD Programme is currently involved in establishment of three medium- to large-scale Community Wildlife Conservancies (CWCs) owned and co-managed by the communities in three project areas – two in south-eastern Zimbabwe and one in the far north of Zimbabwe on the southern shores of Lake Kariba, bordering the western boundary of Matusadona National Park.
- The Global Environment Facility Small Grants Programme is working with Biohub Trust on a project aimed at reversing land degradation through diversifying energy sources for household use and sustainable forest management under Hurungwe District in Mashonaland West Province. The major challenge being faced are high rates of deforestation due to farming. In order to address this challenge, the project has been involved in propagation of giant timber bamboo as an alternative to firewood, promotion of fuel efficient stoves and establishment of tree nurseries and woodlots. For the bamboo project, they have planted 1,750 plants in 3 wards (Ward10, 12 and 17) covering 5.3 hectares. In terms of contributing towards sustainable forest management, the group is working on 5 Assisted Natural Regeneration (ANR) sites covering 1,907 hectares where they are protecting natural woodlands. They are currently working on by-laws to manage these sites that are going to be registered with the Rural District Council. Since this project is covering 3 wards as a pilot project, there are opportunities for scaling this up to other wards.

**Barriers:** Key barriers revolve around the weakness of the Government and key agencies to implement the current environment policy and legal framework, and inadequate capacity to enforce legislation and control wildlife crime and destruction of habitats. Barriers can be summarised as:

- *Gaps in the regulatory, policy, and institutional framework for biodiversity conservation and forest management and in implementation capacity for combating IWT:* The regulatory instruments fall short in their

lack of implementation and or enforcement and harmonisation. Most of the environment-related Acts (the legislation) are outdated and need to be updated and aligned with the new policies and approaches for effective biodiversity and environment management. The new Constitution has also triggered legislative and policy gaps. In 2014, Zimbabwe adopted a new Constitution which necessitated review and realignment of existing legislation and policies in some instances. The lack of a National Wetland Management Strategy, National Forestry Policy and a national biodiversity monitoring framework to provide updated information contribute to this gap. This is compounded by the lack of capacity to put in place an effective coordinated approach to manage illegal wildlife trade and poaching. Although most Government agencies responsible for biodiversity conservation fall under the same Ministry, there is weak inter-departmental coordination between these agencies and also between public sector agencies and other institutions on biodiversity issues, law enforcement and on approaches to address challenges such as mining-induced siltation and land degradation. This is also reflected in the lack of harmonised reporting and monitoring on multilateral environmental agreements to leverage resources, especially with the United Nations Convention to Combat Desertification (UNCCD), the Convention on Wetlands of International Importance (RAMSAR), the UN Framework Convention on Climate Change (UNFCCC), the UN Convention on Biological Diversity (UNCBD) and the Convention on International Trade in Endangered Species (CITES).

- *Ineffective management and enforcement at the site- and landscape-level due to weak capacity, lack of resources and insufficient information and tools to understand, regulate and combat illegal wildlife trade:* Increasing rates of national commercial trade, combined with illegal hunting for the international wildlife trade, are threatening wildlife populations and are driving threatened species towards extinction. With the third- and fifth-largest elephant and rhino populations in the world respectively, it is not surprising that Zimbabwe finds itself at the center of international ivory and rhino horn trafficking by sophisticated and well-resourced poaching syndicates and networks. However, poor coordination between agencies and institutions on law enforcement and at site level; and limited transboundary coordination in planning and control of resource use, is leading to increasing rates of poaching and illegal wildlife trade that must be tackled.
- *Unsustainable land-use levels and practices linked to poverty and climate change combined with limited livelihood alternatives:* Environmental degradation is an issue of major concern attributed to lack of public awareness about the need for the preservation and conservation of environment and natural resources. Combined with an ever-increasing population and inevitable higher demand for settlements, agriculture, infrastructure developments and increasing fuel-wood collection, biodiversity loss and land degradation are accelerating and are compounded by climate change. These threats are accelerated by low technical know-how of farmers and inadequate extension services to promote sustainable farming and land-use practices. In addition, human settlements and infrastructure developments also affect traditional wildlife migratory routes and lead to human-wildlife conflict as the wildlife destroys crops and infrastructure and kills livestock and people. Efforts to enhance livelihoods by promoting community-centred initiatives that support effective co-management of wildlife and their habitats, restoration and rehabilitation of degraded landscapes, reduction of wildlife crime, and sustainable local income generation are essential.

### **The Alternative Scenario**

**The long-term solution** is to promote a landscape approach to managing biodiversity and ecosystem services and low carbon initiatives in the face of climate change in mid to lower Zambezi. This will be achieved through three interconnected components, as summarised in the project framework table in Section B:

- *Component 1* focuses on strengthening capacity and governance frameworks for integrated biodiversity and land-use management in the face of climate change in Zimbabwe.
- *Component 2* focuses on strengthening and expanding Zimbabwe's PA estate in areas of global BD significance [IWT site level].
- *Component 3* focuses on mainstreaming biodiversity and carbon and ecosystem management into the wider landscape.

## Outline of the Project Strategy:

### **Component 1: Strengthening capacity and governance frameworks for integrated biodiversity and land-use management in the face of climate change in Zimbabwe**

*Outcome 1.1:* Development and implementation of integrated governance framework to promote the value of wildlife and biodiversity for Zimbabwe's national development in the face of climate change, and to combat IWT through a coordinated approach, with implementation capacity in place.

#### *Outputs:*

- 1.1.1. National environment [BD, LD and CC-related] policy frameworks and regulation reviewed, updated and aligned with the new Zimbabwe Constitution. Implementation of NBSAP II. Enhanced sectoral coordination.
- 1.1.2. Completion of a National Biodiversity Inventory (terrestrial and aquatic), including a Forest Inventory to map forest resources and forest loss.
- 1.1.3. Formulation and implementation of an updated National PA Strategy and Action Plan (harmonised with the National Poaching and IWT Strategy and National Wetlands Strategy below). Capacity of national PA authorities is strengthened for effective and coordinated management of PAs and buffer zones including community wildlife conservancies, and hunting and safari areas.
- 1.1.4. Development and implementation of a new National Strategy to Combat Poaching, National/Internal Trafficking and Illegal Wildlife Trade (IWT) to support implementation of CITES.
- 1.1.5. Development and implementation of a National Wetlands Strategy and Action Plan to support implementation, monitoring and reporting to the Ramsar Convention.
- 1.1.6. Implementation of the recent National Climate Change Strategy and Action Plan, focusing on carbon sequestration and avoided LULUCF emissions through REDD+. Comprehensive study conducted to analyse potential for CCM activities, such as cook stoves, solar, biofuels, small hydro, non-extractive activities.
- 1.1.7. Greater awareness and adoption of biodiversity and ecosystem conservation achieved through multimedia campaign and education programmes and research

*Outcome 1.2:* Implementation capacity in place to combat illegal wildlife trade through a coordinated approach.

#### *Outputs:*

- 1.2.1. Establishment of a cross-sectoral Wildlife Crime Task Force to bring together key role-players (relevant ministries, judiciary, police, customs, immigration, PA authorities, etc.) with the mandate for enhancing Government systems and institutional capacity for combating IWT in accordance with the new IWT Strategy.
- 1.2.2. Establishment of a nationwide system for monitoring wildlife trade and wildlife crime cases will be established for the first time and operationalised.
- 1.2.3. Enhanced transboundary cooperation with 6 countries to reduce IWT across borders building on Zimbabwe's participation in six Transfrontier Conservation Areas (TFCAs).

### **Component 2: Strengthening and expanding Zimbabwe's PA estate in areas of global BD significance (IWT site level)**

*Outcome 2.1:* Expansion of the protected area estate through the establishment of three additional Community Wildlife Conservancies (CWCs) established in Mbire, Hurungwe and Dande and corridors connecting these to formal PAs.

*Outputs:*

- 2.1.1. Detailed biodiversity surveys (terrestrial and aquatic) undertaken to determine critical conservation and IWT sites, and potential for expansion of PA estate (including corridors) to establish project baselines.
- 2.1.2. Establish three new Community Wildlife Conservancies in areas with globally significant biodiversity, as established through the survey, where there is also potential for community co-management and sustainable livelihoods, building on and refining the CAMPFIRE Model.
- 2.1.3. Promote community-based natural resource management in the new CWCs and co-management with parks authorities in the corridors, facilitating benefit sharing, intelligence gathering for enforcement, and more effective management of human-wildlife conflict.
- 2.1.4. Facilitation of learning and exchange between conservancies for enhanced implementation.

*Outcome 2.2: Improved management effectiveness and enforcement of existing Protected Areas.*

*Outputs:*

- 2.2.1. Based on biodiversity surveys, PA management plans are developed or updated for core Mana Pools PA [WHS] [covering 219,600 ha] and target PAs [specifically 510,100 ha safari areas, conservancies, covering combined 729,700 ha]. Plans will include improved management of forest and wetland landscapes and zones between them ensuring connectivity and maintenance of conservation values.
- 2.2.2. New approaches and instruments are developed to address CC-induced threats and pressures e.g. scenario predictions and impact models, and management of specific BD threats e.g. IWT and poaching, IAS, veldt fires, soil erosion and watershed degradation [siltation].
- 2.2.3. PA enforcement capacities are strengthened to prevent poaching and illegal wildlife trade (IWT) of endangered species (flora and fauna) and transit of poached wildlife. Provision of equipment for surveillance, communication and transport, and strengthened capacity for effective detection and response on the ground.
- 2.2.4. Long-term monitoring mechanisms are put in place to monitor targeted species and ecosystems, support EBD management, identify poaching hotspots, and assess CC impacts on protected areas (including community-based monitoring in conservancies and on communal lands MOMs approached scaled up/replicated).

### **Component 3: Mainstreaming biodiversity and ecosystem management, and climate change mitigation, into the wider landscape**

*Outcome 3.1: Adoption of management practices and community-centred initiatives that build on ‘Communal Areas Management Programme for Indigenous Resources’ (CAMPFIRE) support for sustainable local income generation that also reduces potential involvement in wildlife crime.*

*Outputs:*

- 3.1.1. Small grants enable local communities and small private sector enterprises to demonstrate sustainable livelihoods [in target sites to be determined at PPG], including:
  - Sustainable harvesting and sale of timber and non-timber forest products [agro-forestry, bee-keeping, mushroom production, natural fruits, aquaculture essential oils, thatching grass and building materials];
  - Alternative livelihoods to reduce illegal activities introduced and adopted;
  - Live game sales to other conservation areas and community wildlife conservancies;
  - Development of ecotourism initiatives to benefit communities in and around conservation areas (studies and research to be undertaken in PPG to explore innovative attractions and potential markets).

- 3.1.2. Institutional strengthening of local/traditional leadership (including the establishment of new community-based organisations) for environmental stewardship.
- 3.1.3 Education, training, extension, research and policy review to support long-term uptake of the SLM, SFM and Community-based Natural Resource Management and Use (CBNRMU) practices undertaken.

*Outcome 3.2:* Rehabilitation of degraded lands, and sustainable land and forest management measures implemented in new conservancies, to enhance soil fertility and carbon sequestration

*Outputs:*

- 3.2.1 Community afforestation and reforestation projects in degraded areas (an estimated 600,000 hectares being part of Manyame and Mazowe catchments).
- 3.2.2 Wetland rehabilitation and restoration in degraded areas [to be determined at PPG].
- 3.2.3. Climate-smart agriculture practices promoted with smallholder farmers through agricultural extension and provision of equipment, including minimum tillage in croplands, mulching and contour bunds, soil and water conservation measures.
- 3.2.4 Agroforestry promoted with smallholder farmers through agricultural extension, using indigenous tree species promoting nitrogen fixing and carbon sequestration, interspersed with crops and grazing land.
- 3.2.5 Community fire management strategies and action plans to reduce wildfires that contribute to loss of tree-cover and GHG emissions.

*A.2. Stakeholders.* Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation: A detailed list of stakeholders and their roles will be prepared at PPG.

<i>Stakeholder</i>	<i>Relevant Role</i>
Government	This project will be coordinated by the Ministry for Environment, Water and Climate (MEWC) as Implementing Partner. Other key departments that will be involved in implementation include the Forestry Commission, Parks and Wildlife Management Authority, Zimbabwe Water Authority, Department of Climate (DoC) and Environmental Management Agency (EMA). Other stakeholders, which will work closely with MEWC to implement the project, include the Department of Energy, Rural District Councils and the CAMPFIRE Association, National Biotechnology Authority, Cooperation with these agencies will ensure a fully integrated approach for effective implementation of the project.
NGOs	Practical Action, Environment Africa, Bio Hub Trust of Zimbabwe, Goal Zimbabwe
National Forums	CBNRM Forum of Zimbabwe, National Biodiversity Forum, Zambezi Society, National Taskforce on Cook Stoves, Man and Biodiversity Forum
CBOs	Environmental Committees, School clubs, Various Community Groups
Private sector	Safari Operators,
Research Institutes and Academia	Universities and Research Institutions e.g. SIRDC, Harare Institute of Technology, University of Zimbabwe, Chinhoyi University, NUST, Bindura University, Great Zimbabwe University
International Cooperating Agencies	WWF, IUCN, UNDP, World Bank, UNDP GEF Small Grants Programme

*A.3 Risk.* Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

<b>RISK</b>	<b>RISK RATING</b>	<b>RISK MITIGATION MEASURE</b>
Unstable economic conditions	Medium	Continue project activities as the project seeks to serve as a model for long-term financing of protected areas in countries where economic constraints currently preclude the Government from allocating adequate resources to conservation activities.

Allocation of budgetary resources to national biodiversity activities remains low	Medium	The project will encourage the integration of PA financing allocations into national planning. At the same time, the emergence of new markets for conservation, also supported by the project, will help to change the cost-benefit calculus surrounding budgetary allocations for PA, corridor and broader landscape management.
Significant increase in externally driven pressures on forests and protected area resources are expected	Medium	Through the project activities, pressures on forests and PAs will be addressed through demonstrations of sustainable livelihood alternatives. Sustainable Forest Management (SFM), Sustainable Land Management (SLM) and Community-based Natural Resource Management and Use (CBNRMU) practices will be promoted to conserve biodiversity, reduce land degradation and adapt to and mitigate climate change.
Limited local expertise to carry out implementation and/or follow up	Low	For project implementation purposes, a combination of national and international expertise will provide support and contribute technical competencies and skills. However, external expertise is not deemed sustainable and support will also focus heavily on capacity development, including transfer of knowledge, mentoring and training of relevant staff and agencies.
Climate Change risk – anticipated increase in temperatures and reduction in flow rates of major rivers and other climate change impacts in the targeted area may undermine the objectives of the project	Medium	The project will encourage the prioritization of the investments proposed in the National Climate Change Response Strategy into national planning. In addition, the project activities are designed to put in place mechanisms to directly address the climate change risk particularly the greater stresses on forests, agriculture and wildlife in the targeted area. Livelihood alternatives being supported in this project will contribute to mitigatory measures.
Rearrangement of institutional landscape	Low	The project will put in place adaptive management and flexibility through the establishment of a Project Board (PB) for the project, which will be responsible for reviewing project implementation. If elections result in institutional reshuffles, the PB will review project management arrangements to ensure smooth and continuous implementation despite any changes.

A.4.

*Coordination.* Outline the coordination with other relevant GEF-financed and other initiatives:

Programmes and Initiatives	Proposed collaboration
On-going and recently closed UNDP-GEF BD and SLM projects and SGP	This project will build on the successes and lessons of i) the World Bank-implemented, GEF-financed ‘ <i>Hwange-Sanyati Biological Corridor (HSBC) Environment Management and Conservation</i> ’ project. The objective of the project is to provide tools for the sustainable management of the Hwange- Sanyati Biological Corridor (HSBC), which is located in north-western Zimbabwe. The HSBC is one of the four biodiversity hotspots in Zimbabwe and the Government is committed to ensuring that ecological integrity and biodiversity are protected and that local communities can continue to benefit from wildlife gaming and tourism activities; and ii) the UNDP-implemented ‘ <i>Coping with Drought and Climate Change (CwDCC) in Zimbabwe</i> ’ project, now completed, which worked to enhance the capacity of agricultural and pastoral communities in Zimbabwe to adapt to climate variability and change. The primary project objective was to demonstrate and promote adoption of a range of gender-sensitive approaches for adaptation to climate change among rural communities currently engaged in agriculture in vulnerable areas of the Chiredzi. Collaboration with the national Zimbabwe GEF Small Grants Programme will also be sought to help channel small grants to communities to support grassroots initiatives to reduce over-exploitation of forests, reduce poaching and wildlife trade, and pilot sustainable livelihoods based on Community Based Natural Resource Management (CBNRM), SFM and SLM approaches.
Baseline programmes and other related initiatives	Various baseline initiatives create a strong foundation for investment, upon which this project builds. Some of the baseline programmes will co-finance this project and they will automatically become members of governance structures such as the Project Board, which make key decisions. This will allow for a considerably more coordinated way of working that will foster collaboration, synergies and good results.
Relevant GEF Programmatic Approach	This project is being submitted to the GEF as part of (i) BD-1: Improving Financial and Effective Management of the National Ecological Infrastructure/ <b>Program 2</b> Nature’s last stand: Expanding the reach of global protected areas estate; and (ii) the Programmatic Approach to Prevent the Extinction of Known Threatened Species. A key focus is on reducing poaching and illegal trafficking of threatened species, the subject matter of the GEF’s Programme 3 under the Biodiversity Focal Area Strategy. Various other GEF projects form part of the above-mentioned Programmatic Approach and are being submitted for Council approval by different GEF Agencies, with the World Bank playing a coordinating role. UNDP projects under

Programmes and Initiatives	Proposed collaboration
	the Programmatic Approach follow a ‘national strategy methodology’: i.e. they engage key national stakeholders in addressing the issue of preventing the extinction of known threatened species and fighting wildlife crime as an issue of governance and development, as much as it is an issue of NRM; (iii) LD-2: Generate sustainable flows of ecosystem services from forests, including in drylands: Program 3: Landscape Management and Restoration; and iv) CC-2 Demonstrate systemic impacts of mitigation options / Program 4 Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture [LULUCF]. In addition, the project will contribute to the SFM Strategy through SFM 3: Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes.

### Description of the consistency of the project with:

**B.1 IS THE PROJECT CONSISTENT WITH THE NATIONAL STRATEGIES AND PLANS OR REPORTS AND ASSESSMENTS UNDER RELEVANT CONVENTIONS? FOR BIODIVERSITY RELATED PROJECTS, PLEASE REFERENCE THE AICHI TARGETS THAT THE PROJECT WILL CONTRIBUTE TO ACHIEVING. (YES  /no  ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.:**

### The project is consistent with national initiatives under relevant conventions, including:

- United Nations Convention on Biological Diversity (UNCBD):** Zimbabwe developed its second-generation National Biodiversity Strategy and Action Plan (NBSAP) in 2015 to address some of the threats facing biodiversity in the country as well to fulfil its obligations under the United Nations Convention on Biological Diversity (UNCBD). Zimbabwe’s NBSAP set 18 targets all of which are aligned to the Aichi Targets. This project contributes to the achievement of seven (7) NBSAP objectives which will ultimately contribute to Aichi targets 5, 7, 9,11,12 and 14 as follows: NBSAP Target 3: By 2020, reduce the rate of loss of natural habitats including forests by at least 50%. (*Aligned to Aichi Target 5*; NBSAP Target 5: By 2020, 60% of areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity and sustainable land use (*Aligned to Aichi Target 7*); NBSAP Target 7: By 2020, the threats to biodiversity from Invasive alien species have been assessed, and measures put in place to control and manage their impact (*Aligned to Aichi Target 9*); NBSAP Target 9: By 2020, at least 28% of Zimbabwe’s terrestrial and inland water under protection, is maintained and conserved, and protected area connectivity enhanced through integrated resource management. (*Aligned to Aichi Target 11*); NBSAP Target 10: By 2020 the loss of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained. (*Aligned to Aichi Target 12*); and NBSAP Target 12: By 2020, implement policies and strategies to maintain and restore ecosystem integrity, and reduce ecosystems degradation to enhance the livelihoods and well-being of all Zimbabweans, especially those of women, indigenous and local communities, and the poor and vulnerable. (*Aligned to Aichi Target 14*).
- The 5<sup>th</sup> National Report to the CBD produced in 2014 identified issues that this project will also directly address.** The limited progress towards achievement of Aichi Target 5 (by 2020, reduce the rate of loss of natural habitats including forests by at least 50%) is specifically highlighted in the 5<sup>th</sup> National report. The report also specifically mentions 69% loss of revenue from poaching and high forest loss. The project will contribute towards addressing these threats to biodiversity that were reported in the 5<sup>th</sup> National Report.
- United Nations Framework Convention on Climate Change (UNFCCC):** The project will contribute towards the implementation of the National Climate Change Response Strategy launched in 2014. One of the key pillars of the response strategy that this project will directly address is Pillar II - mitigation and low-carbon development strategies. In relation to this project the Strategy encourages investment into (i) promotion and strengthening biodiversity conservation management and the integrity of natural ecosystems, (ii) resource use efficiency and less carbon intense pathways in all livelihood and economic activities, and (iii) sustainable land-use systems that enhance agricultural production, ensure food security and maintain ecosystem integrity. Interventions proposed under Component 2 and 3 of the project will contribute to these priorities.
- Zimbabwe agreed to outline actions it intends to undertake to reduce emissions and has recently submitted its Nationally Determined Contributions (INDCs).** The energy sector was identified as the main source of GHG emissions and a decision has been to focus emission reduction efforts in this sector. Energy efficiency and sustainable energy sources are specific mitigation contributions proposed to achieve a low carbon economy.

This project will partly address emission reduction through promoting domestic energy efficient technology, REDD+ and other forestry based interventions.

- **United Nations Convention to Combat Desertification (UNCCD):** Consistent with the obligations under the convention, Zimbabwe adopted its national Action Plan (NAP) for UNCCD in 2001. This project is also consistent with NAP. The NAP focuses on energy, land use planning and soil conservation, water resources management, education public awareness and capacity building, provision of alternative livelihoods and poverty alleviation, land tenure systems, policy, legal and institutional arrangements and research support. Four programmes were developed on energy management, land management, water management and information systems however these have not been fully implemented. The project will contribute towards the implementation of two of the NAP programmes.
- **Sustainable Energy for All (SE4ALL):** Zimbabwe is one of the first 43 African countries to subscribe to the SE4ALL initiative. A rapid SE4ALL assessment was completed in 2012 and the country has launched the process to develop the SE4ALL Investment Prospectus and Action Agenda. One of the barriers to achieving SE4ALL identified in the rapid assessment was that, although efforts were being made to address rural energy supply, the majority of Zimbabwe's rural population will continue to rely on traditional biomass for cooking and other thermal applications in the foreseeable future. Rural areas rely predominantly on traditional biomass and inefficient stoves and only 5.8% of rural households have access to modern energy sources, including electricity, for cooking. Energy access and efficiency are therefore high priority issues for sustainable rural household energy. The mitigation interventions proposed in the project are therefore consistent with the SE4ALL agenda as they seek to provide renewable energy alternatives and energy efficient technologies for rural communities.

