

# **IWTEVR10S2\1013**

## **Strengthening Evidence to Counter Wildlife Laundering in Colombia and Mexico**

Widespread laundering of protected wildlife into legal supply-chains is a poorly understood, under-enforced threat in Latin America, with little empirical research existing. Wildlife laundering involves a blurring of legal and illegal enterprise – creating novel opportunities for financial-investigation approaches, should an enhanced evidence base allow. This first-of-its-kind project targets this issue, building the evidence base to strengthen financial-investigation approaches. By undertaking in-depth situational and case-study analyses, it informs innovative, evidence-based approaches to IWT in Colombia and Mexico, thereby reducing poverty.

# IWTEVR10S2\1013

Strengthening Evidence to Counter Wildlife Laundering in Colombia and Mexico

## Section 1 - Contact Details

---

### PRIMARY APPLICANT DETAILS

---

**Title** Mr  
**Name** Andrew  
**Surname** Almond  
**Organisation** [REDACTED]  
[REDACTED]  
**Tel (Work)** [REDACTED]  
**Email (Work)** [REDACTED]  
**Address** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

### CONTACT DETAILS

---

**Title** Miss  
**Name** Lauren  
**Surname** Young  
**Organisation** [REDACTED]  
[REDACTED]  
**Tel (Mobile)** [REDACTED]  
**Email** [REDACTED]  
**Address** [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

### GMS ORGANISATION

---

Type	Organisation
<b>Name</b>	Royal United Services Institute for Defence and Security Studies (RUSI)
<b>Phone (Work)</b>	[REDACTED]
<b>Email (Work)</b>	[REDACTED]
<b>Address</b>	[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]

## Section 2 - Title, Themes, Species & Summary

---

### Q3. Title:

Strengthening Evidence to Counter Wildlife Laundering in Colombia and Mexico

### What was your Stage 1 reference number? e.g. IWTEVR10S1\1001

IWTEVR10S1\1071

Please provide a cover letter as a **PDF** document, responding to feedback received at Stage 1 if applicable.

- [RUSI Cover Letter CFStg2 LATAM](#)
- 30/10/2023
- 14:35:26
- pdf 239.75 KB

### Q4. Which of the four key IWT Challenge Fund themes will your project address?

**Please tick all that apply. Note that projects supporting more than one will not achieve a higher score, and ticking themes that your project does not address may negatively affect project scores.**

- Strengthening law enforcement

### Q5. Species project is focusing on

**Please include both the common name and scientific name.**

Reptiles targeted for live trade, including matamata turtle (*Chelus fimbriata*), yellow-spotted river turtle (*Podocnemis unifilis*).

High-value flora including rosewood (*Dalbergia*), big leaf mahogany (*Swietenia macrophylla*), Argentine cedar (*Cedrela fissilis*) and candelilla (*Euphorbia antisiphilitica*).

---

Various species of sea cucumbers, including *Holothuria mexicana*, *Isostichopus badionotus*, *Isostichopus fuscus* and *Actinopyga agassizi*.

Various species of threatened sharks including scalloped hammerhead (*Sphyrna lewini*), pelagic thresher (*Alopias pelagicus*), silky shark (*Carcharhinus falciformis*) and shortfin mako (*Isurus oxyrinchus*).

---

**Do you require more fields?**

Yes

5. Various species of caiman impacted by the skin trade, including dwarf caiman (*Paleosuchus palpebrosus*), smooth-fronted caiman (*Paleosuchus trigonatus*), black caiman (*Melanosuchus niger*), spectacled caiman (*Caiman crocodilus*) and Orinoco crocodile (*Crocodylus intermedius*).

Various species of primates targeted for live trade, including spider monkey (*Ateles*), squirrel monkey (*Saimiri*), capuchin (*Cebus* and *Sapajus*), howler monkey (*Alouatta*), tamarin (*Saguinus*) and marmoset (*Callithrix*).

---

*No Response*

*No Response*

---

**Q6. Summary of project**

**Please provide a brief non-technical summary of your project: the problem/need it is trying to address, its aims, and the key activities you plan on undertaking.**

Widespread laundering of protected wildlife into legal supply-chains is a poorly understood, under-enforced threat in Latin America, with little empirical research existing. Wildlife laundering involves a blurring of legal and illegal enterprise – creating novel opportunities for financial-investigation approaches, should an enhanced evidence base allow. This first-of-its-kind project targets this issue, building the evidence base to strengthen financial-investigation approaches. By undertaking in-depth situational and case-study analyses, it informs innovative, evidence-based approaches to IWT in Colombia and Mexico, thereby reducing poverty.

**Section 3 - Title, Dates & Budget Summary**

---

**Q7. Country(ies)**

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

**Country 1** Colombia

**Country 2** Mexico

**Country 3** *No Response*

**Country 4** *No Response*

---

**Do you require more fields?**

No

**Q8. Project dates**

<b>Start date:</b>	<b>End date:</b>	<b>Duration (e.g. 2 years, 3 months):</b>
01 May 2024	30 September 2025	1 year, 5 months

---

## Q9. Budget summary

Year:	2024/25	2025/26	Total Request
<b>Amount:</b>	£74,122.00	£25,596.00	99,718.00

---

## Q10. Do you have matched funding arrangements?

Yes

**Please ensure you clearly outline your matched funding arrangement in the budget.**

## Q11. If you have a significant amount of unconfirmed matched funding, please clarify how you will deliver the project if you don't manage to secure this?

There is no unconfirmed matched funding.

## Q12. Have you received, applied for or plan to apply for any other UK Government funding for the proposed project or similar?

Yes

Please give details.

This project is being proposed under the IWT Challenge Fund (IWTCF) 'Evidence' tier, designed for projects which gather evidence to strengthen the design of future interventions. Once the improved evidence base has been established, RUSI and its partners plan to develop programmes for more comprehensive interventions as part of follow-on applications to the IWTCF, as encouraged by official guidance online.

## Section 4 - Problem statement & Gap in existing approaches

---

### Q13. Problem the project is trying to address

**Please describe the problem your project is trying to address in terms of illegal wildlife trade and its relationship with poverty. What is the need, challenge or opportunity?**

**Please describe the level of threat to the species concerned. You should also explain which communities are affected by this issue, and how this aspect of the illegal trade in wildlife relates to poverty or efforts of people and/or states to reduce poverty.**

Latin America hosts a rich diversity of species, with many harvested for legal international trade. When done sustainably, this provides opportunities to harness the economic benefits of wildlife for local communities [1]. However, much of this wildlife is threatened by IWT, harming biodiversity and risking the extinction of species critical to local livelihoods [2].

A significant component of this threat involves criminal actors' exploitation of legal supply chains to 'launder' or conceal illegally sourced wildlife [3]. Understood as the process whereby wildlife sourced illegally is filtered into legal wildlife supply chains, 'wildlife laundering' typically involves a range of operations and corrupt actors concealing the illegal origins of wildlife commodities. This wildlife laundering activity is often difficult to detect, allowing criminal networks to engage in these activities with impunity, placing unsustainable pressure on endemic species, largely driven by overseas demand. In the blurring of lines between legal and illegal enterprise, these crimes often give rise to a range of distinct money laundering typologies. Although these typologies often generate identifiable illicit financial flows (and thus opportunities for financial-investigation approaches), awareness and understanding of these flows is limited, impeding law enforcement action [4].

This form of IWT affects both Colombia and Mexico as source countries and is critically understudied and under-enforced.[5] In Colombia, illegally caught caiman are routinely laundered into legal supply chains, with limited enforcement action taken [6]. Legal breeding farms form a crucial part of IWT criminal networks, with these networks operating to disguise the origin of illegally captured wildlife, by falsifying legal documentation. These networks are often supported by local labour forces unaware of the illegal nature of their activities [7]. In Mexico, wildlife farms routinely fail to comply with marking requirements that are designed to ensure traceability, allowing illegally and legally sourced live wildlife to be co-mingled [8]. Meanwhile, enforcement failures allow large quantities of illegally caught shark fin, some of which originates from neighbouring countries, to be exported to the international market [9].

Such criminal exploitation undermines instruments to promote sustainable trade (e.g., CITES) and threatens local livelihoods dependent on responsible trade practices. Rural communities in Colombia and Mexico often rely on their countries' rich biodiversity for eco-tourism and sustainable legal trade [10]. Wildlife laundering threatens these income streams by damaging biodiversity and delegitimising legal trade. Meanwhile, illicit finance and corruption associated with wildlife laundering undermine good governance, stall development and undercut poverty-alleviation efforts by hollowing out national institutions and the state's ability to provide public services. This heavily affects the poorest, most vulnerable members of society.

Despite the scale of the threat, the evidence base on wildlife laundering in both countries is severely limited, with few successful investigations undertaken, limited use of financial-investigation tools, and few prosecutions achieved. This project addresses these gaps, as the first of its kind to build the evidence base on this issue to inform strengthened enforcement responses. This is crucial both to conservation and poverty reduction.

## **Q14. Gap in existing approaches**

**What gap does your project fill in existing approaches? Evidence projects should describe how the improved evidence base will be used to design an intervention and the gap the intervention will fill.**

IWT through legal supply chains in Latin America is widespread but poorly documented, with little systematic empirical research on the threat and few specific typologies developed for use by those charged with responding to associated illicit-finance. This project targets these evidence gaps in Colombia and Mexico, as key source countries affected by wildlife laundering.

In doing so, it builds on a limited number of past initiatives, including a confidential US Department of State-funded RUSI/WCS collaboration to conduct preliminary analysis on two wildlife-laundering case studies (covering Ecuador and Peru). This study established a pressing need for a formally documented evidence base across all source countries in the region – a gap that this project begins to fill.

The enhanced evidence base generated by this project will inform future programming to support public-sector agencies' use of innovative tools, including financial-investigation techniques. In using this evidence to inform these investigative approaches, the project complements an existing WWF initiative on corruption and financial flows in regional states including Bolivia, Ecuador and Peru. This project complements and fills gaps in this earlier initiative, adding a specific, crucial emphasis on illicit finance generated by wildlife laundering, and widening the geographic focus to other key source countries.

## **Section 5 - Objectives & Commitments**

---

### **Q15. Which national and international objectives and commitments does this project contribute towards?**

**Consider national plans such as NBSAPs and commitments such as London Conference Declarations and the Kasane and Hanoi Statements. Please provide the number(s) of the relevant commitments and some brief information on how your project will contribute to them. There is no need to include the text from the relevant commitment.**

This project supports commitments under the London Conference Declarations (2014 and 2018), Kasane (2015) and Hanoi (2016) Statements.

On the London Conference Declarations, it equips law enforcement with information to respond to IWT as 'highly organised, sophisticated criminal activity' (2018 – paragraph 3). It also improves capacity to recognise and address associated corruption (2018 – paragraph 5; 2014 – Action IX) and strengthens law enforcement responses to IWT (2018 – paragraph 14, 2014 - X, XIII ) and illicit financial flows (VI). Public outputs will empower multiple actors to address IWT and support sustainable wildlife management (2014 – XVII-XX). In doing so, the project supports Actions 5, 8, 9, 10, 12 and 13 of the Kasane Statement and B, C and D of the Hanoi Statement.

The project also supports targets within each country's National Biodiversity Strategy and Action Plan under the Convention on Biological Diversity, particularly those relevant to Aichi Biodiversity Targets 3, 4 and 12, promoting sustainable, legal use of biodiversity. In engaging public- and private-sector partners, it supports Colombia's commitments under the Buckingham Palace Declaration. Finally, by strengthening institutional capacity, addressing an under-recognised form of criminality and promoting sustainable employment, the project contributes to Sustainable Development Goals 1, 8, 11, 12 and 16.

## **Section 6 - Method, Change Expected, GESI & Post Project Sustainability**

---

### **Q16. Methodology**

**Describe the methods and approach you will use to achieve your intended Outcome and contribute towards your Impact. Provide information on:**

- **How you have reflected on and incorporated evidence and lessons learnt from past and present activities and projects in the design of this project.**
- **The specific approach you are using, supported by evidence that it will be effective and justifying why you expect it will be successful in this context.**

- **How you will undertake the work (activities, materials and methods).**
- **What will be the main activities and where will these take place?**
- **How you will manage the work (governance, roles and responsibilities, project management tools, risks etc.).**

By addressing the twin risks of legal supply-chain capture and illicit financial-flows, this project is both novel and necessary, targeting a key, under-enforced wildlife trafficking modality – the laundering of illegally-sourced wildlife. All partners have contributed to project design, resulting in an approach that will fully deliver the project outcome.

The project builds on a limited number of initiatives to-date examining wildlife-laundering in Latin America, including a RUSI/WCS collaboration in Ecuador and Peru. This study established a pressing need for a formally documented evidence base across countries in the region. This project works toward this goal by focusing on Colombia and Mexico as crucial source countries for laundered wildlife. RUSI draws on experience developed through ‘follow-the-money’ research and capacity-building under Challenge Fund projects IWT021, IWT043 and IWT096. The project also builds on past RUSI analysis in the region, including almost a decade implementing the EU’s Monitoring and Support function of the Global Illicit Flows Programme.

Finally, the project draws on lessons from in-country partners. It builds on WWF’s work on corruption and financial investigation, expanding the evidence base on the potential use of financial investigative tools in Colombia and Mexico. The project also draws on expressed evidence needs and clear buy-in from in-country law-enforcement agencies. These include the Procuraduria Federal de Proteccion al Ambiente (PROFEPA) under Mexico’s Ministry of Environment and Natural Resources, and the National Police and Ministry of Environment in Colombia. Together, these factors demonstrate the articulated need for this project, with buy-in from key agencies speaking to its relevance and effectiveness.

RUSI will be the lead partner, with roles and responsibilities clearly agreed (see Q36), supported by well-defined subcontracts. Implementation will be continuously evaluated against indicators (see Q26) – and adapted as necessary – by a project leadership team incorporating RUSI, WWF and UfW representation. The project team will meet regularly to assess progress as part of the M&E plan.

All outputs are designed to achieve the Outcome – that innovative research strengthens the evidence base on wildlife-laundering in Colombia and Mexico, informing novel options to strengthen financial-investigation and other enforcement responses via follow-on capacity-building activities. To achieve this, 12 activities will deliver four main outputs, as follows.

Output 1: Novel research is conducted, with a database of known wildlife-laundering cases compiled, situational analyses produced, and reviews of legislation, wildlife-management and financial-investigative capacity conducted.

Project staff will produce a case-study database, conduct in-depth literature reviews and assess gaps in legislation, management and financial-investigation capacity (Activity 1.1). Semi-structured interviews will be organised in both countries (Activity 1.2), with situational analyses conducted and results built into two typologies on illicit finance linked to wildlife-laundering affecting Colombia and Mexico (Activity 1.3). These activities will be led by RUSI, with support from WWF and AES.

Output 2: Findings are shared and tested at country-specific virtual validation workshops, with typologies on wildlife-laundering and associated illicit-finance produced and refined for practical future use.

Project staff will run one virtual workshop per country, to refine and develop typologies based on research activities conducted (Activity 2.1). At least 5 key NGO/INGO stakeholders and 5 public-sector officers will participate per country (Activity 2.2), with one outline guidance framework then developed covering practical options for use of financial-investigation tools to support wildlife-laundering responses based on evidence generated (Activity 2.3). These activities will be led by RUSI, with support from WWF and AES.



Output 3: Enhanced evidence base, typologies and guidance are published as 1 open-access RUSI Emerging Insights paper and 2 shorter-form articles in English and Spanish, with an online launch.

To provide open access to the evidence generated, RUSI will publish 1 peer-reviewed Emerging Insights paper (Activity 3.1), with two shorter-form articles published in appropriate outlets (Activity 3.2). A launch event will present findings to a global audience and facilitate discussions around scalability (Activity 3.3). These activities will be led by RUSI, with support from WWF and UfW.

Output 4: The enhanced evidence base is disseminated and concrete follow-on programming explored at workshops tailored to each country, with capacity built among participating organisations to use the evidence in future programming.

All outputs will be promoted via a dedicated webpage and dissemination strategy (Activity 4.1). Workshops covering both countries will be planned, to build capacity of participating organisations to begin to use the evidence generated in relevant programming (Activity 4.2). Tangible plans for funding of dedicated follow-on law-enforcement capacity-building will also be developed to scale the project in future (Activity 4.3). These activities will be led by RUSI, with support from WWF and UfW.

## **Q17. Capability and Capacity**

**How will the project support the strengthening of capability and capacity of identified local and national partners, and stakeholders during its lifetime organisational or individual levels? Please provide details of what form this will take, who will benefit (noting GESI considerations), and the post-project value to the country.**

Improving capability and capacity to tackle wildlife trafficking via legal supply chains is at the core of the project's design.

Workshops in both countries will engage participants spanning multiple agencies and sectors to improve knowledge of the threat and risks of wildlife trafficking and associated money laundering, as well as on existing protocols, practices and norms in combating this form of illegality. Participating organisations will have improved capacity to use the evidence generated in relevant future programming, while wider stakeholders engaged will have an improved understanding of the threat. GESI is supported across all capacity-building aspects of the project supporting equality in engagement and ensuring that activities generate equitable net benefits for all, while maximising the opportunities for female participants to benefit.

Further supporting enhanced capability at a wider level, public-facing outputs presenting project findings will be widely disseminated and openly accessible, expanding the reach of the capacity-building beyond individuals attending the workshops and making the learnings available to wider public and private-sector stakeholders beyond the project's lifecycle. The findings will also be applicable to practitioners beyond those in the focal countries, opening the door for capacity scaling – whereby the project leaves a legacy of higher capacity to achieve change in the target countries and beyond – and building momentum for follow-on activities across the broader region. As such, these outputs will elevate public understanding and garner public pressure to further advance efforts post-project.

Together, an increased evidence base on wildlife laundering typologies, combined with plans for dedicated follow-on law-enforcement capacity-building activities will increase capability and capacity on all fronts and beyond the project's lifecycle. This will result in more effective investigations and prosecutions of criminals engaged in wildlife laundering in Latin America, contributing to the safeguarding of vulnerable species and supporting sustainable economies and environments for local communities.

## **Q18. Gender equality and social inclusion**

**All applicants must consider whether and how their project will contribute to promoting equality between persons of different gender and social characteristics. Explain your understanding of how individuals may be excluded from equal participation within the context of your project, and how you seek to address this. You should consider how your project will proactively contribute to ensuring individuals achieve equitable outcomes and how you will engage participants in a meaningful way.**

This project applies an intersectional approach to gender equality and social inclusion (GESI), while recognising the lack of existing research on the role of women and other groups in wildlife laundering (or wider IWT) in Latin America [11]. It recognises that local public sector functions are largely dominated by men, while recognising the impact of Covid-19 on the livelihood options of women and groups with other social characteristics, intensifying the importance of GESI throughout project design and implementation [12]. As such, in line with the UK International Development (Gender Equality) Act and Sustainable Development Goal 5, GESI will be mainstreamed throughout to ensure that project activities generate equitable net benefits for all. The team will ensure that at least 40% of interviewees and event participants identify as women (mindful that local public sector functions are largely dominated by men), with a mixed-gender team responsible for research, authorship of published materials and events delivery.

The project also prioritises local knowledge, the perspectives of those with diverse social characteristics (at various stages of the supply chain), and will ensure that activities are tailored to include a broad cross-section of stakeholders bridging policymakers, practitioners, NGOs and affected community members across the focus countries. Interviewees will be selected from across social cleavages (e.g. gender, age, class, ethnicity) ensuring representation and inclusion. Local mixed-gender teams of researchers will lead key parts of the in-country research conducted, further supporting GESI considerations. Wherever sources of evidence exist and can be accessed, research processes will consider the role of gender in relation to wildlife laundering in Colombia and Mexico, in an effort to deepen the evidence base through a gendered lens. The project logframe and all M&E tools will be designed to record information on GESI, with indicators disaggregated by gender wherever applicable.

## **Q19. Change expected**

**Detail the expected changes to both illegal wildlife trade and poverty reduction this work will deliver. You should identify what evidence will be gathered and how it might be used to inform future interventions. Please include who will benefit from these interventions, considering both people and species of focus a) in the short-term (i.e. during the life of the project) and b) in the long-term (after the project has ended) and the potential scalability of the approach.**

**When talking about how people will benefit, please remember to give details of who will benefit, differences in benefits by gender or other layers of diversity within stakeholders, and the number of beneficiaries expected. The number of communities is insufficient detail – number of households should be the largest unit used.**

**Demand reduction projects should demonstrate their indirect links to poverty reduction.**

The change expected from this project is that the evidence base on wildlife laundering in Colombia and Mexico is significantly enhanced from its current highly limited state, informing novel options to strengthen financial investigation and other enforcement responses via follow-on capacity-building.

Primary beneficiaries in the short-term include key actors within NGOs, private- and public-sector bodies active in combatting IWT in both countries, through enhanced access to a strengthened evidence base on wildlife laundering typologies. Primary beneficiaries also include workshop participants in both Colombia and Mexico ( $n \geq 20$ , with 40% identifying as women), whose capacity to use this evidence base in the design of practical future interventions is built.

Further short-term direct beneficiaries include attendees of the launch of the published evidence base (n≥30), spanning key actors within private-sector entities, NGOs and government agencies – including those based domestically, within Colombia and Mexico, and those operating at an international level with a key focus on both countries. Longer term, the application and use of the evidence base will strengthen interventions to continually build law-enforcement capacity to disrupt wildlife laundering, benefiting police, wildlife-management authorities, financial intelligence units, anti-corruption units, asset-recovery units, prosecutors and judiciary in both Colombia and Mexico.

Indirect beneficiaries in both the long and short term will include individuals from across civil society, government actors (police, wildlife-management authorities, financial intelligence units, anti-corruption units, asset-recovery units, prosecutors and judiciary) and international organisations working to support these agencies. All of these sets of stakeholders will benefit from the knowledge generated by the project, which will be made available to all through an open-access report and two short-form articles presenting the findings, lessons learned and potential for scalability of the project. Delivered in both English and Spanish in accessible formats, all project outputs will be available to a wide range of potential beneficiaries globally – with the applicability of the findings and learnings to other context stressed as appropriate.

Longer term, the project also contributes to both conservation and poverty reduction, benefiting a wide range of individuals living in and around source areas in biodiverse regions of Colombia and Mexico. It contributes indirectly to poverty reduction through innovative practice-oriented research to develop evidence that will – through its application in follow-on capacity building activities – protect key species more effectively. This will protect community access to wildlife-related revenues, including sustainable wildlife use, and mitigate long-term threats to community use of ecosystem services. Meanwhile, in stemming associated illicit finance, the project benefits a large number of beneficiaries across the 51.5 million population of Colombia and 126.7 million population of Mexico.

Having established a novel evidence base, multiple pathways exist to harness this project to inform future interventions. Future potential scaling opportunities include: (i) using the evidence generated to inform targeted law-enforcement capacity-building in both countries to use financial investigation and other tools to combat wildlife laundering; (ii) replicating the research in other geographies in Latin America; and (iii) expanding the research and follow-on capacity-building across a wider, regional-level programme to disrupt cross-border wildlife laundering operations.

## **Q20. Pathway to change**

**Please outline your project's expected pathway to change. This should be an overview of the overall project logic and outline why and how you expect your Outputs to contribute towards your overall Outcome and, in the longer term, impacts on IWT and poverty reduction.**

Based on extensive experience, the project's logic is based on the need for research to address a critical knowledge gap and inform future capacity-building activities. The project has a linear and logical results chain, whereby processes (Inputs and Activities) link directly to results (Outputs and Outcome). Careful consideration has been given to a clear pathway to change, whereby Inputs are adequate to deliver the activities, the 12 activities are sufficiently comprehensive to achieve Outputs, and the Outputs are crafted to collectively achieve the Outcome. This Outcome is that innovative research strengthens the evidence base on wildlife laundering in Colombia and Mexico, informing novel options to strengthen financial investigation and enforcement responses via follow-on capacity-building activities. Their holistic, mutually reinforcing nature mean that the Outputs encompass all aspects of this Outcome, from delivery of novel research, involving database compilation and situational analyses (Output 1); to the development and testing at country-specific workshops of typologies for practical use (Output 2); to the publication of new evidence through a range of formats (Output 3); and

dissemination of findings and typologies, and capacity building of participating organisations to support the use of new evidence in future programming (Output 4).

## **Q21. Sustainable benefits and scaling potential**

**Q21a. How will the project reach a sustainable point and continue to deliver benefits post-funding? How will the required knowledge and skills remain available to sustain the benefits? How will you ensure your data and evidence will be accessible to others?**

Careful attention has been paid to ensure that specific achievements last beyond the project's lifecycle, irrespective of future funding. The evidence base developed will not only provide a contemporary baseline on wildlife-laundering in the focus countries but will inform fully developed financial typologies: a vital building-block for the financial sector's development of red flags which will support routine identification of future instances of legal supply-chain exploitation. Outputs will be delivered with partners with established in-country presence, connections and expertise, ensuring that these are retained in-country for future use and development, and can be passed and built on in perpetuity. Public-facing outputs will remain openly accessible to a range of local and international stakeholders beyond the project end. Specific information will be included in outputs to support future development and sustainable use of the resources, including clear articulation of methodologies, limitations, remaining knowledge gaps and needs, and recommendations for further development.

**Q21b. If your approach works, what potential is there for scaling the approach further? What might prevent scaling, and how could this be addressed?**

Given the extent of the knowledge and enforcement gaps in this area, the project could be scaled in a number of ways, for example (i) using the evidence generated to inform targeted law-enforcement capacity-building in both countries to use financial-investigation and other tools to combat wildlife laundering; (ii) replicating the research in other geographies in Latin America; and (iii) expanding the research and follow-on capacity-building across a wider, regional-level programme to disrupt cross-border wildlife-laundering operations. All examples would empower relevant actors to begin investigating these operations in a more targeted manner, potentially enabling recovery of lost assets, providing an avenue for future impactful work to recover illicit proceeds and redirect them towards poverty reduction.

Scaling the project would rely on continued commitment from governments to combat IWT post-project, as well as appropriate funding being secured. Strong advocacy, ongoing governmental engagement and wide dissemination of leanings can mitigate these risks.

**If necessary, please provide supporting documentation e.g. maps, diagrams, references etc., as a PDF using the File Upload below:**

- 
- [IWTCF10 Stg2 LATAM References \(4\)](#)
  - 30/10/2023
  - 16:17:05
  - pdf 149.2 KB

## **Section 7 - Risk Management**

---

### **Q22. Risk Management**

**Please outline the 6 key risks to achievement of your Project Outcome and how these risks will be managed and mitigated, referring to the Risk Guidance. This should include at least one Fiduciary, one Safeguarding, and one Delivery Chain Risk.**

Risk Description	Impact	Prob.	Inherent Risk	Mitigation	Residual Risk
<p><b>Fiduciary</b></p> <p>Budget expenditure faces risks linked to corruption in focus countries, as well as rapid inflation globally, either of which expose the project to potential loss of budgetary value and could undermine its impact.</p>	Major	Possible	Moderate	<p>Regular reviews of project financials, tracking of corruption and inflation risks, and monitoring of expenditure. Strict approval and delegated authority protocols, anti-corruption and procurement policies (amongst others, available on request) are enforced. Sub-contractors are subject to the same policies, providing full accountability for expenses. Adaptive management adjusts to inflationary surges.</p>	Minor
<p><b>Safeguarding</b></p> <p>The sensitive nature of some of the topics this project will research means that participation in fieldwork could put interviewees or staff at risk, without action to mitigate this risk. This is exacerbated by the risk of corrupt actors existing within the agencies targeted.</p>	Major	Possible	Moderate	<p>The project will go through RUSI's stringent ethics review and risk assessment process, which will be monitored throughout. Staff will adhere to RUSI safeguarding, data protection, ethics and modern slavery policies to minimise harm. Full, informed consent is required from interviewees.</p>	Minor
<p><b>Delivery Chain</b></p> <p>Reliance on in-country partners for elements of the project including elements of research processes could result in delays to the project's delivery.</p>	Moderate	Unlikely	Minor	<p>RUSI's established relationships with reputable in-country partners, supported by robust project management systems and PRINCE2-trained project leadership, will be used to anticipate and mitigate delays.</p>	Minor

<b>Risk 4</b>	The likelihood of corrupt actors being embedded within targeted agencies, exposes the project to fiduciary, reputational, and operational risks, which could undermine the project's activities and ability to achieve its outcome.	Severe	Possible	Major	All potential corruption risks relevant to the project will be identified through RUSI's stringent risk assessment processes, with appropriate measures and mitigations put in place and continuously reviewed throughout delivery. Workshop and interview participants will be selected in careful consultation with in-country NGO partners. Anti-corruption and procurement policies are enforced.	Moderate
<b>Risk 5</b>	Due to the presence of non-state armed groups, travel to certain regions may become difficult. Fieldwork in these regions may not be feasible. A rapid deterioration – though unlikely – could endanger researchers' safety.	Major	Possible	Moderate	RUSI will continuously monitor security risks across focal countries, following FCDO advice. Staff, including contractors, will check in with the RUSI office daily, and will not be sent to high-risk areas. If necessary, interviews will be held remotely. Through the pandemic, RUSI demonstrated highly effective remote delivery of similar research.	Minor
<b>Risk 6</b>	The project involves data collection and analysis. Data loss, breach or misuse of project data by corrupt actors in target countries could pose risks to data subjects, project participants and personnel, and project delivery. Additionally, data privacy and international data transfers carry legal risks.	Minor	Possible	Minor	RUSI is CyberEssential Plus accredited. Data security protocols and international data sharing agreements are created in accordance with GDPR, applying minimisation principles to data handling/archiving. Nominal data are anonymised before sharing with project beneficiaries. Criminal data related to money laundering or terror finance are securely shared with law enforcement.	Insignificant

## Section 8 - Project Sensitivities and Workplan

### Q23. Project sensitivities

**Please indicate whether there are sensitivities associated with this project that need to be considered if details are published (detailed species location data that would increase threats, political sensitivities, prosecutions for illegal activities, security of staff etc.).**

Yes

**Please provide details.**

Given the illegal nature of wildlife-laundering, there are sensitivities relating to interviewee/informant safeguarding. To mitigate this, all interview data will be anonymised in storage and published outputs, and all appropriate protocols will be put in place to protect the identity of interviewees. Data security protocols and international data sharing agreements will be put in place as required in accordance with GDPR, and minimisation principles to data handling will be applied. Nominal data will be anonymised before sharing with any project beneficiaries or partners. Any intelligence that is gathered which may assist prosecutions, may be confidentially shared with appropriate authorities.

## **Q24. Workplan**

**Provide a project workplan that shows the key milestones in project activities.**

- 
- [BCF-Workplan-FINAL-RUSI LATAM](#)
  - 30/10/2023
  - 15:03:30
  - docx 30.02 KB

## **Section 9 - Monitoring and Evaluation**

---

### **Q25. Monitoring and evaluation (M&E)**

**Describe how the progress of the project will be monitored and evaluated, making reference to who is responsible for the project's M&E.**

**IWT Challenge Fund projects are expected to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. M&E is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact.**

RUSI's M&E systems are robust, results-oriented and individually tailored to each project's requirements. At an institutional level, from pre-submission to project closure, RUSI has a range of procedures to ensure that high-quality information is captured and used to refine delivery. This guides results management, ensuring that Activities, Outputs and Outcomes are monitored, evaluated and delivered to a high standard.

In this project, RUSI will monitor and evaluate implementation using a dedicated M&E plan, incorporating any adjustments requested by the IWT Challenge Fund and led by the M&E Expert. The plan is designed to provide the team (including partners) with regular input throughout the life of the project in order to adjust activities to respond to feedback gathered. The project logframe and all M&E tools are designed to record information on GESI, with indicators disaggregated by gender wherever applicable.

RUSI guarantees that a project can achieve high-quality outcomes and manage results by ensuring that M&E is integrated into project design from the outset. All RUSI projects are peer reviewed before submission by RUSI's Head of Research and relevant Research Group Director. This grouping meets before submission to validate the Pathway to Change, project design and M&E and make recommendations for any improvements. This pre-submission procedure has been applied to this project, ensuring that the information-gathering instruments

necessary to conduct effective M&E are integrated from project outset.

This integration of M&E into project design will allow the project to be implemented in an adaptive manner to ensure full achievement of Outputs and Outcomes. This process will involve regular reviews of the logframe – and an initial review (and potential updating) of pre-intervention indicators and assumptions to ensure an accurate base to measure progress. Throughout, data against SMART measurable indicators for all Outputs and Outcomes (as per the logframe) and their assumptions will be reviewed on a quantitative and qualitative basis – and additional indicators and risks considered. Both negative and positive developments will be measured and will inform potential adaptations to project delivery. FCDO M&E guidelines will direct this process, culminating in the final evaluation of the efficiency, effectiveness, relevance and sustainability of the intervention.

The effective execution of the M&E plan will be ensured through the allocation of adequate M&E staff time and strict adherence to RUSI’s wider M&E processes. An experienced expert, Liam O’Shea, will be responsible for leading all M&E using a mixed-method approach to monitor change against the baseline. Liam has extensive experience in MEL and in the design and implementation of capacity-building projects for UK government. Critically, Liam does not work within the Environmental Crime portfolio and thus is well-positioned to conduct M&E from a neutral position. Liam will spend circa 2% of his annual staff time on the project, accounting for £2,633.08. More broadly, the entire project team is subject to RUSI’s mandatory M&E training, ensuring delivery of the M&E plan.

<b>Total project budget for M&amp;E in GBP (this may include Staff, Travel and Subsistence costs)</b>	██████████
<b>Percentage of total project budget set aside for M&amp;E (%)</b>	█
<b>Number of days planned for M&amp;E</b>	7

## Section 10 - Indicators of success

---

### Q26. Indicators of success

**IWT Challenge Fund projects will be required to monitor and report against their progress towards their Outputs and Outcome. This section sets out the expected Outputs and Outcome of your project, how you expect to measure progress against these and how we can verify this.**

**SMART Indicator**

**Means of Verification**

---



---

**Outcome**

Innovative research strengthens the evidence base on wildlife laundering in Colombia and Mexico, informing novel options to strengthen financial investigation and other enforcement responses via follow-on capacity-building activities.

0.1 - At least two ( $n \geq 2$ ) typologies for practical usage are developed on movements of illicit finance linked to specific wildlife-laundering modalities affecting Colombia and Mexico, based on the enhanced evidence base on wildlife laundering developed by June 2025 [IWTCF-D26].

0.2 - Dedicated project page – including all published evidence, typologies and project outputs – receives an average of 100 monthly impressions by September 2025 [IWTCF-D18].

0.3 – Outline guidance frameworks ( $n=1$  per country) are produced on options for use of financial-investigation tools, and the capacity of at least 3 organisations per country participating in workshops in Colombia and Mexico is built to integrate evidence and typologies generated into future programming, with tangible steps taken to design follow-on law-enforcement-focused projects based on the evidence generated by September 2025 [Source: project-specific indicator].

0.1 - Documentation outlining two typologies; inclusion of typologies in published RUSI Emerging Insights paper; records of peer-review feedback on typologies developed.

0.2 - Website analytics; website data on download rates, average time on page, average session duration; project output publication records; RUSI Emerging Insights Paper peer-review documentation.

0.3 - Outline guidance framework documents; post-workshop survey results; email circulation records; correspondence with workshop participants; zoom analytics; dedicated funding proposals developed.

---

**Output 1**

Novel research is conducted, with a database of known wildlife-laundering cases compiled, situational analyses produced, and reviews of legislation, wildlife-management and financial-investigative capacity conducted (for inclusion in Emerging Insights paper).

1.1 – By July 2024, a database of a minimum of 20 wildlife laundering cases is compiled, and literature review covering a minimum of 50 sources ( $n \geq 25$  per country) in Colombia and Mexico is compiled [IWTCF-B07].

1.2 – By September 2024, at least 20 subject matter experts on Colombia and Mexico are interviewed ( $n \geq 20$  per country) including at least 40% female experts, leading to the production of two situational analyses [Source: project-specific indicator].

1.3 – By September 2024, at least two reviews of legislation, wildlife-management and financial-investigative capacity are conducted and documented for Colombia and Mexico [Source: project-specific indicator].

1.1 – Database files; collation and cataloguing of literature review sources (grey and academic literature); outline of national IWT legislation, policies and frameworks.

1.2 – Interview protocols; interview consent forms; interview notes; email correspondence with interviewees; gender disaggregation of interviewee data; situational analysis documentation.

1.3 - Documentation (word documents, excel files) outlining two capacity reviews; iterative development of capacity reviews over consecutive word documents and excel files.

---

---

**Output 2**

Findings are shared and tested at country-specific virtual workshops, with typologies on wildlife laundering and associated illicit finance affecting Colombia and Mexico produced and refined for practical future use.

2.1 - By December 2024, at least two typologies are developed on movements of illicit finance linked to specific wildlife laundering modalities affecting Colombia and Mexico, based on the enhanced evidence base developed [IWTCF-B05].

2.2 - At least 5 key NGO and INGO stakeholders and 5 key public sector officers participate in 1 virtual workshop for each focal country (n=20) to share findings and gather input to test and refine the typologies produced by January 2025 [IWTCF-D21].

2.3 - One outline guidance framework, covering options for use of financial-investigation tools, is developed per focus country to support the response to wildlife laundering and associated illicit finance by January 2025 (for inclusion in subsequent Emerging Insights paper) [IWTCF-B21].

2.1 - Documentation (word documents, excel files) outlining two typologies; iterative development of typologies over consecutive word documents and excel files.

2.2 - Workshop invitation documentation; email correspondence; attendance confirmation records; virtual workshop recording; zoom analytics

2.3 - Word document outlining framework developed in Colombia; word document outlining workshops framework developed in Mexico; records of email dissemination.

---

<b>Output 3</b>	Enhanced evidence base, typologies and guidance are published as 1 open-access RUSI Emerging Insights paper and 2 shorter-form articles in English and Spanish, with an online launch.	3.1 - By March 2025, 1 peer-reviewed RUSI Emerging Insights paper that contains 2 country specific case studies, typologies and guidance is published as an open-access asset in English and Spanish on www.rusi.org by April 2025 [IWTCF-D13 and IWTCF-D17].	3.1 – Paper submission form; RUSI Publications department confirmation email; peer-review feedback documentation; records of iterative development of manuscript based on peer-review feedback; online publication records; google analytics.
		3.2 - By March 2025, 2 shorter-form pieces will be published in appropriate outlets in English and Spanish to raise awareness of strengthened evidence base [IWTCF-D13].	3.2 – Article submission documentation; receipt confirmation email; editorial feedback documentation; records of iterative development of manuscript based on feedback; online publication records; google analytics.
		3.3 - By April 2025, 1 online launch event is held in English and Spanish to disseminate findings, attended by at least 30 participants working in relevant fields in the focus countries, including at least 40% female attendees [IWTCF-D20].	3.3 – Online launch event invitations; online launch event materials including PowerPoint, presentation, notes and diagrams; online event attendance list; recordings of event; bookings and procurement of event related services.
<b>Output 4</b>	The enhanced evidence base is disseminated and concrete follow-on programming explored at workshops in each country, with capacity built among participating organisations to use the evidence in future programming.	4.1 - The peer-reviewed RUSI Emerging Insights Paper achieves at least 200 total page impressions by July 2025 [IWTCF-D14].	4.1 - Web analytics; download statistics.
		4.2 - At least 50 IWT decision-makers attend the workshops covering Colombia and Mexico by August 2025 [IWTCF-D21].	4.2 – Briefing invitation documentation; email correspondence; attendance confirmation records; virtual workshop recording; zoom analytics; post-event evaluation survey results; correspondence with event participants.
		4.3 - By September 2025, the capacity of a minimum of 3 organisations attending workshops has been built in the use of the evidence generated in future programming, alongside the development of tangible plans for follow-on law-enforcement capacity building [IWTCF-D03].	4.3 - Post-event surveys and documentation; capacity-building workshop materials; email circulation records; correspondence with event participants; dedicated funding proposals developed.

## Activities

**Each activity is numbered according to the Output that it will contribute towards, for example, 1.1, 1.2, 1.3 are contributing to Output 1.**

- 1.1 Conduct in-depth literature reviews and review national legislation, wildlife management and financial-investigation capacity. Produce database of known wildlife-laundering case studies for further examination.
  - 1.2 Identify and conduct semi-structured interviews with subject-matter experts in Colombia and Mexico, using tailored interview protocol.
  - 1.3 Conduct situational analyses, interpreting the results of 1.1 and 1.2, and build the findings into a minimum of two typologies on movements of illicit finance linked to specific wildlife-laundering modalities affecting Colombia and Mexico.
- 
- 2.1 Design and run one virtual workshop per country, designing agenda to allow the testing and refinement of the typologies developed under 1.3.
  - 2.2 Identify, invite and facilitate input at virtual workshops from in-country and international experts and practitioners.
  - 2.3 Draft one outline guidance framework per focus country to support the response to wildlife laundering, covering specific implications of the findings and practical options for use of financial-investigation tools based on the evidence generated.
- 
- 3.1 Draft RUSI Emerging Insights paper, engaging with key stakeholders on drafts and incorporating feedback. Submit paper to RUSI Publications department and submit to standard peer-review procedure, refining the draft, prior to translation into Spanish.
  - 3.2 Write two shorter-form articles and submit for publication in appropriate outlets to raise awareness of strengthened evidence base generated.
  - 3.3 Plan and run launch event to present project findings and facilitate key stakeholder discussions around scalability.
- 
- 4.1 Publish and promote dedicated webpage on [www.rusi.org](http://www.rusi.org), and promote the peer-reviewed RUSI Emerging insights paper via a tailored dissemination strategy in English and Spanish.
  - 4.2 Conceptualise workshops covering Colombia and Mexico, inviting participation by relevant organisations working on IWT with the goal of building their capacity to use the evidence generated in relevant programming.
  - 4.3 Run workshops covering Colombia and Mexico, building the capacity of participating organisations to use the evidence generated in future programming, while developing tangible plans and proposals for funding of follow-on law-enforcement capacity building.

## **Important Assumptions**

**Please describe up to 6 key assumptions that, if held true, will enable you to deliver you Outputs and Outcome.**

Governments are committed to combating IWT via legal supply chains and remain committed post-project, allowing scaling of practical law-enforcement capacity building.

The security situation remains sufficiently stable in key areas of Colombia and Mexico for project activities to take place.

Suitable outlets are willing and able to use their platforms to publish the written outputs produced under Output 3.

Workshop participants are willing and able to attend, and provide constructive feedback on the products produced, allowing their refinement.

## Section 11 - Budget and Funding

---

### Q27. Budget

**Please complete the appropriate Excel spreadsheet, which provides the Budget for this application, and ensure the Summary page is fully completed. Some of the questions earlier and below refer to the information in this spreadsheet.**

- [LATAM CF Budget](#)
- 30/10/2023
- 15:12:18
- xlsx 32.36 KB

### Q28. Alignment with other funding and activities

**This question aims to help us understand how familiar you are with other work in the geographic/thematic area, and how this proposed project will build on or align with this to avoid any risks of duplicating or conflicting activities.**

**Q28a. Is this new work or does it build on existing/past activities (delivered by anyone and funded through any source)? Please give details.**

IWT through legal supply chains in Latin America is widespread but poorly documented, with little systematic empirical research on the threat and few specific typologies developed for use by those charged with responding to associated illicit finance. This project targets these evidence gaps in Colombia and Mexico, as key source countries affected by wildlife-laundering.

In doing so, while new, the project builds on a limited number of past initiatives, including a confidential US Department of State-funded RUSI/WCS collaboration to conduct preliminary analysis on two wildlife-laundering case studies (covering Ecuador and Peru). This study established a pressing need for a formally documented evidence base across source countries in the region – a gap this project begins to fill.

The enhanced evidence base generated by this project will inform future programming to support public-sector agencies' use of innovative tools, including financial-investigation techniques. In using this evidence to inform these investigative approaches, the project complements an existing WWF initiative on corruption and financial-flows in regional states including Bolivia, Ecuador and Peru. This project complements and fills gaps in this earlier initiative, adding a specific, crucial emphasis on illicit finance generated by wildlife laundering, and widening the geographic focus to other key source countries.

**Q28b. Are you aware of any current or future plans for work in the geographic/thematic area to the proposed project?**

- Yes

**Please give details explaining similarities and differences, and explaining how your work will be additional and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits.**

During the design of this proposal, extensive research has been conducted into historical and contemporary initiatives touching on evidence gathering and capacity-building for investigations into IWT in the Latin America region. To RUSI's knowledge, no other initiatives are in place in Colombia or Mexico to provide significant, focused research into wildlife laundering.

RUSI is aware of the joint WWF/Basel Institute initiative funded by INL focused on corruption and financial investigations in Bolivia, Ecuador and Peru, but is confident that this project's activities will not duplicate existing efforts, but rather complement them. The INL project seeks to assess and mitigate corruption risks among government authorities, promote regional coordination to strengthen joint investigations and provide training on financial investigations. As such, the focus is distinct. WWF is a partner with RUSI on this project, which ensures our respective activities will prove mutually beneficial.

RUSI has close working relationships with other organisations running counter-IWT/illicit finance programmes in the wider region, including WWF, WCS, UfW and the Basel Institute. RUSI has engaged with these organisations during project design and will continue to do so throughout the project to deconflict and cooperate as appropriate.

## **Q29. Balance of budget spend**

**Defra are keen to see as much IWT Challenge Fund funding as possible directly benefiting communities and economies. While it is appreciated that this is not always possible every effort should be made for funds to remain in-country.**

**Explain the thinking behind your budget in terms of where IWT Challenge Fund funds will be spent. What benefits will the country/ies see from your budget? What level of the award do you expect will be spent locally? Please explain the decisions behind any IWT Challenge Fund funding that will not be spent locally and how those costs are important for the project.**

RUSI has designed the project to ensure that a significant proportion of funds are spent in-country. The project's 'local expenditure' is therefore calculated as follows, totalling █████ of the overall budget:

- WWF's work, totalling £█████ will take place in Colombia and Mexico. The funds will cover staff costs to support in-country research and data collection, delivery of workshops and dissemination activities.
- WWF's in-kind contributions (£█████) cover activities in Colombia and Mexico, supporting work by locally based staff.
- Half of UfW's in-kind contributions (£█████) will support a locally based member of staff to support research and dissemination activities.
- The project's validation and dissemination workshops (£█████) predominantly target stakeholders based in focal countries.

RUSI's portion of the work and expenditure will take place centrally from our London office. This is necessary to leverage the experience of our expert research team and past project work.

However, the design of the open-access outputs and outcome mean that all funding will be of benefit to the focal countries, with new evidence supporting future capacity-building to enhance investigation and prosecution of criminals engaged in wildlife-laundering, contributing to the safeguarding of vulnerable species and supporting sustainable economies for local communities.

## **Q30. Value for Money**

**Please demonstrate why your project is good value for money in terms of impact and cost-effectiveness of each pound spend (economy, efficiency, effectiveness and equity).**

RUSI will ensure VfM across the 4Es (Economy, Efficiency, Effectiveness, Equity) as follows.

**Economy**– Output 1 draws directly on RUSI’s previous research and makes use of WWF’s existing data, minimising the cost of commissioning new research. VfM is further ensured by significant co-financing contributions, representing 26.5% of the budget.

**Efficiency**– RUSI has previously conducted research on the illegal exploitation of wildlife supply-chains in Latin America, with unique insight into baseline capacity levels in the region. By drawing directly on this previous research, the project demonstrates efficiency and VfM by leveraging work already conducted under another funded project. In reviews of RUSI’s ongoing project IWT096, evaluators observed minimal budget variance of 3%.

**Effectiveness**– The effectiveness of this project, including its ultimate sustainability, is ensured by building on the solid foundations of RUSI’s previous Challenge Fund projects (IWT021/043) and incorporating existing knowledge, expertise and lessons learnt via IWT096. RUSI achieved A\* and A grade reviews in IWT021/043 final evaluations, with final report reviewers commending their ‘good’ and ‘high’ VfM. In the review of IWT096’s Year 2 report, the project scored ‘1’ (‘Outputs/outcomes likely to be completely achieved’).

**Equity**– To further leverage related activity and enhance equity under this project, RUSI has engaged with other organisations working in the region and identified opportunities to build on previous evidence collected, while ensuring that planned activities complement ongoing initiatives. This is reflected in the high number of letters of support received (n=7), demonstrating the project’s ability to ensure participation among relevant government agencies.

### **Q31. Capital items**

**If you plan to purchase capital items with IWT Challenge Fund funding, please indicate what you anticipate will happen to the items following project end. If you are requesting more than 10% capital costs, please provide your justification here.**

N/A

## **Section 12 - Safeguarding and Ethics**

---

### **Q32. Safeguarding**

**All projects funded under the Biodiversity Challenge Funds must ensure proactive action is taken to promote the welfare and protect all individuals involved in the project (staff, implementing partners, the public and beneficiaries) from harm. In order to provide assurance of this, projects are required to have specific procedures and policies in place.**

**Please upload the following required policies:**

- **Safeguarding Policy**: including a statement of commitment to safeguarding and a zero tolerance statement on bullying, harassment and sexual exploitation and abuse.
- **Whistleblowing Policy**: which details a clear process for dealing with concerns raised and protects whistle blowers from reprisals.
- **Code of Conduct**: which sets out clear expectations of behaviours – inside and outside the workplace – for all involved in the project and makes clear what will happen in the event of non-compliance or breach of



**these standards, including compliance with IASC 6 Principles.**

**If any of these policies are integrated into a broader policy document or handbook, please upload just the relevant or equivalent sub-sections to the above policies, with (unofficial) English translations where needed.**

**Please outline how (a) beneficiaries, the public, implementing partners, and staff are made aware of your safeguarding commitment and how to confidentially raise a concern, (b) safeguarding issues are investigated, recorded and what disciplinary procedures are in place when allegations and complaints are upheld, (c) you will ensure project partners uphold these policies.**

**If your approach is currently limited or in the early stages of development, please clearly set out your plans address this.**

RUSI has a Safeguarding, Sexual Exploitation, Abuse and Harassment Prevention (SSEAH) policy with principles for RUSI staff and subcontractors to prevent SSEAH. It is available to beneficiaries and the public on request. All RUSI staff have a zero-tolerance approach to SSEAH. RUSI will take all reasonable steps to prevent SSEAH and will respond appropriately to reports of SSEAH.

The SSEAH policy is mandatory for all those employed or engaged by RUSI, who commit to uphold the policy's principles.

Subcontractors are required to confirm if they have their own Safeguarding Policies and Procedures. If they have, a copy will be requested to verify that it meets standards. If not, they must abide by RUSI's policies. Subcontractors are required to confirm whether the project will involve work with under-18s to assess if additional protective measures/training is required. It is very rare for RUSI to engage with children in its research.

Any suspected violations of RUSI's SSEAH Policy will require immediate reporting to the Safeguarding Protection Lead. Upon receiving a report, the Safeguarding Protection Lead will determine if:

- a) Authorities need to be informed.
- b) Disciplinary action is required.
- c) The report is linked to an FCDO-funded project and requires reporting at [reportingconcerns@fcdo.gov.uk](mailto:reportingconcerns@fcdo.gov.uk).

### **Q33. Ethics**

**Outline your approach to meeting the key principles of good ethical practice, as outlined in the guidance**

RUSI, its partners and co-financing contributors will meet all expected principles of good, ethical development project implementation practice. All legal and ethical principles in the target countries, UK and international law will be obeyed. In-country NGO partners will ensure that the perspectives, interests and well-being of those affected by the project are addressed throughout.

'Do no harm' principles will guide implementation. Typologies and all other materials will be co-developed with in-country partners, utilising their knowledge of the operating context to ensure cases are culturally and ethically appropriate, relevant and do not pose risks to participants, beneficiaries or the team. Direct beneficiaries will be identified in partnership with NGO partners and government agencies.

The project will undergo RUSI's ethics review process and will respect participants' and beneficiaries' rights, privacy and safety at all times. All activities will be based on free, prior informed consent, data collected will be anonymised and securely stored, and beneficiary identity kept confidential. The Project Leader is responsible for the health and safety of all staff, participants and beneficiaries. Risk assessments must be approved before travel and implementation. Staff must follow RUSI's fieldwork-safety protocols, ethics and safeguarding policies. Independent peer-review will ensure research quality and integrity.

## Section 13 - FCDO Notifications

---

### Q34. British embassy or high commission engagement

It is important for UK Government representatives to understand if UK funding might be spent in the project country/ies. Please indicate if you have contacted the relevant British embassy or high commission to discuss the project and attach details of any advice you have received from them.

Yes

Please attach evidence of request or advice if received.

BE Support Letter

30/10/2023

15:14:58

pdf 459.15 KB

## Section 14 - Project Staff

---

### Q35. Project staff

**Please identify the core staff (identified in the budget), their role and what % of their time they will be working on the project.**

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

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Cathy Haenlein	Project Leader	6	Checked
Lauren Young	Lead Analyst	21	Checked
Genevieve Kotarska	Second Analyst	21	Checked
Elijah Glantz	Project Manager	6	Checked

**Do you require more fields?**

Yes

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Liam O'Shea	Monitoring and Evaluation Expert	2	Checked
Renata Cao	Latin America Wildlife Crime Expert	5	Checked

Silvia Rivadeneira	Conservation Specialist	5	Checked
No Response	No Response	0	Unchecked
No Response	No Response	0	Unchecked
No Response	No Response	0	Unchecked
No Response	No Response	0	Unchecked
No Response	No Response	0	Unchecked

**Please provide 1 page CVs (or job description if yet to be recruited) for the project staff listed above as a combined PDF.**

- [CVs for LATAM](#)
- 30/10/2023
- 15:19:45
- pdf 290.55 KB

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

- Yes

## Section 15 - Project Partners

---

### Q36. Project Partners

**Please list all the Project Partners (including the Lead Partner), clearly setting out their roles and responsibilities in the project including the extent of their engagement so far and planned. This section should demonstrate the capability and capacity of the Project Partners to successfully deliver the project. Please provide Letters of Support for all project partners or explain why this has not been included.**

**Lead partner name:** Royal United Services Institute for Defence and Security Studies (RUSI)

**Website address:** <https://www.rusi.org/>

---

RUSI is the UK's leading independent, not-for-profit research institute for security studies. RUSI influences and improves policy and decision-making through evidence-based recommendations, and by enhancing public debate.

**Why is this organisation the Lead Partner, and what value to they bring to the project? (including roles, responsibilities and capabilities and capacity):**

RUSI's Organised Crime and Policing (OCP) department will run this project. OCP has a dedicated environmental crime programme, run by experts in conservation, organised and financial crime, and corruption. OCP has successfully leveraged RUSI's unique influence to inform and educate policymakers, law-enforcement and civil-society about the security threat posed by environmental crime. OCP has extensive experience conducting fieldwork in challenging contexts, working with partners from across sectors. This project's team has significant experience working on IWT and other commodity trafficking in Latin America.

With significant input from in-country partners, RUSI will manage the project including: identification of case studies, situational analyses (Output 1); design and delivery of validation workshops (Output 2); draft and publication of Emerging Insights paper and 2 short form articles (Output 3); and execution of an impactful dissemination strategy, including the design and delivery of workshops tailored to each country (Output 4).

---

**International/ In-country Partner** International

---

**Allocated budget (proportion or value):** £ [REDACTED]

---

**Representation on the Project Board (or other management structure):**  Yes

---

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

---

**Have you provided a cover letter to address your Stage 1 feedback?**  Yes

---

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

Yes

---

**1. Partner Name:** World Wildlife Fund (WWF) Local Offices

---

**Website address:** <https://www.wwf.org.uk/>

---

---

WWF is a leading NGO working on biodiversity conservation and IWT in Latin America. WWF has offices in Colombia and Mexico, where teams have longstanding relationships with local stakeholders and partners. They bring species-specific expertise, as well as expertise in capacity building and data collection and analysis and knowledge of specific local dynamics and corruption risks.

**What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):**

This project aligns with ongoing WWF programmes seeking to address corruption and financial crime linked to IWT, including an INL-funded project focused on regional anti-corruption efforts and financial investigations to counter IWT in Bolivia, Ecuador and Peru and the USAID-funded project Tackling Natural Resource Corruption.

WWF Local Offices will use their expertise and longstanding relationships with other in-country stakeholders to assist in the identification of case studies by co-developing interview protocols and identifying and interviewing experts (Output 1); in the design and delivery of workshops (Outputs 2 & 4); peer review of the projects written outputs (Output 3); and with dissemination activities throughout the project.

---

**International/ In-country Partner** In-country

---

**Allocated budget (proportion or value):**

£ [REDACTED]

---

**Representation on the Project Board (or other management structure):**

Yes

---

**Have you included a Letter of Support from this organisation?**

Yes

---

**2. Partner Name:** United for Wildlife (UfW)

---

**Website address:** <https://unitedforwildlife.org/>

---

**What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):**

UfW brings conservation organisations, governments and the private sector together to share intelligence and take action against IWT. Led by the Royal Foundation of the Prince and Princess of Wales, UfW runs two public-private partnerships: the Financial and Transport Taskforces. Established in 2014, the Transport Taskforce disseminates IWT intelligence to 100+ transport companies that have pledged to monitor, report and enforce against IWT. Established with RUSI's assistance in 2018, the Financial Taskforce unites 40+ global financial institutions, which receive financial intelligence and typologies to inform the reporting of IWT-related criminal and corrupt activity. This project will complement UfW's plans to establish a new Regional Chapter in Latin America.

UfW will contribute £[REDACTED] in co-financed funding in staff time devoted to: identifying relevant stakeholders; assisting with tailoring outputs to key audiences; and assisting in the dissemination of findings and ensuring that they are used to inform and help upskill local and global financial institutions.

**International/ In-country Partner**

International

**Allocated budget (proportion or value):**

£[REDACTED]

**Representation on the Project Board (or other management structure):**

Yes

**Have you included a Letter of Support from this organisation?**

Yes

**3. Partner Name:**

Latin American Alliance of Environment and Sustainability (AES)

**Website address:**

N/A

**What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):**

AES are a group of environmental legal professionals working across Latin America. They have legal expertise in IWT having worked with the American Bar Association's Promoting the Rule of Law initiative to tackle the trafficking of flora and fauna in the region.

During the project, AES will apply their legal expertise to advise on legislative and regulatory frameworks in relation to IWT and help identify potential loopholes for criminal exploitation in the relevant jurisdictions. AES will contribute in-kind staff time towards these activities.

**International/ In-country Partner**

In-country

**Allocated budget (proportion or value):**

£[REDACTED]

---

**Representation on the Project Board (or other management structure):**  Yes

---

**Have you included a Letter of Support from this organisation?**  No

---

**If no, please provide details** A letter could not be obtained in time, due to the original point of contact having resigned. AES provided a letter for the previous R9 application (included). Mariana Herrero (Galicia Abogados, Mexico) and Juana Valentina Micán García (Brigard Urrutia, Colombia) have agreed to provide pro-bono support for this project (R10).

---

**4. Partner Name:** *No Response*

---

**Website address:** *No Response*

---

**What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):** *No Response*

---

**International/ In-country Partner** *No Response*

---

**Allocated budget (proportion or value):** £0.00

---

**Representation on the Project Board (or other management structure):**  Yes  
 No

---

**Have you included a Letter of Support from this organisation?**  Yes  
 No

---

**5. Partner Name:** *No Response*

---

**Website address:** *No Response*

---

**What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):** *No Response*

---

---

**International/ In-country Partner** *No Response*

---

**Allocated budget (proportion or value):** £0.00

---

**Representation on the Project Board (or other management structure):**  
 Yes  
 No

---

**Have you included a Letter of Support from this organisation?**  
 Yes  
 No

---

---

**6. Partner Name:** *No Response*

---

**Website address:** *No Response*

---

**What value does this Partner bring to the project? (including roles, responsibilities and capabilities and capacity):**  
*No Response*

---

**International/ In-country Partner** *No Response*

---

**Allocated budget (proportion or value):** £0.00

---

**Representation on the Project Board (or other management structure):**  
 Yes  
 No

---

**Have you included a Letter of Support from this organisation?**  
 Yes  
 No

---

**If you require more space to enter details regarding Partners involved in the project, please use the text field below.**

*No Response*

**Please provide a combined PDF of all letters of support in the order they are presented in the table.**

- 
- [combinepdf](#)
  - 30/10/2023
  - 15:31:10
  - pdf 1.76 MB



## Section 16 - Lead Partner Capability and Capacity

---

### Q37. Lead Partner Capability and Capacity

**Has your organisation been awarded Biodiversity Challenge Funds (Darwin Initiative, Darwin Plus or Illegal Wildlife Trade Challenge Fund) funding before (for the purposes of this question, being a partner does not count)?**

Yes

**If yes, please provide details of the most recent awards (up to 6 examples).**

<b>Reference No</b>	<b>Project Leader</b>	<b>Title</b>
IWT096	Cathy Haenlein	Case closed? Using historic cases to enable new financial investigations
IWT043	Tom Keatinge	Following the Money II: IWT Capacity-Building East and Southern Africa
IWT021	Tom Keatinge	Following the Money: Disrupting Wildlife-Linked Illicit Financial Flows in Kenya/Tanzania/Uganda
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>

**Have you provided the requested signed audited/independently examined accounts?**

Yes

## Section 17 - Certification

---

### Certification

**On behalf of the**

Company

**of**

Royal United Services Institute (RUSI)

**I apply for a grant of**

£99,718.00

**I certify that, to the best of our knowledge and belief, the statements made by us in this application are true and the information provided is correct. I am aware that this application form will form the basis of the project schedule should this application be successful.**

**(This form should be signed by an individual authorised by the applicant institution to submit applications and sign contracts on their behalf.)**

- **I have enclosed CVs for key project personnel, a cover letter, letters of support, a budget, Safeguarding and associated policies and project workplan.**
- **Our last two sets of signed audited/independently verified accounts and annual report (covering three years), or other evidence of financial capacity as set out in the Financial Guidance, are also enclosed.**

Checked

**Name** Andre Meyer

---

**Position in the organisation** Interim Chief Operating Officer

---

**Signature (please upload e-signature)**  [AM](#)  
 30/10/2023  
 15:35:02  
 png 1.86 KB

---

**Date** 30 October 2023

---

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

---

<input type="checkbox"/> <a href="#">RUSI 2022 Signed Accounts F-compressed</a>	<input type="checkbox"/> <a href="#">RUSI 2021 F-compressed</a>
<input type="checkbox"/> 30/10/2023	<input type="checkbox"/> 30/10/2023
<input type="checkbox"/> 16:34:33	<input type="checkbox"/> 16:33:32
<input type="checkbox"/> pdf 2.07 MB	<input type="checkbox"/> pdf 1.89 MB

---

[RUSI 2020 Final F](#)  
 30/10/2023  
 16:27:19  
 pdf 1.44 MB

---

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

---

<input type="checkbox"/> <a href="#">Code of Conduct (1)</a>	<input type="checkbox"/> <a href="#">SEAH Prevention Policy_RUSI(1)</a>
<input type="checkbox"/> 30/10/2023	<input type="checkbox"/> 30/10/2023
<input type="checkbox"/> 15:37:32	<input type="checkbox"/> 15:37:31
<input type="checkbox"/> pdf 378.04 KB	<input type="checkbox"/> pdf 141.7 KB

---

[Whistle Blowing Policy\\_RUSI](#)  
 30/10/2023  
 15:37:31  
 pdf 117.83 KB

---

## **Section 18 - Submission Checklist**

---

### **Checklist for submission**

	<b>Check</b>
<b>I have read the</b> Guidance, including the “IWT Challenge Fund Guidance”, “Monitoring Evaluation and Learning Guidance”, “Standard Indicator Guidance”, “Risk Guidance” and “Financial Guidance”.	Checked
<b>I have read, and can meet, the current</b> Terms and Conditions <b>for this fund.</b>	Checked
<b>I have provided <u>actual start and end dates</u> for the project.</b>	Checked
<b>I have provided my <u>budget based on UK government financial years</u> i.e. 1 April – 31 March and in <b>GBP.</b></b>	Checked
<b>I have checked that our <u>budget is complete</u>, correctly adds up and I have included the correct final total at the start of the application.</b>	Checked
<b>The application been <u>signed by a suitably authorised individual</u> (clear electronic or scanned signatures are acceptable).</b>	Checked
<b>I have attached the below documents to my application:</b>	
<ul style="list-style-type: none"> <li>• a <u>cover letter</u> from the Lead Partner, outlining how any feedback received at Stage 1 has been addressed where relevant, as a single PDF.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• my <u>budget</u> (which meets the requirements above) using the template provided.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• a signed <u>copy of the last 2 annual report and accounts (covering three years)</u> for the Lead Partner, or other evidence of financial capacity as set out in the Financial Guidance, or provided an explanation if not.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• my completed <u>workplan</u> as a PDF using the template provided.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• a copy of the <u>Lead Partner’s Safeguarding Policy, Whistleblowing Policy and Code of Conduct (Question 32).</u></li> </ul>	Checked
<ul style="list-style-type: none"> <li>• <u>1 page CV or job description for all the Project Staff</u> identified at Question 35, including the Project Leader, or provided an explanation of why not, combined into a single PDF.</li> </ul>	Checked
<ul style="list-style-type: none"> <li>• a <u>letter of support</u> from the Lead Partner and partner(s) identified at Question 36, or an explanation of why not, as a single PDF.</li> </ul>	Checked
<b>I have been in contact with the FCDO in the project country(ies) and have included any evidence of this. If not, I have provided an explanation of why not.</b>	Checked
<b>My additional supporting evidence is in line with the requested evidence, amounts to a maximum of 5 sides of A4, and is combined as a single PDF.</b>	Checked
<b>(If copying and pasting into Flexi-Grant) I have checked that all my responses have been successfully copied into the online application form.</b>	Checked
<b>I have checked the IWT Challenge Fund website <b>immediately prior to submission to ensure there are no late updates.</b></b>	Checked
<b>I have read and understood the Privacy Notice on the IWT Challenge Fund website.</b>	Checked

**We would like to keep in touch!**

**Please check this box if you would be happy for the lead applicant (Flexi-Grant Account Holder) and project leader (if different) to be added to our mailing list. Through our mailing list we share updates on upcoming and current application rounds under the IWT Challenge Fund and our sister grant scheme, the Darwin Initiative. We also provide occasional updates on other UK Government activities related to biodiversity conservation and share our quarterly project newsletter. You are free to unsubscribe at any time.**

Checked

### **Data protection and use of personal data**

Information supplied in the application form, including personal data, will be used by Defra as set out in the **Privacy Notice**, available from the [Forms and Guidance Portal](#).

This **Privacy Notice must be provided to all individuals** whose personal data is supplied in the application form. Some information may be used when publicising the IWT Challenges Fund including project details (usually title, lead partner, project leader, location, and total grant value).

Project Title: Strengthening Evidence to Counter Wildlife Laundering in Colombia and Mexico

	Activity	No. of months	Year 1 (24/25)				Year 2 (25/26)			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Output 1</b>	<b>Novel research conducted to produce case studies and situational analyses.</b>	<b>9</b>								
1.1	Conduct literature reviews and review national legislation, wildlife management and financial investigation capacity. Produce database of known wildlife laundering case studies.	3								
1.2	Conduct semi-structured interviews with subject matter experts in Colombia and Mexico, using tailored interview protocol.	3								
1.3	Conduct situational analyses and produce two typologies on movements of illicit finance linked to wildlife laundering in Colombia and Mexico.	3								
<b>Output 2</b>	<b>Findings are tested at virtual validation workshops, with typologies on wildlife laundering and associated illicit finance affecting Colombia and Mexico refined.</b>	<b>2</b>								
2.1	Design and run one virtual workshop per country, designing agenda to allow the testing and refinement of the typologies developed under 1.3.	2								
2.2	Identify, invite and facilitate input at virtual workshops from in-country and international behaviour change experts and practitioners.	2								
2.3	Draft one guidance framework per country to support the response to wildlife laundering, based on the evidence generated.	1								
<b>Output 3</b>	<b>Evidence published as 1 open-access Emerging Insights paper in English and Spanish and 2 shorter form articles, accompanied by an online launch event.</b>	<b>4</b>								
3.1	Draft Emerging Insights paper, engaging with key stakeholders on drafts and incorporating feedback, prior to translation into Spanish.	3								
3.2	Write two shorter form articles and submit for publication in appropriate outlets to raise awareness of strengthened evidence base generated.	3								
3.3	Plan and run launch event to present project findings and facilitate key stakeholder discussions around scalability.	1								

Project Title: Strengthening Evidence to Counter Wildlife Laundering in Colombia and Mexico

	Activity	No. of months	Year 1 (24/25)				Year 2 (25/26)			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Output 4</b>	<b>The enhanced evidence base is disseminated, and programming explored at workshops, with capacity built among participating organisations to use the evidence in programming.</b>	<b>6</b>								
4.1	Publish and promote dedicated webpage, promote Emerging insights paper via a tailored dissemination strategy in English and Spanish.	6								
4.2	Conceptualise workshops, inviting participation by relevant organisations working on IWT with the goal of building their capacity to use the evidence in relevant programming.	4								
4.3	Run workshops, building the capacity of participating organisations, while developing plans and proposals for funding of follow on law enforcement capacity building.	1								