



Submit by Monday 2 December 2013

**DARWIN INITIATIVE APPLICATION FOR GRANT FOR ROUND 20: STAGE 2**

Please read the Guidance Notes before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required.

Information to be extracted to the database is highlighted blue.

**ELIGIBILITY****1. Name and address of organisation** (NB: Notification of results will be by email to the Project Leader)

<b>Name of organisation:</b> International Criminal Police Organization (ICPO-INTERPOL), Environmental Security Sub-Directorate	<b>Address:</b>
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**2. Stage 1 reference and Project title**

<b>(max 10 words)</b> 2510: Project Waylay
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**3. Project dates, and budget summary**

<b>Start date:</b> 1 April 2014		<b>End date:</b> 31 July 2016		<b>Duration:</b> 28 months
<b>Darwin request</b>	<b>2014/15</b> £55,250	<b>2015/16</b> £90,250	<b>2016/17</b> £44,500	<b>Total</b> £190,000
<b>Proposed (confirmed and unconfirmed) matched funding as percentage of total Project cost:</b> £ [ ] or [ ] of the total project cost of [ ]				
<b>Are you applying for DFID or Defra funding?</b> (Note you cannot apply for both)		<b>DFID No</b>	<b>Defra Yes</b>	

**4. Define the outcome of the project. This should be a repetition of Question 25, Outcome Statement.**

Wildlife law enforcement has greater capacity for tracking large, illegal consignments of elephant ivory and rhinoceros horn. Countries include tracking methods in national plans of action and investigate identified targets.
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**5. Country(ies)**

Which eligible host country(ies) will your project be working in. You may copy and paste this table if you need to provide details of more than four countries.

<b>Country 1:</b> Uganda	<b>Country 2:</b> Kenya
<b>Country 3:</b> South Africa	

**6. Biodiversity Conventions**

Which of the three conventions supported by the Darwin Initiative will your project be supporting? Note: projects supporting more than one convention will not achieve a higher scoring

Convention On Biological Diversity (CBD)	No
Convention on Migratory Species (CMS)	No
Convention on International Trade in Endangered Species (CITES)	Yes

### 6b. Biodiversity Conventions

Please detail how your project will contribute to the objectives of the convention(s) your project is targeting. You may wish to refer to Articles or Programmes of Work here.

Note: No additional significance will be ascribed for projects that report contributions to more than one convention

(Max 200 words)

By strengthening law enforcement capacity, this project will support CITES member States in implementing the African Elephant Action Plan (Objective 1, Strategies 1.1 – 1.4, Activities 1.1.3., 1.1.4. and 1.4.1.), Decision 16.78, and recent amendments to Resolution Conf. 10.10.

In 2010, the 37 African Elephant Range States, all of which are party to CITES and INTERPOL, developed the [African Elephant Action Plan](#) to identify the activities “most urgently required by range States to protect and conserve elephants across Africa”. Objective 1, to “Reduce Illegal Killing of Elephants and Illegal Trade in Elephant Products”, is accorded top priority.

Another strong basis for this project is CITES [Decision 16.78](#) which directs the CITES Secretariat to:

*c) convene a workshop for Parties on the use of controlled deliveries, in collaboration with ICCWC partner organizations, with the aim of expanding this application of this investigation technique, particularly in Africa and Asia;*

By bringing range States together in a training, meetings and over teleconference calls, the project will assist them in coordinating their efforts “through dialogue, exchange of information and best practices, joint conservation activities and multilateral enforcement operations in cooperation with relevant law enforcement organizations and networks”, in line with [amendments to Resolution Conf. 10.10](#).

**Is any liaison proposed with the CBD/CITES/CMS focal point in the host country?**

Yes      if yes, please give details:

Contact has been established with the CITES management authorities in China (National Inter-agency CITES Enforcement Coordination Group), Kenya (Kenya Wildlife Service) and Uganda (Uganda Wildlife Authority). Contact will be made with all relevant national CITES management authorities either directly or through the CITES Secretariat.



7. Principals in project. Please identify and provide a one page CV for each of these named individuals. You may copy and paste this table if you need to provide details of more personnel or more than one project partner.

Details	Project Leader	Project Partner 1	Project Partner 2
Surname	ANDREOU	WANG	CLARK
Forename (s)	Andreas	Caizhu	William
Post held	Criminal Intelligence Officer, INTERPOL	Criminal Intelligence Officer and Project Leader of INTERPOL's Project Wisdom	Criminal Intelligence Officer, INTERPOL
Institution (if different to above)		Ministry of Public Security of China (seconded for a limited term to INTERPOL)	
Department	Environmental Security Sub-Directorate	Environmental Security Sub-Directorate	Environmental Security Sub-Directorate
Telephone			
Email			

8. Has your organisation been awarded a Darwin Initiative award before (for the purposes of this question, being a partner does not count)? If so, please provide details of the most recent awards (up to 6 examples).

Reference No	Project Leader	Title
N/A	N/A	N/A

9a. If you answered 'NO' to Question 8 please complete Question 9a, b and c.

If you answered 'YES', please go to Question 10 (and delete the boxes for Q9a, 9b and 9c)

What year was your organisation established/ incorporated/ registered?	1923 (with the creation of the Environmental Crime Programme in 2009 and the Environmental Security Sub-Directorate in 2013)
What is the legal status of your organisation?	Intergovernmental organization with 190 member countries (recognized as such in 1971 by the United Nations)
Type of organisation (e.g. University, NGO, private sector, Government Department etc)	Intergovernmental organization
Have you unsuccessfully applied to the Darwin Initiative before? If yes please provide the application reference number(s)	Yes: Application Ref No 2171 - Project ECIRT
How is your organisation currently funded?	Statutory contributions from member countries (75% of operating income in 2012); income received on externally funded projects or from private foundations and/or commercial enterprises, with similar objectives or interests to INTERPOL (21% of gross income in 2012); and financial income and reimbursements (4% of gross income in 2012). However, the

	Environmental Security Sub-Directorate itself is almost exclusively externally funded from grants by government agencies, charitable foundations and international organizations.
Have you provided the requested audited/independently examined accounts?	Yes, and they are also available at: <a href="http://www.interpol.int/About-INTERPOL/Structure-and-governance/Finances">http://www.interpol.int/About-INTERPOL/Structure-and-governance/Finances</a>

**9b. DO NOT COMPLETE IF YOU ANSWERED 'YES' TO QUESTION 8.**

**Provide detail of 3 contracts previously held by your institution that demonstrate your credibility as a research organisation and provide track record relevant to the project proposed. These contracts should have been held in the last 5 years and be of a similar size to the grant requested in your Darwin application.**

Contract 1 Title	United States Agency for International Development – Project Predator
Contract Value	USD
Contract Duration	September 2011 to September 2014
Role of institution in project	Provide trainings for law enforcement officers and other capacity building initiatives under the auspices of INTERPOL's Project Predator, for the conservation of Asian Big Cats.
Brief summary of the aims, objectives and outcomes of the contract.	The objectives of this contract are to support and enhance the governance and law enforcement capacity for the conservation Asian big cats in 20 range-countries; to develop a database of DNA/genome on wildlife to enable law enforcement agencies in investigative operations; to develop investigative and operational planning manuals; to conduct an international operation focused on investigation of persons wanted for environmental crimes; and to host three trainings and strategic meetings for over 60 law enforcement officers from 15 countries.
Client reference contact details (Name, e-mail, address, phone number).	Dr. Mary Melnyk, U.S. Agency for International Development (USAID),

Contract 2 Title	The Norwegian Agency for Development Cooperation (Norad) – Project Leaf
Contract Value	EUR
Contract Duration	1 November 2011 to 30 June 2013
Role of institution in project	Coordinate INTERPOL's Project Leaf which addresses illegal logging and deforestation
Brief summary of the aims, objectives and outcomes of the contract.	The specific objectives of the contract were to provide a UNEP Rapid Response Assessment overview in regards to illegal logging and the laundering and smuggling of wood products; to support countries in improving enforcement and combating illegal logging and deforestation; provide training and operational support; develop, plan and conduct targeted regional operations against organized criminals engaged in illegal logging; and provide information and support on how organized criminals launder, bribe and trade illegally logged forest products.
Client reference contact details	Ms. Cindy Robles,

## IWT05

Contract 3 Title	The Pew Charitable Trusts – Project Scale
Contract Value	EUR
Contract Duration	August 2012 to August 2013
Role of institution in project	Coordinate the activities of Project Scale, designed to detect and combat fisheries crime
Brief summary of the aims, objectives and outcomes of the contract.	The objectives of the contract were as follows: the publication of the first INTERPOL Intelligence Report on illegal fishing and related crime, a significant increase in the exchange of intelligence information, and an eventual increase in investigations and effective prosecutions.
Client reference contact details (Name, e-mail, address, phone number).	Mr. Joseph Zelasney, Senior Associate, Global Campaign to End Illegal Fishing, Pew Environment Group

**9c. DO NOT COMPLETE IF YOU ANSWERED 'YES' TO QUESTION 8.**

**Describe briefly the aims, activities and achievements of your organisation. (Large institutions please note that this should describe your unit or department)**

**Aims (50 words)**

To assist member countries in the effective enforcement of national and international environmental laws and treaties, and thus contribute to the ongoing conservation of the world's environment, biodiversity and natural resources.

**Activities (50 words)**

The Environmental Security Sub-Directorate facilitates global and regional operations using intelligence-driven policing; coordinates and develops international law enforcement best practice manuals, guides and reports; provides environmental law enforcement agencies with access to INTERPOL's tools and services by enhancing their links with INTERPOL National Central Bureaus.

**Achievements (50 words)**

In 2010, INTERPOL's General Assembly ratified Resolution AG-2010-RES-03 formally recognizing the "global response" to environmental crime. INTERPOL's four international operations targeting the poaching of elephants and rhinoceroses resulted in 966 arrests and seizures of three tons of ivory products, 40 kg of rhino horns, 755 firearms and 222 live animals.

**10. Please list all the partners involved (including the Lead Institution) and explain their roles and responsibilities in the project. Describe the extent of their involvement at all stages, including project development. This section should illustrate the capacity of partners to be involved in the project. Please provide written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships.**



<p><b>Lead institution and website:</b> ICPO-INTERPOL</p> <p><a href="http://www.interpol.int/Crime-areas/Environmental-crime/Environmental-crime">http://www.interpol.int/Crime-areas/Environmental-crime/Environmental-crime</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>The INTERPOL General Secretariat will act as the lead institution on the project, until a participating country is in a position to take the lead on the operation. INTERPOL will facilitate communications among countries and partner organizations, and organize the training, meetings and teleconference calls. During Year 1, INTERPOL will consult with all relevant CITES, wildlife, customs, police and prosecutor's agencies through its National Central Bureaus in each country. Based on experiences of member countries and estimates from manufacturers, the INTERPOL General Secretariat will conduct an analysis of the available tracking methods. INTERPOL will be responsible for compiling the reports outlined in the timeframe and ensuring that host countries are on track with the proposed timeline.</p>
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<p><b>Partner Name and website where available:</b></p> <p>Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) Secretariat</p> <p><a href="http://www.cites.org">www.cites.org</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>The CITES Secretariat is a longstanding partner of INTERPOL with a strong interest in this project. The primary role of the Secretariat will be to assist police and customs authorities connect with CITES management authorities in host countries. Experts from the Secretariat and relevant national CITES bureaus will be invited to participate in trainings and meetings and support member countries during these events. During Year 2 activities, the CITES Secretariat will act as an advisor to the INTERPOL General Secretariat and participating countries.</p>
<p><b>Have you included a Letter of Support from this institution?</b></p>	<p><b>Yes</b></p>

<p><b>Partner Name and website where available:</b></p> <p>Uganda Revenue Authority</p> <p><a href="http://www.ura.go.ug">www.ura.go.ug</a></p>	<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p> <p>As a transit point for elephant ivory and rhinoceros horns, Uganda will be a key country in this project. As mentioned in their letter of support, the Uganda Revenue Authority has a history of positive cooperation with other units within INTERPOL and with INTERPOL's ICCWC partner, the World Customs Organization (WCO). Uganda has shown strong support for this project and a readiness to engage with other authorities in the country and the region. Uganda is a processing point for illegal ivory shipments, where tusks are known to be cut and repackaged for export. As such, the Uganda Revenue Authority will prove pivotal in identifying shipments to track and as a transit point for tracked consignments. The Uganda Revenue Authority will act as an advisor during Year 1 of the project, and help guide the activities of Year 2.</p>
<p><b>Have you included a Letter of Support from this institution?</b></p>	<p><b>Yes</b></p>

<p><b>11. Have you provided CVs for the senior team including the Project Leader</b></p>	<p><b>Yes</b></p>
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**12. Problem the project is trying to address**

Please describe the problem your project is trying to address. For example, what biodiversity and challenges will the project address? Why are they relevant, for whom? How did you identify these problems?

**(Max 200 words)**

The trafficking of elephant ivory and rhinoceros horn has intensified dramatically over recent years, causing substantial negative impact on wild populations of these CITES Appendix-I species, and a broader negative impact upon the ecosystems within which these animals live. Intensified poaching has also resulted in insecurity in African national parks, greater inclination toward violence by poaching gangs (and seriously increased fatalities among wildlife rangers), and many violations of the laws of civil societies in both African habitat countries and Asian consumer countries. These violations of law include poaching, illegal possession and use of firearms, smuggling, fraud, conspiracy, corruption of officials, unreported income, falsified business records, tax evasion, money laundering, and violent crimes, including homicide.

According to DNA analyses of several recent multi-ton seizures, performed by the University of Washington in the United States of America, the ivory in large seizures comes from closely related elephants. The people who assemble major consignments do not purchase opportunistically poached ivory. Rather, it appears that poaching gangs are organized and deployed to shoot pre-identified and targeted populations. In addition, the ivory is rarely exported from the country where the elephants are poached. The ivory is moved across borders in Africa before export.

**13. Methodology**

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on how you will undertake the work (materials and methods) and how you will manage the work (roles and responsibilities, project management tools etc.).

**(Max 500 words – repeat from Stage 1 with changes highlighted)**

Location transmitters, of the types successfully used in the tracking of other contraband such as drugs and firearms, will be concealed in elephant tusks and rhinoceros horns. Technical experts from INTERPOL and the manufacturer will teach carefully selected and vetted African law enforcement officers how to track the location transmitters. Prior to deployment, the African teams must be able to demonstrate competence in tracking the concealed location transmitters within a series of practical application scenarios.

Once verified as competent, the officers will release multiple items of contraband tusks and horn into the illegal market place via undercover officers. The items will then be tracked and a means of determining persons and businesses involved in the domestic illegal trade, stockpile locations, trafficking routes and vehicles used, and various other matters that define the size, structure and dynamics of domestic illegal trade in these commodities. No contraband will be permitted to leave the host country during this stage.

Once the African officers have demonstrated good competence at tracking, the INTERPOL General Secretariat will notify affiliate INTERPOL National Central Bureaus (NCBs) in all countries known to be either transit countries or consumer countries for the subject contraband. The notification will request their cooperation in conducting controlled deliveries to the importers in their countries. A controlled delivery is the intentional delivery of a consignment known to carry contraband to the final consignee, with the intent of identifying the actual consignee and imposing the appropriate mechanisms of law enforcement that will result in arrest and prosecution.

With transit and consumer country NCBs alerted, tusks and horns with concealed location transmitters will again be released into the illegal market place in the host country, monitored as they move from hand to hand within the country, and then allowed to be exported. Immediately upon export, INTERPOL will alert the NCB in the destination country via its I-24/7 secure communications system. INTERPOL will then work with law enforcement authorities in the importing country to assure proper location monitoring and to provide any additional assistance that may be required.

Efforts will be made to conduct a law enforcement operation recovering the tusks and horns prior to the consignee realizing that concealed location transmitters had been instrumental in the operation. Thus, the transmitters can be used again in an effort to identify other importers of this contraband.

#### 14. Change Expected

Detail what the expected changes this work will deliver. You should identify what will change and who will benefit.

- If you are applying for Defra funding this should specifically focus on the changes expected for biodiversity conservation and its sustainable use.
- If you are applying for DFID funding you should in addition refer to how the project will contribute to reducing poverty. Q19 provides more space for elaboration on this.

(Max 250 words)

A controlled deliveries operation will allow the identification of trafficking routes, modi operandi, individuals and networks involved in the illegal trade of elephant ivory and rhinoceros horns. It will also allow for the development of close cooperation between national and international authorities. This collaboration will benefit all environmental law enforcement in the region and create a more coordinated response to poaching in other threatened species such as great apes. The seizures and prosecutions that result from identification of those involved in the trade will contribute to the general suppression of the illegal trade of elephant ivory and rhinoceros horn.

#### 15a. Is this a new initiative or a development of existing work (funded through any source)? Please give details (Max 200 words):

This initiative is an operationalization of the “Controlled Deliveries – A Technique for Investigating Wildlife Crime” handbook, developed jointly in 2010 by CITES, WCO and INTERPOL for use by law enforcement officials. This handbook was developed alongside a handbook on techniques for questioning wildlife smugglers and a case study handbook on identifying wildlife smuggling and concealment.

This initiative also builds on the first international [workshop](#) on *Establishing a Network of Controlled Delivery Units for Forest and Wildlife Law Enforcement* held under the auspices of the International Consortium on Combating Wildlife Crime (ICCWC) in December 2011. The five institutional partners of ICCWC are the CITES Secretariat, INTERPOL, the United Nations Office on Drugs and Crime (UNODC), the World Bank and WCO.

Approximately fifty representatives of national customs, police, specialized wildlife and forest law enforcement agencies and public prosecutor offices from 18 countries in Africa and Asia discussed the use of controlled deliveries to investigate and prosecute wildlife and forest crimes.

Controlled deliveries have been used successfully in wildlife crime investigations by authorities in INTERPOL member countries, notably South Africa and the Netherlands.

#### 15b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work? X Yes

If yes, please give details explaining similarities and differences, and explaining how your work will be additional to this work and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits:

The INTERPOL General Secretariat is aware of controlled deliveries operations being carried out in member countries for environmental crimes. However, few operations have been carried out with the use of tracking technologies concealed within wildlife products (such as elephant tusks) and on an international scale. Prior to the Darwin Initiative application, the INTERPOL Environmental Security Sub-Directorate had been in discussions with the participants of the aforementioned 2011 workshop and the Directorate for Priority Crime Investigation in South Africa which has experience using tracking devices concealed within ivory.



**15c. Are you applying for funding relating to the proposed project from other sources?****X Yes**

If yes, please give brief details including when you expect to hear the result. Please ensure you include the figures requested in the spreadsheet as Unconfirmed funding.

On 26 November 2013, the Environmental Security Sub-Directorate submitted an application for funding to the ICCWC Senior Expert Group (SEG), which would allow £ of the [funds](#) granted in December 2012 by the European Commission to INTERPOL's Project Combat Wildlife Crime to be used as matched funding towards this project. The application will be discussed at the next meeting of the ICCWC SEG on 2 December 2013.

**16. Value for money**

Please describe why you consider your application to be good value for money including justification of why the measures you will adopt will secure value for money?

(Max 250 words)

INTERPOL is best placed to facilitate this type of project as it has the infrastructure in place to accommodate information gathering and exchange and to facilitate secure communication between parties, through the INTERPOL National Central Bureau in each country. INTERPOL's command and coordination centre is ready to assist member countries 24-hours, 7-days-a-week and can deploy an Incident Response Team within hours to assist national authorities. It is ready to support member countries with all urgent matters that may arise over the course of the project.

INTERPOL also has in place services to facilitate telecommunications with all parties, and encourages regular teleconference calls whenever possible. Furthermore, INTERPOL's network of contacts and seven regional bureaus allows INTERPOL staff and the most competent trainers to be deployed from the shortest distance of travel. The Environmental Security Sub-Directorate is regularly represented at events by delegates from the Regional Bureaus or the National Central Bureaus.

Moreover, the training curriculum implemented by the Environmental Security Sub-Directorate is designed in the train-the-trainer method, effectively preparing participants to provide other agencies in their country with the skills acquired during the training session.

Finally, with the close cooperation of customs and CITES authorities, we are confident that this project can secure a large proportion of matched funding, as demonstrated in the change in proposed matched funding from Stage 1.

**17. Ethics**

Outline your approach to meeting the Darwin Initiative's key principles for research ethics as outlined in the guidance notes.

(Max 300 words)

As controlled deliveries require the release of seized illegal goods, the national prosecutor's office and legislation of each participating country will be thoroughly consulted prior to engagement. Furthermore, the lead in controlled deliveries operations is generally the country with the most involvement in the operation and the greatest capacity for leadership. The NCBs (often housed within the headquarters of the National Police) will take active leadership roles and coordinate communications among national agencies and the INTERPOL General Secretariat.

The NCB in [each country](#) is in the best position to understand national and regional dynamics and take any measures necessary to ensure the security of its officers. Knowledge and experience is unique to location and field, and thus, by adopting a multi-agency approach combined with the global perspective facilitated by CITES, INTERPOL and their ICCWC partners, we can ensure the most comprehensive view of the issues at hand.

In accordance with Strategy 1.1 of the [African Elephant Action Plan](#) which calls for equipping “wildlife authority staff on the frontline of enforcement with appropriate tools to carry out their mission as safely and effectively as possible”, operations will be carried out by professional law enforcement officers, under the guidance of technical experts, with all legal provisions in place to ensure their utmost safety. This includes protection from exposure to potential biohazard threats from the handling of wildlife products.

Moreover, all confidential information will be handled according to national and international standards, in line with [INTERPOL’s Rules on the Processing of Data](#). In accordance with INTERPOL’s guiding principle of neutrality, all action coordinated by INTERPOL will be taken “within the limits of existing laws [...] and in the spirit of the Universal Declaration of Human Rights”. INTERPOL’s Constitution prohibits “any intervention or activities of a political, military, religious or racial character”.

## 18. Legacy

Please describe what you expect will change as a result of this project with regards to biodiversity conservation/sustainable use and poverty alleviation (for DFID funded projects). For example, what will be the long term benefits (particularly for biodiversity and poor people) of the project in the host country or region and have you identified any potential problems to achieving these benefits?

(Max 300 words)

Controlled deliveries as a means of identifying those involved throughout the chain of supply and demand is used extensively in other crime areas. While many countries routinely carry out controlled deliveries operations for environmental crimes, by applying this method to a larger scale and providing in depth training to the countries most affected by the illegal trade, we can institutionalize a strong and coordinated international response.

In addition, by applying a method of law enforcement routinely used for crimes considered of higher profile, the initiative will strengthen the international community’s regard for wildlife crime as a true form of organized crime. Indeed, the same methods used to conceal elephant ivory are used to illegally traffic drugs, counterfeit goods, weapons, etc.

The training provided will have a long-term impact as INTERPOL structures its trainings around the “train-the-trainer” method which includes steps for implementing the curriculum within national agencies. This allows each training to have a much wider impact.

Furthermore, this project will allow increased communication among source, transit and destination countries, as close cooperation and rapid communication are essential to the success of controlled deliveries operations. The establishment of a network of experts trained and experienced in international operations will allow this curriculum to be replicated.

Furthermore, the data and information gathered over the course of this project can be used not only in follow-up investigations, but also to gather an overall perspective of the crime type. This information will allow countries to better tailor and coordinate their enforcement responses. It can rapidly be shared with all 190 INTERPOL member countries through the publication of notices, such as Purple Notices to warn of a newly identified modus operandi, Blue Notices to request information on an ongoing investigation, and Red Notices to seek the arrest of a fugitive.

## 19. Pathway to poverty alleviation

Please describe how your project will benefit poor people living in low-income countries. All projects funded through DFID in Round 20 must be compliant with the OECD Overseas Development Assistance criteria. Projects are therefore required to indicate how they will have a positive impact on poverty alleviation in low-income countries.

(Max 300 words)

By strengthening the national and international law enforcement response, we are confident that countries will have the information and data they require to more effectively secure their national parks and protect their wild elephant populations.

Security of the national parks of Range countries as a whole (recognizing that wildlife crime is closely linked with other forms of serious crime), allows foreign tourism to continue as one of the largest sources of foreign revenue for many of these countries. In many national parks and game reserves, the wages of wardens are largely funded by entrance fees charged for tours and safaris.

## 20. Exit strategy

State whether or not the project will reach a stable and sustainable end. If the project is not discrete, but is part of a progressive approach, give details of the exit strategy and show how relevant activities will be continued to secure the benefits from the project. Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

The project reaches a sustainable end following the conclusion of operational activities and the completion of the operational report. Best practices and a network of well-trained and experienced contacts in relevant countries will be established. Countries will be able to include these activities under their National Ivory Action Plans and present their findings before the 65<sup>th</sup> and 66<sup>th</sup> meetings of the CITES Steering Committee in July 2014 and August – September 2015 respectively.

INTERPOL will continue to be involved in the region as it has in the past, but by building sustainable capacity through trainings, we are confident that countries will have the technical knowledge required to initiate controlled deliveries.

## 21. Raising awareness of the potential worth of biodiversity

If your project contains an element of communications, knowledge sharing and/or dissemination please provide a description of your intended audience, how you intend to engage them, what the expected products/materials there will be and what you expect to achieve as a result. For example, are you expecting to directly influence policy in your host country or is your project a community advocacy project to support better management of biodiversity?

(Max 300 words)

At the conclusion of all operational activities and investigations, the INTERPOL General Secretariat will gather products with the intention of publishing a report for use by law enforcement only. All non-sensitive information about the project will be announced in a public media release, in coordination with the project's partners. Participating countries will also be invited and encouraged to issue their own media releases. Once published, the media release will be announced on INTERPOL's Twitter feed and sent to the INTERPOL Environmental Security Sub-Directorate's network of governmental, intergovernmental and nongovernmental contacts.

The information gathered on persons involved in the illegal trade and modus operandi may be shared with authorities in all 190 member countries by means of INTERPOL notices.

It is hoped that the results of the operation may encourage countries to adopt or develop their legal mandate to be able to incorporate controlled deliveries into their legislation.

## 22. Access to project information

Please describe the project's open access plan and detail any specific costs you are seeking from Darwin to fund this. (See Section 9 of the Guidance Notes for further information)

(Max 250 words)



Due to the operational nature of the information contained in this project plan, there will be limited open access to the project information. An analyst at the INTERPOL General Secretariat will receive all operational information where it will be stored in accordance with INTERPOL's Rules on the Processing of Data. Prior to engagement, countries wishing to participate will demonstrate that they have the appropriate secure framework in place for data collection. They will also need to demonstrate positive communication with the INTERPOL National Central Bureau in their country, or a willingness to develop positive cooperation.

All results of the project will be compiled into a final report, which may be translated into French, Spanish, and Arabic. This report may serve as a handbook for countries wishing to conduct international environmental controlled deliveries operations. Funding has been allocated in the budget for translation of this document into the four official languages of INTERPOL. The report would be made available to law enforcement only on the INTERPOL restricted website.

We kindly ask that the term "controlled deliveries" not be published until completion of the project.

### 23. Importance of subject focus for this project

If your project is working on an area of biodiversity or biodiversity-development linkages that has had limited attention (both in the Darwin Initiative portfolio and in conservation in general) please give details.

(Max 250 words)

While the conservation of African elephants and rhinoceroses is a topic that has been given much attention over the past years, the threat remains. Furthermore, the use of controlled deliveries in conservation efforts has had limited attention. National and international experts on the application of this technique to environmental crime and other crime types (such as drug trafficking), experts on the technologies used and experts from ICCWC partners will be supported to provide training and guidance to national authorities.

### 24. Leverage

#### a) Secured

Provide details of all funding successfully levered (and identified in the Budget) towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity.

#### Confirmed:

The salaries of the three aforementioned officers on Project Waylay are already funded by ICCWC.

#### b) Unsecured

Provide details of any matched funding where an application has been submitted, or that you intend applying for during the course of the project. This could include matched funding from the private sector, charitable organisations or other public sector schemes.

Date applied for	Donor organisation	Amount	Comments
26 November 2013	European Commission, administered by ICCWC	£	Application to be discussed at the next meeting of the ICCWC Senior Expert Group on 2 December 2013

## PROJECT MONITORING AND EVALUATION

### MEASURING IMPACT

#### 25. LOGICAL FRAMEWORK

Darwin projects will be required to report against their progress towards their expected outputs and outcomes if funded. This section sets out the expected outputs and outcomes of your project, how you expect to measure progress against these and how we can verify this. Further detail is provided in Annex C of the guidance notes which you are encouraged to refer to. The information provided here will be transposed into a logframe should your project be successful in gaining funding from the Darwin Initiative. The use of the logframe is sometimes described in terms of the Logical Framework Approach, which is about applying clear, logical thought when seeking to tackle the complex and ever-changing challenges of poverty and need. In other words, it is about sensible planning.

#### Impact

The Impact is not intended to be achieved solely by the project. This is a higher-level situation that the project will contribute towards achieving. All Darwin projects are expected to contribute to poverty alleviation and sustainable use of biodiversity and its products.

Major trafficking routes and criminal organizations are identified, targeted, disrupted, deterred and dismantled, in line with CITES Decision 16.78 on the monitoring of illegal trade in ivory.

#### Outcome

There can only be one Outcome for the project. The Outcome should identify what will change, and who will benefit. The Outcome should refer to how the project will contribute to reducing poverty and contribute to the sustainable use/conservation of biodiversity and its products. This should be a summary statement derived from the answer given to question 14.

Wildlife law enforcement has greater capacity for tracking large, illegal consignments of elephant ivory and rhinoceros horn. Countries include “controlled deliveries” in national plans of action and investigate identified targets.

#### Measuring outcomes - indicators

Provide detail of what you will measure to assess your progress towards achieving this outcome. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure the outcome – if you have more than 3 indicators please just insert a row(s).

Indicator 1	Results of scenarios by end of Year 2 Q2 reflect the competence of newly-trained operational-level officers in applying controlled deliveries to wildlife products
Indicator 2	Increased investigations and arrests correlate to the implementation of the method by end of Year 3
Indicator 3	Number of national agencies and/or Range countries applying controlled deliveries to investigations of illegal shipments of elephant ivory and rhinoceros horn increases between Year 1 and Year 3

#### Verifying outcomes

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	Success rate of practice scenarios and domestic operations
Indicator 2	Arrest records
Indicator 3	Proposals on establishing legal framework and task forces dedicated to controlled deliveries within national wildlife enforcement agencies

### Outcome risks and important assumptions

You will need to define the important assumptions, which are critical to the realisation of the *outcome and impact* of the project. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	Countries have the infrastructure to identify large illegal consignments of ivory, and effectively monitor them from the time of arrival to the time of departure.
Assumption 2	The possible presence of corruption within participating agencies does not preclude positive operational outcomes.
Assumption 3	Information on illegal shipments can be communicated among authorities in a timely and secure manner.

### Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the Outcome. The logic of the chain from Output to Outcome therefore needs to be clear. If you have more than 3 outputs insert a row(s). It is advised to have less than 6 outputs since this level of detail can be provided at the activity level.

<b>Output 1</b>	Increased understanding of the current global application of controlled deliveries to wildlife law enforcement
<b>Output 2</b>	Development of a multi-agency network of officers trained in the tracking of illegal consignments of wildlife products, including the application of controlled deliveries
<b>Output 3</b>	Improved understanding of the criminality and enforcement gaps related to the large-scale illegal harvest and international trade in elephant ivory and rhinoceros horns

### Measuring outputs

Provide detail of what you will measure to assess your progress towards achieving these outputs. You should also be able to state what the change you expect to achieve as a result of this project i.e. the difference between the existing state and the expected end state. You may require multiple indicators to measure each output – if you have more than 3 indicators please just insert a row(s).

Output 1	
Indicator 1	Identification of relevant existing legal framework and policies by Year 1 Q2
Indicator 2	Clear understanding of past limitations and successes in wildlife controlled deliveries operations by end of Year 1 Q2



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<b>Output 2</b>	
Indicator 1	Draft report on cost-benefit analysis of tracking methods submitted to experts and trainers for evaluation by Year 1 Q3
Indicator 2	Focal points within each relevant national agency identified by beginning of Year 2
Indicator 3	Capacity needs assessment survey by Year 2

<b>Output 3</b>	
Indicator 1	Regional task force composed of at least three CITES priority countries established by Year 2 Q4
Indicator 2	Agencies reporting concrete results to INTERPOL by end of Year 3

**Verifying outputs**

Identify the source material the Darwin Initiative (and you) can use to verify the indicators provided. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc.

Indicator 1	Analysis file of information gathered during the operation between Year 2 Q3 and Q4
Indicator 2	Paper comparing the various controlled deliveries options and lessons learned by Year 3 Q1
Indicator 3	Final report on the risks, costs, benefits and long-term feasibility of the tracking method chosen by Year 3 Q2

**Output risks and important assumptions**

You will need to define the important assumptions, which are critical to the realisation of the achievement of your outputs. It is important at this stage to ensure that these assumptions can be monitored since if these assumptions change, it may prevent you from achieving your expected outcome. If there are more than 3 assumptions please insert a row(s).

Assumption 1	Countries are legally able and willing to share information on past controlled deliveries operations.
Assumption 2	All countries agree on the aim of the operation and allow the illegal shipments to leave or transit through their country.
Assumption 3	Tracking technologies can be concealed within large ivory consignments, and the signals can be maintained.

**Activities**

Define the tasks to be undertaken by the research team to produce the outputs. Activities should be designed in a way that their completion should be sufficient and indicators should not be necessary. Risks and assumptions should also be taken into account during project design.

<b>Output 1</b>	
Activity 1.1	Evaluation and case study report of controlled deliveries operations carried out in the past and present by member countries and organizations, both domestically and internationally

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Activity 1.2	Assessment of national legal requirements for controlled deliveries operations in each relevant country (source, transit and destination territories for elephant ivory and rhinoceros horns)
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<b>Output 2</b>	
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Activity 2.1	Analysis of controlled deliveries methods and cost-benefit study of tracking devices on the market
Activity 2.2	Development of a training curriculum for officers on the application of controlled deliveries both domestically and internationally
Activity 2.3	Training and assessment scenarios to confirm capacity and readiness of officers
Activity 2.4	Development of a domestic operational plan and execution
Activity 2.5	Evaluation of domestic operations and report on best practices and lessons learned

<b>Output 3</b>	
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Activity 3.1	Designation and meeting of the national operational coordinators and all relevant agencies
Activity 3.2	Development of an international operational plan and execution
Activity 3.3	Information sharing, analysis and follow-up investigations based on information gathered during the operation
Activity 3.4	Meeting of operational coordinators and assessment of chosen tracking method

26. Provide a project implementation timetable that shows the key milestones in project activities. Complete the following table as appropriate to describe the intended workplan for your project.

Activity	No of Months	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Output 1</b> Increased understanding of the current global application of controlled deliveries to wildlife law enforcement	4	X	X										
1.1 Evaluation and case study report of controlled deliveries operations carried out in the past and present by member countries and organizations, both domestically and internationally	2	X											
1.2 Assessment of national legal requirements for controlled deliveries operations in each relevant country (source, transit and destination territories for elephant ivory and rhinoceros horns)	2	X	X										
<b>Output 2</b> Development of a multi-agency network of officers trained in the tracking of illegal consignments of wildlife products, including the application of controlled deliveries	12		X	X	X	X	X						
2.1 Analysis of controlled deliveries methods and cost-benefit study of tracking devices on the market	4		X	X									
2.2 Development of a training curriculum for officers on the application of controlled deliveries both domestically and internationally	1			X									
2.3 Training and assessment scenarios to confirm capacity and readiness of officers	3				X								
2.4 Development of a domestic operational plan and execution	2					X							
2.5 Evaluation of domestic operations and report on best practices and lessons learned	2					X	X						
<b>Output 3</b> Improved understanding of the criminality and enforcement gaps related to the large-scale illegal harvest and international trade in elephant ivory and rhinoceros horns	12						X	X	X	X	X		
3.1 Designation and meeting of the national operational coordinators and all relevant agencies	2						X						
3.2 Development of an international operational plan and execution	2							X					
3.3 Intelligence sharing, analysis and follow-up investigations based on information gathered during the operation	4							X	X				
3.4 Meeting of operational coordinators and assessment of chosen tracking method	2									X			
3.5 Final report of controlled deliveries operations, both domestic and international, and action plan for the future	2									X	X		



## 27. Project based monitoring and evaluation (M&E)

Describe, referring to the Indicators above, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the projects M&E. Darwin Initiative 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.

(Max 500 words)

Mr Andreas Andreou will be primarily responsible for oversight of the project's monitoring and evaluation, although the focal points in each country are expected to provide regular status updates. Following the training session, monthly teleconference calls will be held with the national focal points, leading up to an in-person meeting to establish the parameters of the operation prior to its commencement.

Emergency protocol will be agreed upon prior to release of the controlled deliveries, ensuring above all the safety of the officers and the security of the consignment. Evaluations and scenarios that follow the training ensure adaptability of the model. Additional precautions can be considered such as replacement of the illegal goods with legal ones of similar weight and appearance.

In preparation for the final report, detailed records of all incidents relating to the performance of the tracking devices will be carefully logged for later consideration. The INTERPOL Environmental Security Sub-Directorate encourages its member countries to include it in all communications related to the subject.

Ultimately, while we see great opportunity in applying this methodology to the illegal ivory and rhinoceros horn trade, we will critically examine the results of this initiative to ensure the most suitable option is promoted in the region.

## FUNDING AND BUDGET

**Please complete the separate Excel spreadsheet which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet.**

**NB:** Please state all costs by financial year (1 April to 31 March) and in GBP. **Budgets submitted in other currencies will not be accepted.** Use current prices – and include anticipated inflation, as appropriate, up to 3% per annum. The Darwin Initiative cannot agree any increase in grants once awarded.

## 28. Value for Money

Please explain how you worked out your budget and how you will provide value for money through managing a cost effective and efficient project. You should also discuss any significant assumptions you have made when working out your budget.

(max 300 words)

Having originally requested Darwin funding for £ , the Environmental Security Sub-Directorate is confident in its ability to raise % matched funding as opposed to the 20% originally planned. Subsequently, INTERPOL is applying for a grant for £ from the Darwin Initiative.

The budget for Project Waylay was calculated based upon the project implementation table. Three officers who will contribute to this project within the INTERPOL General Secretariat are already funded by ICCWC, leaving the only staff to be covered by Darwin funds a full-time Project Assistant and a part-time Assistant Criminal Intelligence Analyst.

In line with the Darwin Initiative's core theme of supporting countries "rich in biodiversity but poor in financial resources", a large portion of Darwin funds will be allocated to the funding of participants to attend the training in Quarter 4 of Year 1.

Conversions from Euros into British Pounds were made using the exchange rate of 1 GBP = 1.20780 EUR. The source of this rate is the following website: <http://www.xe.com/>.

## FCO NOTIFICATIONS

Please check the box if you think that there are sensitivities that the Foreign and Commonwealth Office will need to be aware of should they want to publicise the project's success in the Darwin competition in the host country.

Please indicate whether you have contacted your Foreign Ministry or the local embassy or High Commission (or equivalent) directly to discuss security issues (see Guidance Notes) and attach details of any advice you have received from them.

**Yes (no written advice)**       **Yes, advice attached**       **No**

## CERTIFICATION

On behalf of the trustees of the  
INTERPOL Environmental Security  
Sub-Directorate

I apply for a grant of £190,000 in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

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 enclose CVs for project principals and letters of support.
- Our most recent audited/independently verified accounts and annual report are also enclosed and can be found at <http://www.interpol.int/About-INTERPOL/Structure-and-governance/Finances>.

<b>Name (block capitals)</b>	CORNELIS (CEES) VAN DUIJN
<b>Position in the organisation</b>	Acting Assistant Director, Environmental Security Sub-Directorate

**Signed**

**Date:**

2 December 2013