

Illegal Wildlife Trade



Application form for Illegal Wildlife Trade Challenge Fund 2015

Please read the [guidance notes](https://www.gov.uk/government/collections/illegal-wildlife-trade-iwt-challenge-fund) (available at <https://www.gov.uk/government/collections/illegal-wildlife-trade-iwt-challenge-fund>) before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required.

Office use only Date logged: Logged by: Application ID:145

1. Name and address of lead organisation

(NB: Notification of results will be by email to the Project Leader)

Applicant Organisation Name:	International Union for Conservation of Nature, Eastern and Southern Africa Regional Office
[Redacted]	[Redacted]
[Redacted]	[Redacted]
[Redacted]	[Redacted]
Project Leader name:	Leo Niskanen
[Redacted]	[Redacted]
[Redacted]	[Redacted]

2. Project title

Title (max 10 words) IWT020: Strengthening local community engagement in combating illegal wildlife trade

3. Project dates, and budget summary

Start date: 1st of April 2016	End date: 31 March 2018	Duration: 2 yrs	mths
2015/16	2016/17	2017/18	Total request
£	£ 161410	£ 57256	£ 218666

Proposed (confirmed and unconfirmed) co-financing as % of total Project cost: <input type="text"/>	<input type="text"/>
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4. Summary of Project

Please provide a brief summary of your project, its aims, and the key activities you plan on undertaking.

(max 80 words)

This project aims to strengthen community engagement in combating IWT in Kenya. The project partners have developed a Theory of Change (ToC) for different forms of community engagement. This project is intended to ground-truth the causal pathways set out in that ToC, and the assumptions that underpin them, by reviewing existing community engagement initiatives using a modified Situational Crime Prevention (SCP) framework. Lessons learned will be used to develop practical guidance for developing new – or improving existing - community initiatives.

5. What will be the outcome of the project?

(See Guidance notes 3.1 and 4, and Annex B - guidance on developing a logframe)

This should be an action orientated statement e.g. training provided to the judiciary results in increased successful prosecutions of poaching. (You may copy and paste the same answer as provided in the outcome section of Question 24 here).

(max 50 words)

The conditions for stronger engagement of local communities to combat - rather than participate in - IWT in African elephants while positively contributing to local livelihoods is better understood and forms the basis of practical guidance for anti-IWT policy and programme development in Kenya (and beyond).

6. Country(ies)

(See Guidance notes 3.3 and 4.3)

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

Country 1: Kenya	Country 2:
Country 3:	Country 4:
Additional Countries	

7. Which of the three key IWT Challenge Fund objectives will your project address?

(See Guidance note 3.1)

Tick all that apply.

1. Developing sustainable livelihoods for communities affected by illegal wildlife trade	<input checked="" type="checkbox"/>
2. Strengthening law enforcement and the role of the criminal justice system	<input type="checkbox"/>
3. Reducing demand for the products of the illegal wildlife trade	<input type="checkbox"/>

7b. Which of the commitments made in the London Conference Declaration and / or the Kasane Statement does this project support? Please provide the number(s) of the relevant commitments: there is no need to include the text from the relevant commitment.

(See Guidance note 3.1)

The project directly contributes to commitments 10, 11, 12 and 13 of the Kasane Statement. It also indirectly supports commitments XVIII, XIX and XX of the London Declaration.

8. About the lead organisation:

What year was your organisation established/ incorporated/ registered?	1999 - IUCN Eastern and Southern Africa Regional Office (IUCN in 1948)
What is the legal status of your organisation?	NGO Yes <input type="checkbox"/> No <input type="checkbox"/> Government Yes <input type="checkbox"/> No <input type="checkbox"/> University Yes <input type="checkbox"/> No <input type="checkbox"/> Other (explain) Quasi-intergovernmental Organisation
How is your organisation currently funded?	(Max 100 words) About 10% by the IUCN Membership dues; 15 % by the 9 IUCN Framework Partners, and the rest are by the project/programme

	funding by Governments, NGOs, Multilateral Organisations, Grantmaking Foundations, and the Private Sector.
Have you provided the requested signed audited/independently examined accounts? Note that this is not required from Government Agencies	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

8b. Provide detail of 3 contracts/projects previously undertaken by the lead organisation that demonstrate your credibility as an organisation and provide track record relevant to the project proposed. These contacts should have been held in the last 5 years and be of a similar size to the grant requested in your IWT Challenge Fund application.

Contract/ Project 1 Title	Biodiversity and Protected Areas Management (BIOPAMA) http://www.biopama.or
Contract Value/ Project budget	EUR ██████████ (GBP ██████████)
Duration	8th of August 2012 -29th February 2016
Role of organisation in project	Implementing and coordinating all activities in eastern and southern Africa including budget management, donor reporting and monitoring and evaluation.
Brief summary of the aims, objectives and outcomes of the project.	The Biodiversity and Protected Areas Management Programme (BIOPAMA) aims to address threats to biodiversity in African, Caribbean and Pacific (ACP) countries, while reducing poverty in communities in and around protected areas. Specifically, the programme seeks to enhance existing institutions and networks by making the best available science and knowledge available for building capacity to improve policies and better decision-making on biodiversity conservation, protected areas management and access and benefit sharing. In the eastern and southern Africa region the project has focused on reducing protected area-land use/resource use conflicts including strengthening CBNRM and protected area governance to reduce threats to biodiversity.

Client/Project Manager contact details (Name, e-mail, address, phone number).	<p>Dr. Philippe Mayaux</p> <p>European Commission Environment</p> <p>████████████████████</p> <p>████████████████████</p>

Contract/ Project 2 Title	The Lower Awash-Lake Abbe Land and Seascapes – Enhancing biodiversity conservation in transboundary ecosystems and seascapes
Contract Value/ Project budget	EUR ██████████ (GBP ██████████)
Duration	8th November 2013-7th November 2016
Role of organisation in project	Implementing and coordinating all activities including budget management, donor reporting and monitoring and evaluation
Brief summary of the aims, objectives and outcomes of the project.	<p>The Objective of the project is to achieve conservation and sustainable management of the ecosystems in the Lower Awash-Lake Abbe Land and seascapes, in order to contribute to lasting ecosystem goods and services. These transboundary ecosystems (situated in Ethiopia and Djibouti) are facing a wide range of threats including IWT but there is little knowledge about the status of the biodiversity and the scale and magnitude of threats. The project is conducting biodiversity assessments and designing community-based strategies for addressing conservation challenges, which includes various capacity building of state and non-state actors to more effectively address conservation challenges and to strengthen policies for improved community-based natural resource management</p>
Client/Project Manager contact details (Name, e-mail, address, phone number).	<p>Dr. Debalkew Berhe, Programme Manager, IGAD - Environmental Protection</p> <p>████████████████████</p>

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Contract/ Project 3 Title	Integrated Planning to Implement the CBD Strategic Plan and Increase Ecosystem Resilience to Climate Change
Contract Value/ Project budget	EUR [REDACTED] (GBP [REDACTED])
Duration	1st of February 2014- 30th April 2018
Role of organisation in project	Implementing and coordinating all activities including budget management, donor reporting and monitoring and evaluation
Brief summary of the aims, objectives and outcomes of the project.	The project aims to strengthen participatory land use planning processes in areas of critical biodiversity significance (particularly for elephants and chimpanzees) in Tanzania and Zambia by providing reliable information on biodiversity and climate change vulnerability. The project assists with building capacities of communities and government departments to jointly plan and implement holistic land use strategies that take adequately consider biodiversity and climate change considerations
Client/Project Manager contact details (Name, e-mail, address, phone number).	Ludwig Schindler Programmbüro Internationale Klimaschutzinitiative (IKI) [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]

9. Project partners

Please list all the partners involved (including the Lead Organisation) 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, and how local institutions, local communities, and technical specialists are involved as appropriate. Please provide

written evidence of partnerships. Please copy/delete boxes for more or fewer partnerships.

Lead Organisation name:	International Union for Conservation of Nature (IUCN) Regional Office for Eastern and Southern Africa (ESARO)
Website address:	https://www.iucn.org/about/union/secretariat/offices/esaro/
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Leo Niskanen, Technical Coordinator Conservation Areas & Species Diversity for IUCN ESARO, based in Nairobi, Kenya, will provide overall project coordination, reporting, monitoring and evaluation, budget management, compiling and disseminating lessons learned from project, organizing logistics of research and consultative workshops and administration. He will also participate in the case study field work and the consultative workshops.</p> <p>Leo has 20 years of experience working with international NGOs and private sector developing and coordinating projects in eastern and southern Africa. Since 2010 he has been in charge of developing IUCN's conservation areas and species diversity programme. In this capacity he is responsible for developing and disseminating knowledge and best practice advice on biodiversity conservation to local, regional and global audiences. He is highly experienced with leading and coordinating projects throughout Africa.</p> <p>Finley Ombene, IUCN ESARO Finance Officer, will assist with financial management, reporting and monitoring.</p>

Partner Name:	International Institute for Environment and Development
Website address:	www.iied.org
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Dr Dilys Roe will contribute to the development of the methodological framework for case study assessments and provide technical backstopping for the case study fieldwork. IIED will also contribute to the development of the practical guidance, lead on the production of the briefing paper and provide international dissemination channels for the project outputs.</p> <p>Dr Roe joined IIED in 1992 and is a Principal Researcher and Team Leader of the Biodiversity Team with the Natural Resources Group. She is also a Fellow at the UNEP World Conservation Monitoring Centre. Her role at IIED entails: development and coordination of a programme of work focusing on biodiversity – poverty and biodiversity-climate change linkages; acting as IIED’s key spokesperson on biodiversity – representing the Institute both internally and externally; leading or overseeing a range of research and advocacy initiatives.</p>
Have you included a Letter of Support from this organisation?	Yes X No <input type="checkbox"/>

Partner Name:	IUCN Species Survival Commission African Elephant Specialist Group (AfESG)
Website address:	http://www.iucn.org/about/work/programmes/species/who_we_are/ssc_specialist_groups_and_red_list_authorities_directory/mammals/african_elephant/
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Dr Holly Dublin, chair of the AfESG, will participate in the project in a consultancy capacity. Specifically, Dr Dublin will contribute to the development of the methodological framework for case study assessments, provide technical backstopping for the case study fieldwork and advise on all relevant aspects related to African elephant conservation and illegal ivory trade, contribute to the development of the practical guidance, provide access to AfESG's network for consultation on draft outputs and dissemination of final products.</p> <p>Dr Dublin has spent a lifetime living and working in Africa. She will provide technical support from a deep knowledge of community-based natural resource management, the conservation, management and protection of Africa's elephants and rhinos and the illegal trade in their products.</p> <p>The project will also involve Diane Skinner, who is the AfESG Technical Consultant for the proposed project "Incentives and disincentives: combating IWT in the southeast Lowveld, Zimbabwe" which has been submitted to the IWTCF for consideration and which proposes to use the same ToC. Provided both projects are funded, Ms. Skinner will assist with the comparison of lessons learnt from the two project (see also Section 12 to this proposal).</p>
Have you included a Letter of Support from this organisation?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Partner Name:	Kenya Wildlife Conservancies Association (KWCA)
Website address:	www.kwcaKenya.com
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Dickson Ole Kaelo, Chief Executive Officer of the Kenya Wildlife Conservancies Association (KWCA) will act as a core member of the case study review team, providing linguistic support and facilitation in the interviews and focus groups discussions. KWCA will convene its members to providing advice, guidance and additional lessons learned from their own community engagement experiences. As a follow up to the project, KWCA will also be well placed to use the project outputs to engage in ongoing wildlife and land use policy processes in Kenya.</p> <p>Dickson Kaelo joined KWCA in 2013 and is currently the organization Founding CEO, His role include overall strategy development, management, partnership and liaison with government and communities. His focus is on developing conservation solutions that work for both nature and natural resource dependent communities. Dickson leads the policy development and up scaling of best practices among conservancies in Kenya. He represents KWCA at the county, national, and international levels. Dickson has over fifteen years of relevant training and experience in socioeconomic research, human wildlife management, conservation, community mobilization and project management having worked extensively as a member of multidisciplinary research and management teams.</p>
Have you included a Letter of Support from this organisation?	Yes X No <input type="checkbox"/>

Partner Name:	Cottar's Safari Service (Nineteen Twenties Safari Camps)
Website address:	http://www.cottars.com/conservation-community
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Cottar's Safari Service Ltd through its affiliate entity Nineteen Twenties Safari Camps Ltd operates a safari camp on Olderkesi group ranch, and is (through its non-profit Cottars Wildlife Conservation Trust) in the final stages of leasing land to start a wildlife conservancy. The Olderkesi Conservancy will serve as a pilot site for applying ToC to a real life situation (see map under Section 12). Cottars is pioneering a land easement mechanism whereby substantial and regular lease payments are made but are conditional to the continued existence of wildlife on the land; poaching of elephant and other infractions by individuals results in deductions being made from these lease payments, with the community committee being responsible to replenishing the amount deducted through the fining of individuals responsible for the poaching. In this way, collective benefit and liability creates peer pressure amongst members favourable towards wildlife. Cottars will participate in the project in a consultancy capacity and will provide logistical support at the case study site, help to organize the discussions and interviews. Cottar's Safari Service will also contribute to the dissemination of the project outputs within Kenya and internationally.</p>
Have you included a Letter of Support from this organisation?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Partner Name:	Big Life Foundation
Website address:	https://biglife.org/
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	Big Life Foundation's area of operation in the Amboseli ecosystem will provide a pilot site for applying ToC to a real life situation (see map under Section 12). Big Life Foundation works with local Maasai communities to safeguard wildlife that is dependent on community land outside of national parks for survival. This is done through a number of programs including employment creation for community game rangers, a compensation program for livestock killed by predators and an education scholarship program, among others. The Foundation will provide logistics at the case study sites, help to organise the discussions and interviews. Big Life Foundation will also contribute to the dissemination of the project outputs within Kenya and internationally.
Have you included a Letter of Support from this organisation?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Partner Name:	IUCN Sustainable Use and Livelihood Specialist Group (SULi)
Website address:	https://www.iucn.org/about/union/commissions/ceesp/ssc/sustainable_use_and_livelihoods_specialist_group/
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	SULi, of which Dilys Roe (IIED) and Holly Dublin (AfESG) are Steering Committee members led the development of the ToC on which this project is based and continues to convene additional initiatives to enhance community engagement in tackling IWT. SULi has an active international network of members who will act as a key dissemination channel for this project. Dr. Rosie Cooney, Chair of SuLi will be involved in the project in a consultancy capacity to help distil lessons learned from the project and other regional work into messages to take to international policy fora.
Have you included a Letter of Support from this organisation?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

10. Project staff

Please identify the core staff on this project, their role and what % of their time they will be working on the project. Please provide 1 page CVs for these staff. Please include more rows where necessary.

Name (First name, Surname)	Role	% time on project	1 page CV attached?
Leo Niskanen	Project Leader	13	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Finley Ombene	Finance Officer	4	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Dilys Roe	Technical Advisor	13	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Dickson Ole Kaelo	Technical Advisor	12	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

11. Species project is focusing on

(see Guidance note 4.2)

Where there are more than 4 species that will benefit from the project's work, please add more boxes.

1. African elephant (<i>Loxodonta africana</i>)	2.
3.	4.
<p>Other species While focused on African elephants, the results of the project are expected to have wider applicability to other high value species impacted by illegal wildlife trade e.g. black and white rhinos and lion.</p>	

12. Problem the project is trying to address

What specific aspect(s) of the illegal trade in wildlife will your project address? Please describe the level of threat to the species concerned. Please 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 alleviate poverty

(Max 300 words)

In Kenya, as in many other African countries, IWT is a serious conservation challenge – indeed Kenya is not only a source for elephant ivory but also a transit hotspot. As in many other countries, Kenyan strategies for addressing IWT have to date placed far greater emphasis on intensified law enforcement than on community engagement approaches. However, available evidence internationally suggests that local community support is an essential pre-condition for the fight against IWT to succeed in the long term. In many Southern African countries, local people have been effectively engaged in tackling IWT by offsetting the costs of living with wildlife and providing them with a stake in wildlife management due to the revenue that can be derived from sustainable use schemes, including tourism and trophy hunting. In Kenya several interesting NGO-, private sector- and community-based initiatives are beginning to show some success in engaging communities, mitigating human-wildlife conflict and generating significant livelihood improvements – through employment, land leases and non-financial benefits. Examples include conservancies supported by the Big Life Foundation, Cottar Safari Services (both partners in this project), the Northern Rangelands Trust and several other members of the Kenya wildlife Conservancies Association.

These initiatives are occurring outside of formal protected areas and provide critical connectivity and seasonal space for Kenya’s elephant population. However, these initiatives tend to be developed in isolation on a somewhat ad hoc “trial and error” basis with limited reference to established situational crime prevention techniques and limited collection and dissemination of lessons learned that can help inform policy and practice elsewhere.

This project is intended to address this problem by testing and validating a ToC for community engagement in order to understand whether the assumptions on which policy makers and project implementers plan interventions hold true – or whether they are doomed to fail from the outset.

13. Methodology

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on:

- How you have analysed historical and existing initiatives and are building on or taking work already done into account in project design
- How you will undertake the work (materials and methods)
- How you will manage the work (roles and responsibilities, project management tools etc.).

Please make sure you read the Guidance Notes, particularly Sections 3.1 and 3.2, before answering this question.

(Max 750 words)

A ToC to successfully engage communities in tackling IWT was developed through an iterative process by IUCN and other partners. This draft ToC was then used to initiate a consultation with policy makers and practitioners, including through an international symposium held in South Africa in February 2015. This project moves the process on from consultation on theory to ground-truthing against practice.

The ToC will be tested against two existing community engagement initiatives in two transboundary sites straddling the Kenya-Tanzania border (see maps provided as separate attachments):

1. Olderkesi Wildlife Conservancy near the Masai Mara where a private tourism operator pays the local community (total population approx. 13,000) a conditional lease in return for conservation services
2. Big Life Foundation initiative which covers Mbirikani Group Ranch, Olgulului Group Ranch, Kimana Ranch and Rombo Group Ranch (total population approx. 90,000) carrying out community engagement interventions, employment creation for community game rangers, a compensation program for livestock killed by predators and an education scholarship program, amongst others.

The lessons learned from these sites will be compared with and modified through broader engagement with members of the Kenya Wildlife Conservancies Association (KWCA), representing 71 conservancies. Through this process practical guidance will be developed for wider application to help improve the success of existing initiatives and/or strengthen the design of new initiatives and inform policy development.

We will use a mixed methods approach to testing and validating the ToC based on a combination of theory based (where what happens in the Kenyan initiatives is compared with the IUCN/IIED and partners ToC and the causal pathways and assumptions within that) and participatory (where the judgements and experience of stakeholders and beneficiaries identify the most powerful determinants of success) evaluation designs. Our approach will entail:

- In-depth interviews with project designers to understand their original ToC
- Semi structured interviews with key stakeholders at each field site, including project designers, project implementers, local people participating directly in the initiatives (disaggregated by gender, age, wealth, etc.); local people from the broader local communities living in or around the project sites (disaggregated into different groups) to discuss their perceptions of what has worked, what has not worked and why.
- Focus group discussions with the different stakeholder groups in order to explore differences in opinions and to develop alternative theories of change.
- Discussions (through a consultative workshop) between the two sites to compare findings and understand why approaches and outcomes have been different in the two sites

- A workshop with KWCA members to draw in comparable experience from a wide range of conservancy settings, and to identify main policy influencing opportunities and strategies.

We will use a modified Situational Crime Prevention framework to guide the discussions and interviews, the purpose of which will be specifically to capture the ToC of their projects and compare this with the causal pathways articulated in our draft ToC and the assumptions that underlie them.

We will revise our draft ToC based on the findings from the two ongoing initiatives and the KWCA consultation and then use the revised ToC as the basis for developing practical guidance to assist policy makers and IWT project designers to develop more robust community engagement strategies that explicitly acknowledge and account for the assumptions on which they are based, understand the contexts that enable or inhibit positive community engagement and are thus better able to predict their likelihood of success in specific contexts. We will produce the guidance in the form of simple-to-use publications and a summary briefing paper.

We will disseminate the findings widely through KWCA, IUCN, IIED, SULI, including sharing preliminary findings at the World Conservation Congress. AfESG is a partner in an additional IWT Challenge Fund proposal from Zimbabwe, which also includes a practical ToC component. If both projects are successful this will also allow for some comparisons between situations where consumptive use provides the incentives for community engagement and situations (as in Kenya) where alternative incentives exist.

IUCN will coordinate the project and manage the budget and reporting.

IIED, AfESG and IUCN will collaborate on methodological development and will design the interviews and focus group discussions.

KWCA will identify and participate in policy influencing opportunities and strategies that apply the lessons learned and facilitate the interviews and focus group discussions using local language interpreters where needed.

Cottars Safari Service and Big Life Foundation will provide logistics at the study sites, and help to organise the discussions and interviews.

All partners will contribute to the dissemination of the project outputs within Kenya and internationally.

14. Beneficiaries

Who will benefit from the work outlined above, and in what ways? How will this contribute to sustainable development for the reduction of poverty? Is it possible to quantify how many people are likely to benefit from this intervention e.g. number of households, and how do you intend to monitor the benefits they accrue?

If your project is working in an Upper Middle Income Country, please explain how benefits will be delivered to people living in poverty in Low and/or Low Middle Income countries. Include, where possible, information on whether and how there are ways to support the most vulnerable communities, including women.

(Max 750 words)

The results of the project will be used to improve community engagement in the project sites and in policy formulation in Kenya for improved livelihoods and reduced threats from poaching.

The immediate beneficiaries of the project will be the approximately 103,000 members of local Maasai communities, as well as the project partners in the two pilot sites in Kenya. Traditionally these communities practice mainly pastoralism although a large number are switching to small scale, subsistence agriculture and other more sedentary forms of land use which are likely to exacerbate conflicts with wildlife underscoring the urgent need to increase their benefits and reduce their costs of living with wildlife.

Secondary beneficiaries will be the wildlife management authorities, policy and decision-makers, conservation NGOs and the donor community in Kenya who will gain insights into more successful models of engagement with local communities to combat IWT, helping to strengthen community-based conservation approaches. In particular, the KWCA (which represents 71 Kenyan conservancies) will play a key role in using the results from this project to help influence the current policy negotiations in line with its core mandate of lobbying for incentives for communities practicing wildlife conservation as a land use option. This includes bringing the results of this work to bear on key pieces of legislation, such as the Community Benefits regulations, which are currently under development, as well as proactively engaging in debates through mechanisms such as the National Assembly Committee on Environment and Natural Resources.

The long term beneficiaries will be local communities across Kenya who live with wildlife but who are currently not adequately involved in conservation as partners. By improving the knowledge base for successful community engagement in tackling IWT we anticipate that this will result in a greater proliferation of these types of initiatives with increased potential for local jobs, local enterprises and reduced costs of living with wildlife. This will be reinforced by the broad dissemination of the key findings and policy recommendations generated from this project.

In the long term the Kenyan economy, particularly the tourism sector, also stands to benefit from more successful wildlife conservation models that will increase the likelihood that wildlife will persist across landscapes, while helping to address the instability and insecurity that is brought about by IWT.

At the international level, the practical guidance that this project will develop, based on our ToC, will significantly improve the capacity and confidence of policy makers and project implementers to strengthen their engagement with local people in conservation efforts, in many cases, transforming wildlife from a critical livelihood constraint to a

sustainable source of livelihood security.

While it is not possible to propose a standard method for measuring benefits accruing to individuals, our ToC include four different streams for engaging local communities in combatting IWT. These are not all focussed on accruing benefits at the individual or community level but also involve reducing costs and further developing incentive mechanisms. As a result of the project their relative contributions will be better understood. Success will be demonstrated by the continued engagement of the communities in the two study areas and by the number of conservation agencies that shift their approaches in favour of enhancing community engagement in combating IWT. In the longer term it should be possible to determine the impact of active community engagement in conservation on poverty reduction at the site level but this is beyond the scope of this project timeframe.

15. Gender

Under the International Development (Gender Equality) Act 2014, all applicants must consider whether their project is likely to contribute to reducing inequality between persons of different gender. Explain how your project will collect gender disaggregated data and what impact your project will have in promoting gender equality.

(Max 300 words)

The project will consider gender in all aspects from design to implementation. The research stage will ensure that women are equally represented in the groups of community stakeholders consulted and separate focus group discussions will take place with women to ensure objectivity. We will specifically explore the gender dimensions of community engagement - whether gender has been incorporated into project design and whether it makes any difference to anti-IWT outcomes.

Based on the analysis of the results of the project the revised theory of change will consider gender-specific differences when it comes to understanding and strengthening the disincentives to engage in IWT. The recommendations ensuing from the work will pay particular attention to gender equality and the different roles that men and women can play in strengthening the engagement of communities in combating illegal wildlife trade.

16. Impact on species in focus

How will the species named in Question 11 above benefit from the work outlined above? What do you expect the long-term impact on the species concerned to be?

(Max 200 words)

Kenya is in a dynamic growth phase with many socio-economic challenges that impact on elephants in direct and indirect ways. In many parts of the national elephant range there are pervasive and persistent low-level security risks, an extensive flow of illegal firearms and active criminal networks posing a threat from within the country and from neighbouring countries. As a result, Kenya's elephants remain at risk.

Communities can and already do play a key role in the security of elephants in Kenya. Where elephants have provided net benefits to local communities, they appear to be more secure. Where the costs of co-existence have exceeded the benefits, or where disincentives for illegal behaviour have been overshadowed by the incentives for illegal behaviour, elephants have been victim to illegal off take.

We will explore the link between tangible and intangible community costs and benefits and the security of elephants in two key transboundary populations straddling the Kenya-Tanzania border. If the theory of change holds true, or can be further improved, and communities experience elephants as a valued asset, we anticipate that elephant safety will be enhanced and that poaching will be contained within sustainable limits. Other co-occurring species in IWT might benefit likewise.

17. Exit strategy

State how the project will reach a stable and sustainable end point, and explain how the outcomes will be sustained, either through a continuation of activities, funding and support from other sources or because the activities will be mainstreamed in to "business as usual". Where individuals receive advanced training, for example, what will happen should that individual leave?

(Max 200 words)

The exit strategy for this project is its focus on developing and disseminating practical guidance that can be employed by policy makers and practitioners in Kenya and internationally, rather than on implementing field based projects which require on-going donor support.

At the project's end point, the case study initiatives will have been able to strengthen their community engagement practices but the case studies are not reliant on the IWT Challenge Fund for their ongoing activities and have their own sources of funding. Similarly, the guidance material produced will be freely available for all to download and use as required.

18. Funding

18a) Is this a new initiative or a development of existing work (funded through any source)? Please give details

(Max 200 words):

As described in the methodology section this is a new phase of a collaborative ongoing initiative between IUCN, IIED and other international partners which has, to date, seen the development of a draft Theory of Change.

18b) Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?

X Yes No

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:

IUCN and IIED are collaborating with the project "Incentives and disincentives: combating IWT in the southeast Lowveld, Zimbabwe" which plans to include testing of the ToC in Zimbabwe as one component of another proposal to the IWT Challenge Fund. The project leads are collaborating directly on the submission of the two linked proposals, and if both are successful, will specifically use the opportunity to compare and contrast the situation between Kenya and Zimbabwe, taking into account the very different wildlife use policy contexts. This is reflected in the budget of this project.

18c) Are you applying for funding relating to the proposed project from other sources?

X Yes No

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

We have submitted a concept note to USAID to support national workshops in Southern Africa (SADC region) on community engagement strategies. IUCN have just been informed that the concept note has been accepted for the second stage which will inform the development of a new programme on combating illegal wildlife trade in southern Africa. A workshop to start designing the programme will take place in November and it is expected that project activities will commence by mid-2016. This is a complementary initiative in that it also aims to apply the same theory of change to help generate lessons and recommendations for strengthening community engagement in combating IWT. Therefore, the current proposal to the IWTCF and the potential multi-country initiative in southern African present great synergies that can collectively add to continent-wide body of knowledge and strengthen the ensuing key messages aimed at improving policy and practice.

Funding and budget

Please complete the separate Excel spreadsheet (also available at <https://www.gov.uk/government/collections/illegal-wildlife-trade-iwt-challenge->

fund) which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet. Please refer to the Finance Information document for more information.

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 IWT Challenge Fund cannot agree any increase in grants once awarded.

19. Co-financing

19a) 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, as well as any your own organisation(s) will be committing.

(See Guidance note 4.4)

Confirmed:

Cottar Safari Service/Nineteen Twenties Safari Camp: In kind logistical support and accommodation at the case study sites: £ [REDACTED]

IUCN: Meeting space and venue at World Conservation Congress: £ [REDACTED]

IUCN: engaging with IUCN networks: £ [REDACTED]

KWCA: Engaging with KWCA networks and policy contacts: £ [REDACTED]

IIED: Engaging with IIED networks £ [REDACTED]

IIED: communications policy brief production: £ [REDACTED]

19b) Unsecured

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

Date applied for	Donor organisation	Amount	Comments

19c) Justification

If you are not proposing co-financing, please explain why.

(max 150 words)

20. Capital items

If you plan to purchase capital items with IWT 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.

(max 150 words)

21. 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)

This application represents good value for money as it builds on, and thus benefits from, substantial investment by the project partners and others (USAID, GIZ and Austrian aid) in developing the underlying ToC. It involves key individuals from each organisation with demonstrated expertise in both community-based conservation and IWT coupled with two study partners who have direct and current experience of implementing such efforts on the ground and a community-based organisation that is actively involved with the development of community conservancies for livelihood and conservation benefit across the country.

Personnel costs represent a relatively large proportion of the budget but this is more than offset by the contributions of key personnel and prior investment of their time to develop and consult widely on the ToC. As a result, effort will be deployed efficiently and effectively rather expending limited resources on familiarisation and learning. We have also secured significant in-kind contributions (and enthusiasm) from project partners, including pro bono staff time and radically-reduced accommodation costs at both study sites.

The partners' presence in Kenya means they have strong local links and are well placed to convene policy makers and practitioners throughout the life of the project and, importantly, once the guidance has been developed. KWCA brings unprecedented access to community conservancies across Kenya, access to key policy makers and convening power. Both IIED and IUCN also offer pre-existing, influential, international networks through which the results of the project can be disseminated.

22. Ethics

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

(See Guidance Note 5.4)

(Max 250 words)

The project will be implemented following the IUCN's Code of Conduct (https://cmsdata.iucn.org/downloads/code_of_conduct_and_professional_ethics.pdf) which effectively ensures compliance with the key principles of good and ethical development in project implementation and practice as outlined in Guidance Note 5.4.

IIED's statement of principles on "research excellence" describes how we work with local communities in developing countries (<http://www.iied.org/our-research-striving-towards-excellencem>). These principles will be applied to this project to ensure our ToC testing process involves partnership and empowerment, and produces results that contribute to positive social and environmental change.

23. Outputs of the project and Open Access

Please describe the project's open access plan and detail any specific costs you are seeking from the IWT Challenge Fund to fund this.

(See Guidance Note 5.5)

(Max 250 words)

We are not seeking any specific costs to fund open access to the project outputs. Both IUCN and IIED operate an open access policy and all project outputs will be made freely available on their websites and on the websites of the case study partners.

We will also translate the key written outputs into French and Portuguese in order to include Francophone and Lusophone African countries amongst our target audience

24. Project monitoring and evaluation

Logical framework

IWT Challenge Fund projects will be required to monitor (and report against) their progress towards their expected outputs and outcomes. 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.

This section uses a logical framework (logframe) approach. This approach is a useful way to take a logical approach to tackling complex and ever-changing challenges, such as tackling the illegal wildlife trade. In other words, it is about sensible planning.

Annex B in the Guidance Notes provides helpful guidance on completing a logical framework.

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 IWT Challenge Fund projects are expected to contribute to tackling the illegal wildlife trade and supporting poverty alleviation in developing countries.

(Max 30 words)

More effective and widespread community engagement in tackling IWT resulting in reduction in pressure on African elephant populations and increased benefits from improved wildlife stewardship.

Outcome

There can only be one Outcome for the project. The outcome statement is the overarching objective of the project you have outlined. That is, what do you expect to achieve as a result of this project? The Outcome should identify what will change, and who will benefit.

There should be a clear link between the outcome and the impact.

This should be a summary statement derived from the answer given to Questions 12, 13 and 14. (You may copy and paste the same answer as provided in Question 5 here).

(Max 50 words)

The conditions for stronger engagement of local communities to combat - rather than participate in - IWT in African elephants while positively contributing to local livelihoods is better understood and forms the basis of practical guidance for anti-IWT policy and programme development in Kenya (and beyond).

Measuring outcomes - indicators

Provide detail of what you will measure to assess your progress towards achieving this outcome. For each indicator, you should be able to state:

- What is the starting point
- What is the expected change
- What the end point will be
- When the change will be achieved

You may require multiple indicators to measure the outcome – if you have more than 3 indicators please just insert a row(s).

Indicator 1	By the end of the first year existing community engagement initiatives in Kenya have been assessed against a draft ToC and a modified situational crime prevention framework to understand the causal pathways upon which their IWT impacts are based.
Indicator 2	By the end of the project practical guidance is available in multiple languages to strengthen existing and new community engagement initiatives.
Indicator 3	By the end of project guidance is widely disseminated internationally.

Verifying outcomes

Identify the source material the IWT Challenge Fund (and you) will use to verify the indicators provided, and the progress made towards achieving them. These are generally recorded details such as publications, surveys, project notes, reports, tapes, videos etc. You should submit evidence of these with your annual reports.

Indicator 1	One methodology report, one case study report, presentations, meeting reports and workshop reports.
Indicator 2	Guidance document available in French, English, Portuguese Briefing paper with key messages from project produced and translated into French and Portuguese.
Indicator 3	Briefing paper with key messages from project produced and translated into French and Portuguese.
Indicator 4	Briefing paper and key messages from project circulated through list servs, international presentations and project partner websites.

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	Useful lessons can be learned from the case studies.
Assumption 2	The lessons learned from the Kenyan case studies and the ToC lend themselves to the development of practical guidance that has broad

	applicability.
Assumption 3	The guidance, once developed, is useful to IWT policy makers and programme makers and influences their decisions.

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.

Output 1	Two case studies of existing community engagement projects, analysed against a modified situational crime prevention framework and theory of change.
Output 2	Revised Theory of Change - based on case studies conducted and comparable lessons from other conservancy initiatives.
Output 3	Guidance on designing and strengthening community engagement projects in the context of IWT.

Measuring outputs

Provide detail of what you will measure to assess your progress towards achieving these outputs. You should be able to state:

- What is the starting point
- What is the expected change
- What the end point will be
- When the change will be achieved

You may require multiple indicators to measure each output – if you have more than 3 indicators please just insert a row(s).

Output 1: Case Studies	
Indicator 1	By June 2016 methodology for case studies finalised and agreed with partners and logistical arrangements in place.
Indicator 2	By December 2016 case study fieldwork and analysis completed.
Indicator 3	By February 2017 case study report completed.

Output 2: Revised Theory of Change	
Indicator 1	By April 2017, case study lessons presented to members of KWCA and comparable experiences from other conservancies collected.
Indicator 2	By July 2017 revised Theory of Change produced and disseminated.

Output 3: Guidance documents	
Indicator 1	By October 2017 first draft of guidance produced and disseminated for feedback.
Indicator 2	By February 2017 final version of guidance agreed and published.
Indicator 3	By March 2018 guidance material translated into French and Portuguese.
Indicator 4	By end of project all guidance materials posted on the project partners' websites and widely disseminated through IIED, IUCN and SULi networks.

Verifying outputs

Identify the source material the IWT fund (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	Case study report and methodology posted on project partners websites.
Indicator 2	Final ToC posted on project partners websites.
Indicator 3	Guidance material available in English, French and Portuguese posted on project partners websites.

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	Case study project partners continue to stay engaged with project and community representatives in each case study site are willing to provide information.
Assumption 2	Causal pathways can be determined from the case studies and other conservancy experiences and a robust ToC agreed.
Assumption 3	The lessons learned from the Kenyan case studies and the ToC lend themselves to the development of practical guidance that has broad applicability.

Activities

Define the tasks to be undertaken by the project 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.

Output 1: Case Studies	
Activity 1.1	Methodology developed and logistical arrangements completed.
Activity 1.2	Inception workshop conducted.
Activity 1.3	Interviews and focus group discussions conducted at first case study site.
Activity 1.4	Presentation of objectives, methods and preliminary findings presented at the World Conservation Congress in September 2016.
Activity 1.5	Fieldwork at second case study site.
Activity 1.6	Case study analysis and report writing.

Output 2: Revised Theory of Change	
Activity 2.1	Meeting conducted to compare findings from two case studies.
Activity 2.2	Workshop carried out with KWCA members to collect additional experiences from other conservancy sites and identify key policy recommendations.
Activity 2.3	Comparison of experience with project in Zimbabwe (provided the project "Incentives and disincentives: combating IWT in the southeast

	Lowveld, Zimbabwe" proposed to IWTCF funded).
Activity 2.4	Analysis of experience and revision of ToC.

Output 3: Guidance documents	
Activity 3.1	Production of draft guidance document.
Activity 3.2	Peer review of guidance document.
Activity 3.3	Production of final guidance document.
Activity 3.4	Production of briefing paper based on guidance document.
Activity 3.5	Translation of outputs into French and Portuguese.
Activity 3.6	Dissemination of outputs via project partner websites and networks.

25. 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	FY 1				FY 2			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1									
1.1	2	X							
1.2	1	X							
1.3	2.5		X						
1.4	0.5		X						
1.5	2			X					
1.6	1			X					
Output 2									
2.1	1.5				X				
2.2	1.5				X				
2.3	1					X			
2.4	2					X			
Output 3									

3.1	3						X		
3.2	1						X		
3.3	1							X	
3.4	1							X	
3.5	1.5								X
3.6	1.5								X

26. Monitoring and evaluation plan (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.

IWT Challenge Fund projects will need 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 250 words)

IUCN will take responsibility for coordinating the monitoring of activities against the logframe and we have built funded time for this into the project budget. The project partners will review progress against the logframe indicators on a quarterly basis to ensure the project is on track and this regular review will also allow us to quickly identify any changes that need to be made and to coordinate with the IWT Challenge Fund on this.

We will also specifically monitor and evaluate the gender aspects of our project on an annual basis.

The focus of project on testing a Theory of Change is itself an M and E activity, one of the intentions of which is to inform and improve the M and E of community engagement projects in the future. We will make use of professional M and E expertise within IUCN and IIED both to monitor the progress of this project and also to contribute to the testing and validating of the ToC itself.

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 IWT Fund 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** **x**

Certification

On behalf of

International Union for Conservation of Nature
Eastern and Southern Africa Regional Office

I apply for a grant of £218,666 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 signed audited/independently verified accounts and annual report are also enclosed.

Name (block capitals)	LUTHER BOIS ANUKUR
Position in the organisation	IUCN ESARO REGIONAL DIRECTOR

Signed



Date:

12th October 2015

If this section is incomplete the entire application will be rejected. You must provide a real (not typed) signature. You may include a pdf of the signature page for security reasons if you wish. Please write PDF in the signature section above if you do so.

Checklist for submission

	Check
Have you read the Guidance Notes (guidance for applicants, financial information, schedule of terms and conditions)?	X
Have you provided actual start and end dates for your project?	X
Have you provided your budget based on UK government financial years i.e. 1 April – 31 March and in GBP?	X
Have you checked that your budget is complete , correctly adds up and that you have included the correct final total on the top page of the application?	X
Has your application been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable, but not the use of a script font)	X
Have you included a 1 page CV for all the Project Staff identified at Question 10, including the Project Leader?	X
Have you included a letter of support from the main partner(s) organisations identified at Question 9?	X
Have you included a signed copy of the last 2 years annual report and accounts for the lead organisation?	X
Have you checked the IWT website on GOV.UK immediately prior to submission to ensure there are no late updates?	X

Once you have answered the questions above, please submit the application, not later than midnight GMT on 12th October 2015 to IWT-Fund@LTSI.co.uk using the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (eg whether the e-mail is 1 of 2, 2 of 3 etc). You are not required to send a hard copy.

DATA PROTECTION ACT 1998: Information supplied in the application form, including personal data, will be shared between the Department and LTS for administration, evaluation and monitoring purposes. Some information, but not personal data, may be used by the Department when publicising the IWT Challenge Fund including project details (usually title, lead organisation, location and total grant value) on the GOV.UK and other websites. Personal data may be used by the Department and/or LTS to maintain and update the IWT Challenge Fund mailing list and to provide information to British Embassies and High Commissions so they are aware of UK Government-funded projects being undertaken in the countries where they are located.

ENVIRONMENTAL INFORMATION REGULATIONS 2004 and the FREEDOM OF INFORMATION ACT 2000: Information (including personal data) relating to the project or its results may also be released on request, including under the Environmental Information Regulations 2004 and the Freedom of Information Act 2000. However, Defra will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the Data Protection Act 1998.