

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:157

## 1. Name and address of lead organisation

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

<b>Applicant Organisation Name:</b>	<b>Royal United Services Institute (RUSI)</b>
<b>Address:</b>	
<b>City and Postcode:</b>	
<b>Country:</b>	
<b>Project Leader name:</b>	<b>Tom Keatinge</b>
<b>Email:</b>	
<b>Phone:</b>	

## 2. Project title

<p><b>Title (max 10 words)</b>  <b>IWT021: Following the Money: Disrupting Wildlife-Linked Illicit Financial Flows in Kenya/Tanzania</b></p>
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## 3. Project dates, and budget summary

<b>Start date: 01/04/2016</b>		<b>End date: 31/03/2017</b>		<b>Duration: 1 yrs 0 mths</b>
<b>2015/16</b>	<b>2016/17</b>	<b>2017/18</b>	<b>Total request</b>	
<b>£ 0</b>	<b>£ 158984</b>	<b>£ 0</b>	<b>£ 158984</b>	

<b>Proposed (confirmed and unconfirmed) co-financing as % of total Project cost:</b>	
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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 addresses a neglected component of the IWT, namely the lack of capacity in source countries to investigate illicit financial flows (IFF) underpinning the trade. This project aims to build capacity in Kenya and Tanzania to detect and prosecute wildlife-linked money-laundering – which stalls development and entrenches poverty. It does so by piloting a new approach: a strategic threat- and needs-assessment around wildlife-linked IFFs followed by tailored multi-agency and cross-border training, bridging law-enforcement, banking, wildlife, justice and customs authorities.**

## 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)**

**Training provided improves Kenyan and Tanzanian agencies' capacity to investigate and prosecute financial crime tied to the IWT. This will deter and disrupt criminal trafficking networks, leading to a fall in poaching and rise in wildlife tourism, benefiting local communities. It will also generate best-practice for wildlife-linked financial capacity-building elsewhere.**

## 6. Country(ies)

(See Guidance notes 3.3 and 4.3)

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

<b>Country 1: Kenya</b>	<b>Country 2: Tanzania</b>
<b>Country 3:</b>	<b>Country 4:</b>

## 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 type="checkbox"/>
2. Strengthening law enforcement and the role of the criminal justice system	<input checked="" 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)

**London Declaration: IX, X, XI, XII, XV, XVI**

**Kasane Statement: 4, 5**

### 8. About the lead organisation:

What year was your organisation established/ incorporated/ registered?	<b>1831</b>
What is the legal status of your organisation?	NGO      Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Government      Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> University      Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Other (explain)
How is your organisation currently funded?	(Max 100 words)

	<p>RUSI is funded through a range of activities. An increasing proportion – % – of its income derives directly from multi-disciplinary research and analysis, conducted for policy-makers and practitioners across Europe, North America, the Middle East and Africa. This represents a % rise in research income year-on-year, with new funding received in 2014/15 to establish RUSI's Centre for Financial Crime and Security Studies. The remainder of RUSI's income is provided by the rental of its conference facilities at 61 Whitehall (%), individual and corporate memberships (%), the organisation of events (%) and the production and sale of RUSI publications (%).</p>
<p>Have you provided the requested signed audited/independently examined accounts?</p> <p><b>Note that this is not required from Government Agencies</b></p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>

**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.

<p>Contract/ Project 1 Title</p>	<p><b>Strengthening Resilience to Violence and Extremism in the Horn of Africa (STRIVE)</b></p>
<p>Contract Value/ Project budget</p>	
<p>Duration</p>	<p><b>3 years</b></p>
<p>Role of organisation in project</p>	<p><b>RUSI is leading the implementation of this programme. Its role is to develop best practices to implement and monitor programmes that have demonstrable impact on strengthening resilience against extremism and violence in the Horn of Africa.</b></p>

<p>Brief summary of the aims, objectives and outcomes of the project.</p>	<p><b>In line with the EU Counter-Terrorism Strategy, the overall objective is to prevent terrorism and to counter violent extremism while continuing to respect human rights and international law. This will be achieved through four result areas:</b></p> <ol style="list-style-type: none"> <li><b>1. Building the regional capacity of security-sector and law-enforcement authorities to engage with civil society in fighting violent extremism.</b></li> <li><b>2. Strengthening the capacity of women’s organisations in Puntland and Somaliland to fight violent extremism.</b></li> <li><b>3. Increasing understanding of the challenges faced by EU-born Somali youth in Somaliland.</b></li> <li><b>4. Increasing understanding of the drivers of radicalisation among youth in Kenya.</b></li> </ol> <p><b>One of the key objectives of STRIVE is to strengthen the evidence base around CVE programming and develop best practices to implement and monitor programmes that have a demonstrable impact on strengthening resilience against violent extremism. The activities carried out within each result area therefore incorporate associated research and M&amp;E, to build the evidence base and provide recommendations for future CVE programming.</b></p>
<p>Client/Project Manager contact details (Name, e-mail, address, phone number).</p>	

<p>Contract/ Project 2 Title</p>	<p><b>Illegal Wildlife Trafficking and Armed Non-State Actors in the Horn of Africa: Organised Crime, Terrorism and Threat Financing</b></p>
<p>Contract Value/ Project budget</p>	
<p>Duration</p>	<p><b>1 year</b></p>
<p>Role of organisation in project</p>	<p><b>RUSI led the development and overall management of the project, primary research in Kenya over 2014-15, analysis</b></p>

	<p>and desk research.</p> <p>RUSI managed the production of the final report 'An Illusion of Complicity: Terrorism and the Illegal Ivory Trade in East Africa', and its dissemination at a dedicated launch chaired by William Hague.</p>
Brief summary of the aims, objectives and outcomes of the project.	<p>Running from 2014–15, this project brought together RUSI research streams on counter-terrorism, organised crime and financial crime to examine the potential linkages between terrorism and the illegal wildlife trade. Focusing on Kenya and Somalia, the project empirically assessed the role of ivory trafficking in funding regional non-state groups, including Al-Shabaab.</p> <p>Data was compiled and a mapping exercise conducted of existing policies through fieldwork to address ivory trafficking in Kenya and Somalia. Recommendations were made to regional and international stakeholders on the need to counter the dominant role of transnational organised crime and corruption, and to inform broader measures to disrupt threat financing in the Horn of Africa, rather than focusing on links to Al-Shabaab - evidence for which remains extremely limited. The project resulted in the publication of the RUSI Occasional Paper 'An Illusion of Complicity: Terrorism and the Illegal Ivory Trade in East Africa' and a major conference in London.</p>
Client/Project Manager contact details (Name, e-mail, address, phone number).	

Contract/ Project 3 Title	<b>Centre for Financial Crime and Security Studies (CFCS)</b>
Contract Value/ Project budget	
Duration	<b>3 years</b>
Role of organisation in project	<b>Leading global banks have established this unique research programme at RUSI to address policy and implementation issues related to financial crime and illicit</b>

	<p>finance. From this independent platform, RUSI takes a leadership role in bringing together the public and private sectors to collaborate on tackling a range of issues related to illicit finance through the writing of research, convening of conferences, workshops and seminars, and the intermediation of dialogue between the public and private sectors.</p>
<p>Brief summary of the aims, objectives and outcomes of the project.</p>	<p><b>The foundation of the work undertaken by RUSI, through the CFCS, is the belief that public-private partnership can create a step-change in disrupting illicit finance. The programme is thus dedicated to bringing together the financial services industry with policy-makers, regulators and law enforcement to collaborate on a range of initiatives aimed at enhancing disruption efforts in relation to topics such as the illegal wildlife trade, terrorist finance, human trafficking, and general issues connected with money laundering and the proceeds of crime.</b></p> <p><b>To date, outcomes have included research published on the financial model of al-Shabaab; financial approaches to disrupting foreign fighters; regular conferences and seminars on the role of the financial services industry in disrupting human trafficking, corruption, money-laundering and terrorist finance. A series of commentaries has also been produced, addressing the fundamental policy issues that the UK government and international bodies should be considering in order to more effectively undermine those that seek to use the financial sector for illicit gain. In addition, RUSI, through the CFCS, has been helping the UK government in its efforts to upgrade the UK's Suspicious Activity Report regime.</b></p>
<p>Client/Project Manager contact details (Name, e-mail, address, phone number).</p>	

## 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:	Royal United Services Institute for Defence and Security Studies (RUSI)
Website address:	<a href="http://www.rusi.org">www.rusi.org</a>
<p>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</p>	<p>RUSI is the UK’s leading independent, not-for-profit research institute on national-security studies. Its mission is to improve policy- and decision-making through evidence-based research and implementation, with in-house teams offering multi-disciplinary expertise, both substantive and methodological, and fieldwork experience in a range of locations.</p> <p>This project will be run by RUSI’s National Security and Resilience group, which comprises academics, former policy-makers and practitioners. The team has an established track-record of research into organised crime, illicit financial flows, governance and development, particularly in East Africa – where it established a permanent base in 2013.</p> <p>From Nairobi, it has overseen training of law-enforcement agencies as part of multi-year EU programmes. RUSI also has experience conducting primary research into the IWT in Kenya, including research examining its links with organised crime – the findings of which were launched by William Hague, RUSI’s Chairman, in 2015. RUSI’s expertise in financial crime is attested by its Centre for Financial Crime and Security Studies, which has conducted work on the financing strategy of Al-Shabaab.</p> <p>In this project, RUSI will bring together this multi-disciplinary expertise to manage the project, oversee and contribute to the strategic assessment, design and delivery of training, deliver the final report and manage all M&amp;E.</p>

<b>Partner Name:</b>	<b>INTERPOL</b>
<b>Website address:</b>	<b>www.interpol.int</b>
<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>	<p><b>INTERPOL has developed a strong and growing focus on environmental crime and security through its Environmental Security Sub-Directorate. Since the late 2000s it has sought to address wildlife crime as a serious international problem, developing Project Wisdom in 2014 to build a comprehensive law-enforcement effort that identifies, disrupts and dismantles the transnational criminal syndicates involved. The focus of Project Wisdom is on elephants and rhinos in Eastern and Southern Africa. Here, INTERPOL leads regional operations to dismantle wildlife-trafficking networks through intelligence-driven investigations. It also provides training to law-enforcement and other agencies at national and regional levels, and coordinates international best-practice.</b></p> <p><b>INTERPOL will play a vital role in this project and has been integral to its design and conception. INTERPOL has long recognised the capacity gap around the illicit financial flows generated by organised wildlife crime, but lacks the expertise to address this. RUSI has defined a project that will fill this gap, with training subsequently incorporated into guided INTERPOL investigations over the next three years. In this project INTERPOL will be responsible for designing convening and facilitating training during Work Package 2, and will feed into Work Package 3.</b></p>
<b>Have you included a Letter of Support from this organisation?</b>	<b>Yes X No <input type="checkbox"/></b>

<b>Partner Name:</b>	<b>Environmental Investigation Agency (EIA)</b>
<b>Website address:</b>	<b><a href="https://eia-international.org">https://eia-international.org</a></b>
<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>	<p><b>EIA is an international NGO established in 1984 to expose and combat environmental crime. One of EIA's main areas of work is documenting the illegal trade in elephant ivory, an endeavour it has engaged in since the late 1980s. EIA has over 30 years of experience investigating the ivory trade, with a focus on East Africa and its links to end-markets in East Asia. During this time, EIA has built up unrivalled knowledge of ivory-smuggling routes, methods, channels and the identities of key networks and culprits. Throughout its operations, EIA has assisted law-enforcement agencies in their investigations through the provision of actionable intelligence and the production of tailored training materials.</b></p> <p><b>EIA's roles and responsibilities within this project will come in the assessment (Work Package 1) and training phases (Work Package 2). First, EIA's expertise and in-depth knowledge of the patterns and dynamics of the IWT in Kenya and Tanzania – as a baseline for tracking associated illicit financial flows – will inform the delivery of high-quality research and analysis. Second, EIA's investigatory expertise in sourcing actionable intelligence will see the Agency provide tailored modules on training courses organised in both Kenya and Tanzania.</b></p>
<b>Have you included a Letter of Support from this organisation?</b>	<b>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></b>

<b>Partner Name:</b>	<b>Mars Omega LLP</b>
<b>Website address:</b>	<a href="http://www.marsomega.com">www.marsomega.com</a>
<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>	<p><b>Mars Omega LLP is a consulting firm providing intelligence solutions to collate, link, evaluate and visualise information on complex operating environments, including in the fight against the IWT. Mars Omega stores information it collects in JIGZAW, an advanced database and intelligence analyst's interface developed by the organisation. This acts as a common repository of knowledge to allow the extraction of meaningful insight from multiple sources. Mars Omega has operated in East Africa for five years, supplying JIGZAW free-of-charge to Northern Rangelands Trust conservancies in Kenya. It provides ongoing assistance in its use, which has proven highly beneficial against poaching and trafficking in this area.</b></p> <p><b>Mars Omega's role and responsibilities in this project fall within the assessment phase (Work Package 1). Here it will add expertise on the IWT in East Africa and share its existing database on wildlife trafficking and financial flows. It will provide its JIGZAW system to capture, evaluate and link information gathered by the team through open and closed sources. Mars Omega will manage the deployment of this system, ensuring that the team can extract the essence of information gathered to generate a comprehensive assessment of illicit money flows linked to the IWT in the focus area.</b></p>
<b>Have you included a Letter of Support from this organisation?</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

<b>Partner Name:</b>	<b>Standard Chartered Bank (pro bono)</b>
<b>Website address:</b>	<b>www.sc.com</b>
<b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b>	<p><b>Standard Chartered is an international bank focused on the established and emerging markets of Asia, Africa, the Middle East and Latin America. It has an extensive global network of more than 600 offices in over fifty countries. It provides financial services across East Africa, has an extensive footprint in the region, and maintains strong contacts with law-enforcement, regulatory and compliance industry experts in the region and beyond.</b></p> <p><b>The pro-bono contribution of Standard Chartered’s Financial Crime Intelligence and Investigations Unit will make a significant contribution to this project. The Unit conducts analysis on major emerging financial crimes, undertaking deep-dive investigations into emerging risks. It produces strategic assessments, transaction-level analysis, and identifies high-risk industries and client sub-segments in its areas of focus. A key emphasis of the Unit is currently on illicit financial transactions linked to the IWT.</b></p> <p><b>Standard Chartered will feed into this project by undertaking a detailed, transaction-level assessment of financial flows deriving from wildlife crime in East Africa. This will be shared, within the parameters of privacy regulations, with the project team, contributing to the threat assessment produced in Work Package 1. Standard Chartered will also contribute expertise to the design of training courses during Work Package 2.</b></p>
<b>Have you included a Letter of Support from this organisation?</b>	<b>Yes X No <input type="checkbox"/></b>

## 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?
Tom Keatinge	Project Leader	13	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Cathy Haenlein	Project Manager	36	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Sasha Jespersen	Research Analyst (IWT and Financial Crime)	29	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
David Artingstall	Lead Financial Investigator	13	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Mary Rice	Wildlife-Crime Investigator and Trainer	7	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Henri Fournel	Criminal Intelligence Trainer	2	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Tom Maguire	Research Analyst (IWT)	4	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Ines Sofia de Oliveira	Research Fellow (Financial Crime)	5	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Martine Zeuthen	Monitoring and Evaluation Specialist	10	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Athanace Burugeyea	Criminal Intelligence Officer and Trainer	7	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Alison Brown	Criminal Intelligence Analyst	7	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.

<b>1. Elephant</b>	<b>2. Rhinoceros</b>
<b>3.</b>	<b>4.</b>
<b>Other species</b>	

## 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)

This project addresses the low-risk financial environment that allows criminal and corrupt actors to earn vast profits from the IWT. Specifically, it enhances capacity to enforce wildlife-linked anti-money laundering legislation in Kenya and Tanzania – and to prosecute on this basis.

This is urgently needed: the IWT is now the fourth-largest illicit activity worldwide, generating annual revenues of \$7–23billion. Little is known about these illicit money flows in source and transit areas. The Global Center on Cooperative Security's comprehensive March 2015 report on IFFs in East Africa mentioned wildlife crime just once. In East Africa, financial investigatory capacity remains limited, with Kenya and Tanzania singled out in the early-2010s by FATF for strategic money-laundering and counter-terror-finance (AML/CFT) deficiencies, including those linked to the IWT.

Both governments have since shown genuine political will to meet international standards. Yet limited awareness of AML/CFT risks amongst law-enforcement and judicial authorities impedes financial investigations and prosecutions. This low-risk environment contributes to East Africa's status as the largest poaching and trafficking hub for ivory – and an important hub for rhino horn. Kenya and Tanzania accounted for 64% of all large ivory seizures from 2009-11. The impact on animal populations has been severe: Tanzania has lost 60% of its elephants since 2009, for example. In both countries, poaching now significantly exceeds birth rates, threatening these species' survival.

Wildlife-linked IFFs also have devastating impacts on governance and development. Global Financial Integrity calculates that Africa as a whole loses \$60billion annually

through IFFs – dwarfing inflows of Overseas Development Assistance. Beyond undercutting global poverty-alleviation efforts, these flows hollow out national institutions, financial resource bases, and the state’s ability to provide public services. The poorest, least-resilient members of society are most heavily affected. In Kenya and Tanzania, wildlife losses simultaneously dispossess communities whose survival strategies rely upon wildlife tourism.

### 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)

In designing this project, the team has closely analysed other initiatives aimed at improving AML/CFT skills in Kenya and Tanzania. These include the EU’s AML/CFT in the Horn of Africa programme; UNODC’s Financial Intelligence Unit training and Global Programme against Money-Laundering, Proceeds of Crime and the Financing of Terrorism; and the EU–US common strategic work plan on AML/CFT in the Horn of Africa, amongst others.

None of these has focused explicitly or in depth on financial crime linked to wildlife offences. This project is the first to bring together actors addressing the IWT from the law-enforcement, wildlife, financial and justice sectors – to build investigative and prosecutorial capacity specifically around wildlife-linked IFFs. While complementing and co-ordinating with broader initiatives, the project provides focused training on the particular financial red flags associated with the IWT. Given the peculiarities of this pernicious trade, tackling its financial component requires its own tailored approach – incorporating expertise from a range of partners, as follows.

#### Work Package 0: Project Management

The project will be managed by RUSI and implemented with INTERPOL and EIA, with input from Standard Chartered’s Financial Crime Intelligence Investigations Unit, and Mars Omega. The project leader will be responsible for strategic direction, financial management and coordination, with PRINCE2 project-management principles applied by the project manager to guide delivery.

#### Work Package 1 (Output 1): Strategic Assessment

The dearth of analysis on IFFs linked to the IWT in Kenya and Tanzania will be



addressed through a three-month strategic assessment of the scale, dynamics and impacts of wildlife-linked IFFs. RUSI, with EIA and lead financial investigator David Artingstall, will conduct this analysis, building typologies based on financial profiling shared by Standard Chartered, desk-based research and interviews with relevant agencies. High-quality analysis will be ensured through use of the intelligence-analysis tool JIGZAW, shared by Mars Omega. The second phase of assessment will map the capacity of Kenyan and Tanzanian wildlife, law-enforcement, customs, financial and justice institutions to respond to these flows. Specific strengths and weaknesses will be determined in relation to the threat – to be analysed in a preliminary report to guide the design of training.

#### Work Package 2 (Output 2): Multi-Agency Training

Based on this assessment, a tailored training programme will be designed and delivered over six months by RUSI, INTERPOL and EIA, with specialist input on AML/CFT supervision and financial-investigation techniques from David Artingstall, Tom Keatinge and Standard Chartered. Training will be delivered to carefully identified participants in four, week-long multi-agency programmes by David Artingstall, RUSI, EIA and INTERPOL analysts, criminal and financial-intelligence officers. The first two sessions (in each target country) will cover foundation-level, strategic training engaging heads of services, financial and field investigators from police, wildlife, customs and justice departments, incorporating vital anti-corruption components. The second two sessions (in each country) will provide intermediate-level, technical training, with financial intelligence units, local financial institutions and money-service businesses engaged alongside governmental authorities to facilitate the private-public partnerships vital to responding effectively to suspicious transaction reports.

Beyond building technical expertise directly, emphasis will be placed on the collaborative establishment and documentation of sustainable operating procedures and frameworks for co-operation across agencies and national borders. Following and around these training sessions, parallel investigative work outside the project, under Project Wisdom, will involve INTERPOL overseeing live investigations in which new systems put in place are used and tested by participants. In the final quarter, a fifth and final week-long training course will bring together at a transnational level participants in Kenyan and Tanzanian training, including those who have put systems developed into use. This will allow participants to review how and where financial evidence-gathering on operation has secured evidence required for prosecution. Lessons learned and best practice will be registered, incorporated into operational procedures, and analysed during Work Package 3.

#### Work Package 3 (Output 3): Evaluation, Report Writing and Dissemination

This work package responds to the project's design as a pilot to develop evidence-based best-practice around capacity-building to investigate wildlife-linked IFFs. The political will in Kenya and Tanzania to meet AML/CFT standards makes these suitable test cases for piloting a new approach – and the core focus of the final work package will thus be on continuous M&E to draw out lessons and recommendations for broader programming. Following completion of training, lessons learned will be analysed over a

two-month period and recommendations compiled by RUSI into a full report, building on the preliminary threat-assessment produced (Output 1). This will provide evidence and specific recommendations to key stakeholders, communicated and distributed through a major conference and multidimensional cross-regional dissemination strategy.

## 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 project's primary beneficiaries will be the recipients of training through an increase in their capacity to trace, investigate and prosecute money laundering linked to the IWT. In Kenya, these include carefully selected individuals from the Kenya Police, Kenya Revenue Authority (Customs Services Department), Kenya Ports Authority, Kenya Wildlife Service, Financial Reporting Centre, prosecutors and the judiciary. In Tanzania, they include selected individuals from the Tanzanian Police, Tanzania Revenue Authority (Customs department and Tanzania Ports Authority), Tanzania Wildlife Division, Tanzania National Parks Authority, Tanzania Financial Intelligence Unit, Prevention and Combating of Corruption Bureau, prosecutors and the judiciary.

Five weeklong training sessions will each benefit 15-20 individuals within these agencies. The tangible benefit to these institutions – and to the broader fight against the IWT – will be greater technical expertise, standard operating procedures to guide financial investigations and prosecutions, and documented guidance to inform future internal training. Cross-border cooperative frameworks will be formalised, with further benefit through increased capacity to track wildlife criminals across borders. These benefits will be monitored through the verification methods detailed in the logical framework.

In the fight against a major form of transnational organised crime, the facilitation of these frameworks has greater power than the simple numbers of individuals trained. Indeed, the enhanced capacity to counter wildlife-linked IFFs will have positive implications for a range of other beneficiaries. First, enhanced investigations and prosecutions will disrupt the trade's criminal and corrupt facilitators – potentially also uncovering broader criminal activities conducted through the same channels and

networks. This will facilitate the work of other enforcement actors and encourage cross-sectoral information-sharing. On the IWT specifically, the disruption of criminal networks will reduce contracting down the chain, including the hiring of local poachers to source ivory and rhino-horn. This will contribute to a drop in poaching, including in major source areas like Laikipia-Samburu, Tsavo, Ruaha-Rungwa and Selous.

This will benefit citizens across both countries in a number of ways. First, by reducing illicit financial outflows, it will ensure that these funds remain in country, to the advantage of ordinary citizens. Here the comparison between the value of a living versus a dead elephant is telling. According to one calculation by iWorry, alive a single elephant can contribute up to \$annually to the tourism industry – around \$ over its lifetime, compared to an average one-off total of \$for its tusks (in end markets). In Kenya, wildlife tourism generates % of GDP, 300,000 jobs, and raised \$ in national-park entrance fees in 2012 alone. This project will reduce the risk to this important source of GDP by halting the decline of the very attraction on which it depends. This benefit will be monitored by tracking these figures – and the beneficiaries they accrue to – in both countries.

This contribution is particularly important in source areas where high levels of poverty persist and survival strategies are underpinned by tourism. For example, according to the Kenyan government's Economic Survey 2014, poverty rates in Isiolo, Samburu and Marsabit – counties around Laikipia-Samburu, one of Kenya's two core ecosystems – range from 65-76%, compared to 45% at national level. In closest proximity to wildlife in this area, an estimated 280,000 people in community conservancies rely on wildlife-tourism incomes, with development strategies based on a tourism-centric conservancy model. Reducing poaching by increasing capacity to disrupt trafficking networks will halt the erosion of these livelihoods and enhance security. RUSI will monitor these impacts with local and international organisations operating in source areas, including, for example, Northern Rangelands Trust, which analyses community-level data and with which RUSI maintains a positive relationship.

Meanwhile Kenyan and Tanzanian citizens both in and beyond immediate source areas will benefit from the reversal of the hollowing out of the state engendered by IFFs linked to wildlife crime. This will occur as these flows' negative impacts on governance, rule of law and public finances decline. This will enhance public confidence in state institutions and improve provision of public services – to the benefit of all citizens, particularly the most vulnerable. With the Kenyan population now over 44million and Tanzania's over 49million, this benefit will be felt by significant numbers.

Finally, the project's contribution to understanding IFFs linked to wildlife crime, generating best-practice in tackling them and documenting and sharing lessons amongst policy and practitioner communities will produce further beneficiaries. These include those in other source and transit countries who could, as a result of this project, benefit from its future expansion and the embedding in national planning and other initiatives of its learning and recommendations.

## 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)

In line with the UK's International Development (Gender Equality) Act and Sustainable Development Goal 5, the team has considered in detail this project's potential impact on gender equality. A number of benefits are foreseen. The assessment phase (Work Package 1) will comprise research not only into the dynamics and scale of IFFs deriving from wildlife trafficking, but also into their impacts. These impacts will be analysed at local and national level, with data assessed and disaggregated based on these flows' impact on gender equality. JIGZAW software will be used to collate and link information gathered to facilitate this task. The result will be a comprehensive picture of the economic, political and social-development impacts of IFFs, with an emphasis on enhancing knowledge of their differential impacts on men and women. This picture will be vital to national and international planning that takes account of gender-related differences in the needs of those affected by wildlife-linked IFFs.

This analysis will also feed into design and delivery of training. Modules on the impacts of IFFs and on building systems to disrupt them will explicitly incorporate gender considerations – and will emphasise their importance. The selection of participants in training will also take place mindful of gender-related differences in the makeup of relevant agencies, with the impact of activities on gender issues monitored throughout.

Finally, monitoring and evaluation of the project's impact, as part of its M&E plan and specifically as part of Work Package 3, will incorporate gender considerations. Monitoring activities, as outlined in the logical framework, will disaggregate beneficiaries according to gender, both directly within government agencies, and indirectly in source areas. In line with this, consideration of gender differences will be built clearly into the analysis and documentation of best practices and recommendations, with a potentially significant impact on future programming.

## 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)

The key species threatened by the IWT in Kenya and Tanzania are elephants and rhinos. Estimates suggest that Kenya's elephant populations are now as low as 33,000, whilst Tanzania's are down to 43,330. The two countries are thought to possess little

over 1,000 rhinos between them. By increasing the risk of financial interception and addressing the impunity with which most high-level traffickers operate, the project will deter and disrupt their involvement – thus reducing these species’ vulnerability to poaching. This will contribute to their long-term recovery, particularly in core ecosystems like Laikipia-Samburu, Tsavo and Selous, amongst others. These areas have suffered dramatic recent losses. In Selous, elephant populations fell by a full 66 per cent in four years, down to 13,084 in 2013, from 38,975 in 2009 – and 100,000 in 1976. Long-term recovery will occur as Proportion of Killed Elephant (PIKE) rates decline in relation to birth rates – with such a recovery applying similarly to rhino populations. Other lesser-known species vulnerable to poaching will experience similar benefits. Finally, with Kenya and Tanzania both key transit as well as a source countries, the greater financial risk involved in wildlife trafficking will have a positive impact on animal populations from neighbouring source countries.

## 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 project has been designed with INTERPOL, based on a longer-term needs-assessment. This has clearly identified the need for a targeted intervention to establish locally tailored systems to tackle wildlife-linked financial crime typologies on the ground. The project responds to this need and is specifically designed to be of longer-term impact beyond its formal end-point.**

**During training, emphasis will be placed on collaboratively developing sustainable and locally tailored operating procedures, cooperative frameworks and information-sharing systems for use across agencies and borders. As part of the training, these systems and the technical expertise they embody will be formally documented by participants to produce official training manuals and guidance for internal training, within and between agencies, going forward. The systems developed will be mainstreamed into best practice across agencies and passed on to new staff as they join.**

**The project is also designed in such a way that the expertise and systems developed will not be merely theoretical exercises but will be enacted in live investigations alongside and beyond the training. This will be overseen by INTERPOL based on its involvement in the courses, with procedures developed as part of the project also incorporated into INTERPOL best practice and training going forward.**

## 18. Funding

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

(Max 200 words):

**This is a new pilot initiative. It has been conceived in collaboration with INTERPOL and other agencies in response to pressing capacity gaps within wildlife, law-enforcement, customs and justice departments in relation to investigating and prosecuting wildlife-linked IFFs.**

**Following the money linked to wildlife crime has been identified as a key means to enhance investigation and prosecution rates in the fight against the IWT. Capacity building conducted will be supported through parallel investigatory work led by INTERPOL beyond the scope of this project, in which training and procedures developed will be utilised and reinforced.**

**The strong M&E component in the project is designed to evaluate the approach piloted, drawing out best practice, lessons and recommendations to inform broader programming and the potential expansion of the project to other source and transit countries in which financial intelligence capacity is lacking.**

**As such, though a new initiative, it is designed through detailed analysis of ongoing capacity support delivered by other agencies, filling a specific gap in that activity. It is also designed to ensure that its contribution feeds into ongoing support by other agencies going forward.**

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

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:

**As noted above, the team has closely analysed other initiatives focused on improving AML/CFT skills in Kenya and Tanzania. These include the EU's AML/CFT in the Horn of Africa programme; the EU-funded Critical Maritime Routes Law Enforcement Capacity Building (CRIMLEA), which includes a focus on the capacity to investigate the financing of criminal networks; the European Development Fund's Programme to Promote Regional Maritime Security, with a similar IFF-focused component; UNODC's Financial Intelligence Unit training and Global Programme against Money-Laundering, Proceeds of Crime and the Financing of Terrorism; and the EU-US common strategic work plan on AML/CFT in the Horn of Africa.**

**As noted, a specific and in-depth wildlife-crime focus is missing from these programmes. This is a vital omission given the highly specialised nature of wildlife crime and the financial flows deriving from it. This project will fill this gap by providing tailored training on detecting and prosecuting IFFs linked specifically to the IWT and their particularities. It will, at the same time,**

**complement these programmes by highlighting circumstances in which overlaps with other forms of money laundering are likely to exist, and where other procedures and capabilities put in place should be activated.**

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

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.

N/A

## 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:

**RUSI has secured in-kind funding through the commitment of facilities and specialist work on the project equivalent to from Standard Chartered Bank and INTERPOL. Standard Chartered Bank's Financial Crime Intelligence and Investigations Unit is particularly well-placed to contribute to the project's analysis of financial flows through East Africa, given the bank's extensive footprint and provision of financial services in Kenya and across the region. Standard Chartered's Head of Financial Crime in the region maintains strong**

contacts with law-enforcement, regulatory agencies and compliance industry experts across East Africa, enabling a nuanced understanding of financial crime typologies detected on the ground. The Financial Crime Intelligence and Investigations Unit – which regularly conducts analysis on major emerging financial crimes – holds the legal and technical authority to conduct deep-dive investigations of emerging risks, to include strategic assessments, transaction-level analysis, and identification of industries or client sub-segments that are particularly high risk. Standard Chartered has committed to conduct a 15-day in-depth multi-source analysis – worth £– to feed into the IWT Challenge Fund project. This will contribute significantly to the overall threat assessment produced in Work Package 1.

INTERPOL will also provide donations in kind – equivalent to £ – through both staff time and the use of its Regional Bureau in Nairobi to conduct training courses in Kenya. The sustainable impact that the training provided in the IWT Challenge Fund project will have on Kenyan and Tanzanian capacity – and thus on INTERPOL’s ongoing work with law-enforcement agencies to enhance cross-border investigations – has informed INTERPOL’s decision to contribute substantial manpower to the project. Specifically, INTERPOL will contribute a criminal intelligence officer, criminal intelligence analyst and senior coordinator from its Environmental Security Sub-Directorate to the design, delivery and coordination of training. Following and alongside this, beyond the scope of the IWT Challenge Fund project, INTERPOL will support the enactment of procedures developed through concerted field operations, possibly under one or several investigation support teams. This will be invaluable to the IWT Challenge Fund project – enhancing the quality of feedback, discussion, evaluation and review in the final transnational training session held in Nairobi in the final quarter of the project.

**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)

**N/A**

## **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)

**N/A**

## **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)

**RUSI believes that this proposal offers very good value for money in terms of the scale of the impact it will have relative to cost inputs. It is a clear case of an intervention that would not otherwise have occurred given the absence of other programmes looking to build financial capacity across agencies and borders specifically to disrupt wildlife crime – and INTERPOL’s lack of capacity to deliver a substantial package of specialist anti-money laundering training itself.**

**RUSI’s convening power, networks and expertise in both financial security and the IWT will contribute to filling this gap in a distinct, targeted project – designed to contribute positively to future investigative work, with and without INTERPOL guidance. By mainstreaming the expertise, operating procedures and protocols developed into standard practice, the training will have long-term impact as its results are built upon in national planning. Confirmed in-kind funding from Standard Chartered and INTERPOL further increases the project’s value for money, indicating the high value with which it is viewed by these partners.**

**Meanwhile, the in-depth assessment of IFFs linked to the IWT presents value for money not just in the vital input it provides to the design of training in this project. It also addresses a significant knowledge gap that prevents broader efforts – both national and external – from effectively addressing these flows. The publication and sharing of the findings, and indeed of the best practice developed during training, thus presents further value for money in the potential**

**future impact that this will have.**

## **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)

In designing this project, the need to ensure ethical development project implementation practice has been carefully considered. In detailed project design and delivery, the team will ensure that the project meets all legal and ethical obligations of the UK, Kenya and Tanzania. The team will ensure the full agreement and support of all governmental and other parties required for successful project delivery; INTERPOL already possesses Memoranda of Understanding with many of the relevant agencies. In project design, sensitivities around conducting training with government agencies on potentially delicate topics have been considered and will feed into the careful selection of participants and the design and delivery of training.

Great importance will be attached to the involvement of participants in training as equals, including in developing sustainable and context-sensitive operating procedures and protocols. Close cooperation with relevant domestic parties will also be ensured during the assessment phase, in mapping out strengths and weaknesses in tackling wildlife-linked IFFs, and in the design of training.

During all phases, the project will respect the rights, privacy and safety of participants. During the assessment phase, involvement in the project's research will be fully explained, with prior informed consent required. Participation will be kept confidential and anonymous unless there is prior agreement to the contrary – allowing participants to speak freely and granting the team a better understanding of the issues, particularly the role of corruption. Throughout, the project team will be responsible for the complete health and safety of all staff and participants, of all nationalities.

## **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)

In line with DfID's Research Open and Enhanced Access Policy, the project will ensure that research outputs are made available freely online – to maximise their visibility and impact. The project's full Access and Data Management Plan can only be summarised

in the prescribed word count, as follows.

The Plan will be managed by the Project Leader. The project's principal output will be a final 10,000-word report published under Creative Commons license. This will be published as a RUSI Occasional Paper, prepared for open access with DfID branding, and professionally edited by RUSI's in-house Publications team. This process forms an integral part of RUSI's in-house open-access plan and has been budgeted for to standard RUSI costings of £, including 500 printed copies for distribution to key stakeholders. This process is vital to ensuring the goals of DfID's Research Open and Enhanced Access Policy, namely the global uptake of DfID-funded research. It will ensure clarity, integrity and accessibility of written communication for the benefit of researchers, practitioners, governments and civil society seeking to access the findings.

The report will be added to R4D and other suitable repositories. Maps, diagrams and images generated through the assessment of IFFs will be included in the digital output at a minimised size, to increase their accessibility to users with poor Internet connectivity. All further opportunities will be taken to make the research visible and increase its uptake worldwide. A multidimensional promotion and dissemination strategy will be designed to guide this process by RUSI's in-house Communications professionals.

## 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)

**A reduction in the illegal ivory and rhino-horn trade and poverty alleviation in Kenya and Tanzania through more effective investigation and prosecution of financial crime underpinning the IWT.**

## 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)**

**Training provided improves Kenyan and Tanzanian agencies' capacity to investigate and prosecute financial crime tied to the IWT. This will deter and disrupt criminal trafficking networks, leading to a fall in poaching and rise in wildlife tourism, benefiting local communities. It will also generate best-practice for wildlife-linked financial capacity-building elsewhere.**

## 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).

<b>Indicator 1</b>	<b>By January 2017, all participants in financial intelligence training in Kenya and Tanzania have improved understanding of the dynamics of wildlife-linked illicit financial flows and enhanced capacity to track, investigate and prosecute on this basis – as judged by pre- and post-training evaluation forms and follow-up surveys.</b>
<b>Indicator 2</b>	<b>By April 2017, financial intelligence training provided and the standard operating procedures for financial investigations developed is enacted on 100% of new investigations opened in Kenya and Tanzania.</b>
<b>Indicator 3</b>	<b>Prosecutions of high-level traffickers on the basis of financial intelligence rise significantly from the current negligible level to a situation in April 2017 whereby 60% of arrests of high-level traffickers lead to conviction through the production of financial evidence able to stand up in court.</b>

<b>Indicator 4</b>	<b>Arrests of poachers are tracked up the chain on the basis of financial intelligence in a growing number of cases – from the current negligible level to a situation in 2017 whereby all poachers arrested are questioned on the financial flows deriving from their activities, resulting in further arrests in 25% of cases.</b>
<b>Indicator 5</b>	<b>Inter-agency and cross-border cooperation increases from the current unsystematic and unquantifiable rates to occurring systematically according to a standardised procedure whereby counterparts in relevant agencies are informed in 100% of relevant cases by April 2017.</b>
<b>Indicator 6</b>	<b>By April 2017, 100% of relevant personnel entering the departments of agencies involved in training are inducted to use the new financial intelligence systems, cooperative frameworks and standard operating procedures put in place.</b>

### 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.

<b>Indicator 1</b>	<b>Results of pre- and post-training evaluation forms completed by participants; results of follow-up surveys to measure the impact of the training on standard operating procedures; usage records and population of IT systems put in place during training; INTERPOL records based on ongoing engagement with these services; project notes and M&amp;E record of implementation and results of training; participant contribution and feedback.</b>
<b>Indicator 2</b>	<b>Results of follow-up surveys of participants to measure the impact of the training on operating procedures and investigations; records of police forces, justice ministries, customs authorities, wildlife services; external surveys, analyses and needs assessments; INTERPOL records based on ongoing engagement with these services; financial institutions' records of requests for information from relevant agencies; usage records and population of IT systems put in place during training.</b>
<b>Indicator 3</b>	<b>Prosecution rates; court records; annual reports of Kenyan and Tanzanian wildlife, police, customs and justice departments; financial institutions' records of requests for information from relevant agencies; newspaper articles; assessments by external research institutes and NGOs; journal articles on successful prosecutions in law and environmentally focused journals.</b>
<b>Indicator 4</b>	<b>Police and wildlife service records; newspaper articles; surveys, analyses and needs assessments by external research institutes, intergovernmental organisations and NGOs; poachers' accounts and testimonies.</b>
<b>Indicator 5</b>	<b>Records of police forces, justice ministries, customs authorities, wildlife services; records of financial institutions; newspaper articles; capability assessments by independent research institutions and NGOs.</b>
<b>Indicator 6</b>	<b>Internal records of police forces, justice ministries, customs</b>

	<b>authorities, wildlife services; external surveys, analyses and needs assessments; INTERPOL records based on ongoing engagement with these services; usage records and population of IT systems put in place during training.</b>
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### 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	The Kenyan and Tanzanian governments remain committed to improving their AML/CFT regimes to meet international standards, and remain committed to the fight against wildlife crime.
Assumption 2	Increased numbers of effective investigations and prosecutions in Kenya and Tanzania create a sufficiently high-risk environment to result in fewer instances of poaching and trafficking.
Assumption 3	Reduced poaching rates will lead to higher numbers of elephants and rhinos in Kenya and Tanzania.
Assumption 4	Increased numbers of elephants and rhinos will result in an increase in wildlife tourism in Kenya and Tanzania.

### 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	A new comprehensive strategic assessment increases knowledge of the problem to be tackled, accurately identifies the scale and dynamics of illicit financial flows deriving from the IWT in Kenya and Tanzania, and documents the capacity of relevant authorities to tackle these.
Output 2	Relevant financial, field and other officers from wildlife services, police forces, customs authorities and justice institutions in Kenya and Tanzania are specifically trained to more effectively collect and share financial intelligence to facilitate high-level investigations and prosecutions.
Output 3	Best-practice and lessons learned are generated, and recommendations made, for building capacity in investigating illicit financial flows linked to the IWT – to feed into effective future programming.

### 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	
<b>Indicator 1</b>	The current highly limited picture of the shape of illicit financial flows connected to the IWT is replaced by a clear, high-quality, multi-source analysis of wildlife-linked IFFs and the capacity that exists to tackle them in Kenya and Tanzania – formally published and shared as an accessible open-source resource by April 2017.
<b>Indicator 2</b>	The resource developed is widely referenced and cited by other domestic and international studies, and other projects have incorporated its findings and sought to address them by April 2018.
<b>Indicator 3</b>	The outcomes of the assessment are recognised by relevant international and governmental agencies and incorporated into national and international planning by January 2018, where there had previously been little evidence to feed into priority setting and policy making.

Output 2	
<b>Indicator 1</b>	The 5 weeks of multi-agency training is conducted which provides relevant actors from the police force, wildlife services, customs authorities and justice departments, as well as financial institutions, in Kenya and Tanzania with the skills to investigate IFFs linked to the IWT by January 2017, as judged by results of pre- and post-training and follow-up evaluations and other indicators (see below).
<b>Indicator 2</b>	2 sets of formal standard operating procedures, dedicated networks and cooperative frameworks are set up, formally documented and fully operational by 2017, where formerly these processes were patchy and unstandardised.
<b>Indicator 3</b>	Relevant actors from the two countries' police forces, wildlife services, customs authorities and justice departments enact the financial training received during 100% of guided live investigations conducted in collaboration with INTERPOL up to April 2017.

Output 3	
<b>Indicator 1</b>	By April 2017, a final formally published end report documents and communicates best practice and lessons learned, with recommendations made for building financial intelligence capacity around the IWT both in East Africa and beyond.
<b>Indicator 2</b>	By April 2017, training provided, best-practice, operating procedures and cooperative frameworks established are incorporated into accessible and effective manuals for ongoing and future internal use by INTERPOL.
<b>Indicator 3</b>	The collaborative production of best-practices and lessons learned feeds into planning and prioritisation by the agencies engaged and by relevant international agencies – and is incorporated into national planning by January 2018, where there had previously been little



	awareness of this to feed into priority setting.
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## 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.

Output 1	
<b>Indicator 1</b>	Results of the analysis of these flows and the capacity to assess them formally published and made accessible online as part of the final report; newspaper articles and coverage of the report's launch by wildlife, organised crime, security and law-focused organisations; download and accessed rates from open-access platforms.
<b>Indicator 2</b>	Citations of the report in wildlife, organised crime, security and law-focused journals, publications and websites; citations of the report in other research and practical projects implemented in East Africa and beyond; newspaper articles.
<b>Indicator 3</b>	Kenyan and Tanzanian national planning documentation; policy documents; annual reports of the relevant government departments; project documentation and annual reports of intergovernmental organisations; newspaper articles; journal articles.

Output 2	
<b>Indicator 1</b>	Number of weeks of multi-agency training provided on IFFs linked to the IWT in Kenya in 2016/17 (baseline = zero); number of weeks of multi-agency training provided on IFFs linked to the IWT in Tanzania in 2016/17 (baseline = zero); project notes and M&E record of implementation and results of training; final report on lessons learned and recommendations; participant feedback; internal agency reports; investigation and prosecution rates; relevant agencies' annual reports.
<b>Indicator 2</b>	Number of formal standard operating procedures, dedicated networks and cooperative frameworks set up; internal agency reports on implementation and usage; financial institutions' records of requests for information from relevant agencies; usage records and population of systems put in place during training.
<b>Indicator 3</b>	INTERPOL records; internal agency records of outcome of investigations; court records; journal articles; newspaper articles and news reports.

Output 3	
<b>Indicator 1</b>	Project report documenting best-practices, lessons learned and recommendations formally published and made accessible open access; newspaper articles and coverage of the report's launch by wildlife, organised crime, security and law-focused organisations; download and accessed rates from open-access platforms.
<b>Indicator 2</b>	Number of INTERPOL manuals produced as a result of training in Kenya and Tanzania; internal reports by wildlife, law-enforcement, customs and justice departments.
<b>Indicator 3</b>	Kenyan and Tanzanian national planning documentation; policy documents; annual reports of relevant government departments; project documentation and annual reports of intergovernmental

organisations; newspaper articles and reports; journal articles.
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## 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).

<b>Assumption 1</b>	The security situation in selected project areas will allow project activities to take place.
<b>Assumption 2</b>	Beneficiaries of training will have sufficient capacity to absorb and implement new approaches and will be open to public-private, inter-agency and cross-border training and co-operation.
<b>Assumption 3</b>	Relevant financial institutions in Kenya and Tanzania see the value of participation in the project and are prepared to engage.
<b>Assumption 4</b>	Capacity-building and training efforts will be sufficiently dynamic to respond to any legislative and regulatory changes at the national and regional levels.
<b>Assumption 5</b>	In-depth vetting and knowledge on the part of project partners allows for the selection of appropriate participants.

## 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	
<b>Activity 1.1</b>	Strategic assessment of the scale and dynamics of illicit financial flows linked to the IWT based on desk-based research, fieldwork and interviews, using JIGZAW analysis tool.
<b>Activity 1.2</b>	Mapping exercise analysing and documenting capacity in wildlife, law-enforcement, customs, financial and justice institutions in Kenya and Tanzania to tackle wildlife-linked illicit financial flows – based on desk-based research, fieldwork and interviews.
<b>Activity 1.3</b>	Development of typologies, analysis and documentation of findings in preliminary research report, for later publication within the project's final report.

Output 2	
<b>Activity 2.1</b>	Collaborative design, production and sharing of training modules with all partners involved in training development and delivery, and relevant Kenyan and Tanzanian agencies.
<b>Activity 2.2</b>	Delivery of four, week-long hands-on multi-agency training courses in Kenya and Tanzania – two foundation-level (strategic), two intermediate-level (technical). During the training courses, design and documentation of training manuals, collaborative production of standard operating procedures and cooperative frameworks and systems to

	endure beyond the training's end.
<b>Activity 2.3</b>	Organisation of a fifth, transnational-level training course, bringing together participants in earlier courses – with the purpose of reviewing the systems put in place, which will have since been utilised on guided INTERPOL and other live investigations. Incorporation of lessons learned and suggestions for refining operating procedures and cooperative frameworks.

Output 3	
<b>Activity 3.1</b>	Analysis of lessons learned and best practice derived from project reporting, monitoring and evaluation over the course of activities 2.2 and 2.3 in collaboration with partner organisations and participants.
<b>Activity 3.2</b>	Drafting of full report – expanding upon the preliminary report produced in Activity 1.3 and incorporating best-practice, lessons learned and recommendations for investigating and prosecuting illicit financial flows linked to the IWT in the region and beyond in future programming.
<b>Activity 3.3</b>	Formal professional editing, production and printing of the report as a RUSI Occasional Paper, organisation of its launch at a dedicated and publicised major conference, and distribution via a multidimensional inter-regional dissemination strategy.

**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	1	Desk research, consultation, fieldwork, interviews							
1.2	1	Desk research, consultation, fieldwork, interviews							
1.3	1	Production of typologies and preliminary report							
Output 2									
2.1	1		Design and production of training modules						
2.2	5		Delivery of training (foundation)	Delivery of training (intermediate)					
2.3	1				Delivery of final review and training session (transnational)				

Output 3									
3.1	0.5				Analysis of lessons learned and best-practice				
3.2	1				Drafting and delivery of full report				
3.3	0.5				Professional editing, organisation of launch event				

## 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)

From the outset, M&E will form an integral part of project management and delivery. This will allow the project to be implemented in an adaptive manner to ensure achievement of outputs and outcomes, based on continuous information generated on its progress. This process will involve regular reviews of the logframe – and an initial review (and potential updating) of pre-intervention indicators and risks at the outset to ensure an accurate base to measure progress. Throughout, data against indicators for outputs/outcomes (as specified above) will be reviewed on a quantitative and qualitative basis – and additional indicators and risks considered. Both negative and positive developments will be measured and will inform potential adaptations to project management and delivery. DfID M&E guidelines will direct this process, culminating in RUSI's final evaluation of the efficiency, effectiveness, relevance and sustainability of the intervention.

This process will be recorded carefully throughout the project, particularly since M&E itself is a core project output – in the goal to generate documented best-practice in capacity-building around wildlife-linked IFFs (Output 3). M&E during Activities 2.2 and 2.3 in particular will be crucial to this output, ensured through significant M&E staff time dedicated during these phases – and to analysis of findings in Activity 3.1. Martine Zeuthen will lead all M&E activities, which will use a mixed-method approach encompassing participant data and perceptions, amongst other methods, to monitor change against the baseline.

## 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. **X**

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 the trustees of Royal United Services Institute

(\*delete as appropriate)

I apply for a grant of £158,984 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)	Deborah Pourkarimi
Position in the organisation	Chief Finance Officer

Signed

Date:

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

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](mailto: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.