

# Application form for Illegal Wildlife Trade Challenge Fund Round 3

## Stage Two

July 2016

Please read the [guidance notes](#) before completing this form. Where no word limits are given, the size of the box is a guide to the amount of information required. The guidance notes are available at:

<https://www.gov.uk/government/collections/illegal-wildlife-trade-iwt-challenge-fund>

### 1. Name and address of lead organisation

Notification of results will be by email to the Project Leader

<b>Applicant Organisation Name:</b>	<b>Royal United Services Institute for Defence and Security Studies (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. Stage 1 reference and project title

<b>Stage 1 Ref:</b> 290	<b>Title (max 10 words):</b> Following the Money II: IWT Capacity-Building, East and Southern Africa
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### 3. Project dates, and budget summary

<b>Start date: 1 October 2017</b>		<b>End date: 31 March 2018</b>		<b>Duration: 1.5 years</b>
<b>2017/18</b> £ 79,498	<b>2018/19</b> £ 175,402	<b>2019/20</b> £	<b>2020/21</b> £	<b>Total request</b> £ 254,900
<b>Proposed (confirmed and unconfirmed) co-financing as % of total Project cost</b>				<b>%</b>

## 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 an insufficiently considered aspect of the fight against IWT. This concerns the lack of capacity to use financial-intelligence tools – techniques of proven value in investigating high-level organised criminals, including those driving IWT. This project builds capacity to detect and prosecute wildlife-linked money-laundering – which stalls development and entrenches poverty. It does so by expanding multi-agency training provided in Kenya, Tanzania and Uganda under IWT Challenge Fund Round 2, and extending research and training to Malawi, Zambia and Mozambique.

## 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. **This should be the same as the outcome statement given in Question 24.**

(max 50 words)

Training delivered and written outputs produced improve capacity in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda to investigate and prosecute financial crime linked to IWT, domestically and internationally. This deters and disrupts high-level trafficking networks, resulting in a fall in poaching and a rise in wildlife tourism, benefiting local communities.

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

### 6.a Put an X in all that apply

(See Guidance Note 3.1)

1. Developing sustainable livelihoods for communities affected by illegal wildlife trade	
2. Strengthening law enforcement and the role of the criminal justice system	X
3. Reducing demand for the products of the illegal wildlife trade	

**6b. 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 Notes 4.1 and Annex A)

<p>London Declaration: IX, X, XI, XII, XV, XVI</p> <p>Kasane Statement: 4, 5</p>
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## 7. Country(ies)

(See Guidance Notes 3.4 and 4.4)

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

<b>Country 1: Malawi</b>	<b>Country 2: Mozambique</b>
<b>Country 3: Zambia</b>	<b>Country 4: Kenya</b>
<b>Country 5: Tanzania</b>	<b>Country 6: Uganda</b>

## 8. About the lead organisation:

What year was your organisation established/ incorporated/ registered?	1831								
What is the legal status of your organisation?	<table> <tr> <td>NGO</td> <td>Yes</td> </tr> <tr> <td>Government</td> <td>No</td> </tr> <tr> <td>University</td> <td>No</td> </tr> <tr> <td>Other (explain)</td> <td></td> </tr> </table>	NGO	Yes	Government	No	University	No	Other (explain)	
NGO	Yes								
Government	No								
University	No								
Other (explain)									

<p>How is your organisation currently funded?</p>	<p>(Max 100 words)</p> <p>RUSI is funded through a range of activities. 74% of its income now derives directly from multi-disciplinary research and analysis, conducted for policy-makers and practitioners across Europe, North America, Africa and the Middle East. Income from research has remained steady at around this level for the last two years. In 2015/16 the remainder of RUSI's income was provided by individual and corporate memberships (10%), the organisation of events (8%), the rental of its conference facilities at 61 Whitehall to clients (5%), the production and sale of RUSI publications (2%), and donations (1%).</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</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>Following the Money: Disrupting Wildlife-Linked Illicit Financial Flows in Kenya/Tanzania/Uganda</p>
<p>Contract Value/ Project budget</p>	
<p>Duration</p>	<p>1 year</p>
<p>Role of organisation in project</p>	<p>RUSI acted as the lead organisation on this project, employing the multi-disciplinary expertise of its staff to manage the project; guide the strategic assessment; design, organise and deliver multi-agency training; produce the final report; and manage monitoring and evaluation.</p>

<p>Brief summary of the aims, objectives and outcomes of the project.</p>	<p>This pilot project was designed as the first of its kind to address, through both research and focused, in-depth training, the lack of capacity in Kenya, Tanzania and Uganda to investigate illicit financial flows (IFF) underpinning IWT. The project tested a new approach: a strategic threat- and needs-assessment around wildlife-linked IFFs followed by tailored multi-agency training, bridging law-enforcement, banking, wildlife, justice and customs authorities.</p> <p>In Kenya, Tanzania and Uganda, extensive research revealed a clear absence of efforts to ‘follow the money’ in relation to IWT cases, and a strong appetite for training in this area. Those engaged in the training were selected from both public and private sectors, with the aim of facilitating strengthened collaboration and partnerships. The project will culminate in the production of a formally published, open-access report detailing the main findings around the value and current adoption of a financial-investigation lens in efforts to counter IWT.</p>
<p>Client contact details (Name, e-mail, address, phone number).</p>	<p>This project was funded under Round 2 of the IWT Challenge Fund (2016-17).</p> <p>Eilidh Young, iwt-fund@ltsi.co.uk, +44 131 440 5500</p> <p>LTS International, Pentlands Science Park, Bush Loan, Penicuik, EH26 0PL, UK</p>

<p>Contract/ Project 2 Title</p>	<p>Centre for Financial Crime and Security Studies (CFCS)</p>
<p>Contract Value/ Project budget</p>	
<p>Duration</p>	<p>3 years</p>
<p>Role of organisation in project</p>	<p>Leading global banks have established this unique research programme at RUSI to address policy and implementation issues related to financial crime and illicit finance. From this independent platform, RUSI takes a leadership role in bringing together public and private sectors to collaborate on tackling issues related to illicit finance through research, the organisation of conferences and seminars, and the facilitation of dialogue between public and private sectors.</p>

<p>Brief summary of the aims, objectives and outcomes of the project.</p>	<p>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 on initiatives aimed at enhancing disruption efforts in relation to topics such as IWT, terrorist finance, human trafficking, and general issues linked to money laundering and the proceeds of crime.</p> <p>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 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, the CFCS has been helping the UK government in its efforts to upgrade the UK's Suspicious Activity Report regime.</p>
<p>Client contact details (Name, e-mail, address, phone number).</p>	<p>HSBC: Nick Fishwick,. Standard Chartered: John Cusack</p>

<p>Contract/ Project 3 Title</p>	<p>Illegal Wildlife Trafficking and Armed Non-State Actors in the Horn of Africa: Organised Crime, Terrorism and Threat Financing</p>
<p>Contract Value/ Project budget</p>	
<p>Duration</p>	<p>1 year</p>
<p>Role of organisation in project</p>	<p>RUSI led the development and overall management of the project, primary research in Kenya over 2014-15, analysis and desk research. 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>

<p>Brief summary of the aims, objectives and outcomes of the project.</p>	<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 IWT. 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>
<p>Client contact details (Name, e-mail, address, phone number).</p>	<p>The project was funded under the John Garnett Fellowship (2014-15).</p> <p>Andre Pienaar</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. **Details on roles and responsibilities in this project must be given for the Lead Organisation and all project partners.**

<p><b>Lead Organisation name:</b></p>	<p>Royal United Services Institute for Defence and Security Studies (RUSI)</p>
<p><b>Website address:</b></p>	<p><a href="http://www.rusi.org">www.rusi.org</a></p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>RUSI is the UK’s leading independent, not-for-profit research institute on national-security studies. Its mission is to improve decision-making through evidence-based research, 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 record of work on IWT, illicit financial flows, governance and development, particularly in East Africa. It established a permanent base in Nairobi in 2013, from where it has overseen training of law-enforcement agencies under multi-year EU programmes. RUSI also has experience leading research and training on IWT in Kenya, Tanzania and Uganda, including through its Round 2 IWT Challenge Fund grant. RUSI’s expertise in financial crime is attested by the work of its Centre for Financial Crime and Security Studies.</p> <p>In Round 3, RUSI will manage all aspects of the project; contribute to the strategic assessment in Malawi, Mozambique and Zambia; guide the design and delivery of training in Malawi, Mozambique and Zambia, as well as Kenya, Tanzania and Uganda; oversee the production and dissemination of the e-learning courses and rapid reference guides; and manage all M&amp;E.</p>
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<b>Partner Name:</b>	Space for Giants
<b>Website address:</b>	<a href="https://spaceforgiants.org">https://spaceforgiants.org</a>



<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>Space for Giants is the implementing charity of The Giants Club, a unique forum that brings together political might in the form of its Presidential members, with financial and technical muscle, to address the poaching crisis in key African states. Together, Giants Club countries host over half of Africa's savannah elephants and over 70% of its forest elephants. Space for Giants has been at the forefront of delivering criminal justice interventions in Kenya, Botswana and Uganda, changing prosecution policy and standards, creating prosecution toolkits and supporting the creation of in-house prosecution units within wildlife agencies. With a strategy encompassing human-elephant conflict, sustainable conservation investment and criminal justice solutions, Space for Giants aims to preserve Giants Club elephant populations by 2020.</p> <p>In this project, Space for Giants will leverage its expertise in delivering criminal justice interventions and its extensive experience working with law enforcement across East and Southern Africa to contribute to the delivery of training and production of e-learning courses and rapid-reference guides (Work Packages 3 and 4). It will contribute, specifically, to delivering training in Kenya, Tanzania and Uganda on transnational-level financial investigation and mutual legal assistance, and will lead on documenting these tools in the training resources produced.</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> Comments if No:</p>

<p><b>Partner Name:</b></p>	<p>Strathmore University Law School</p>
<p><b>Website address:</b></p>	<p><a href="http://www.law.strathmore.edu/">http://www.law.strathmore.edu/</a></p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>Strathmore Law School is one of the constituent schools of Strathmore University, a leading non-profit private university in Kenya with a peerless reputation for quality in academic and professional education. Strathmore Law School's Wildlife Centre is dedicated to strengthening the capacity of criminal justice practitioners working on combating IWT, thus contributing to the improvement of the legal infrastructure in Kenya and the broader region. This aim is achieved through applied research, focused capacity building and integrated academic teaching, delivered in such a way as to improve upon traditional models to better serve the real-world needs of criminal justice practitioners in the region.</p> <p>Strathmore Law School will contribute throughout the project, but particularly to Work Package 4 – the production, promotion and distribution of rapid-reference guides and e-learning courses in all target countries. The Law School's Wildlife Centre will act as the formal host institution for these resources, where all requests for information can be directed going forward. Meanwhile, Strathmore will leverage its network of other private universities across Kenya and the East and Southern Africa region to facilitate the promotion of the resources to other institutions across the region.</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> Comments if No:</p>

<p><b>Partner Name:</b></p>	<p>Jomo Kenyatta University of Agriculture and Technology (JKUAT)</p>
<p><b>Website address:</b></p>	<p><a href="http://www.jkuat.ac.ke/">www.jkuat.ac.ke/</a></p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>JKUAT was created in 1994 to act as a centre of global excellence in training, research and innovation for development. Its School of Law was established in 2008 to offer accessible, high-quality legal education, training, research and innovation, furnishing graduates with the skills required to provide legal services in a range of fields, with a focus on agriculture, the environment, engineering and technology. In each of these fields, the aim is to encourage the effective application of teaching, research, knowledge and skills to broader efforts to improve the life, work and welfare of citizens of Kenya.</p> <p>JKUAT will contribute throughout the project, but particularly to Work Package 4 – the production, promotion and distribution of rapid-reference guides and e-learning courses in all target countries. It will do so in parallel with Strathmore Law School, in order to ensure that the project meets a wider audience. Indeed, in Kenya, JKUAT’s status as a government-owned university allows it to leverage close links with the network of other government-owned law schools in Kenya and the broader region. This will ensure accessibility of the resources produced to students unable to afford private universities, as well as those attending fee-paying universities such as Strathmore.</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> Comments if No:</p>

<p><b>Partner Name:</b></p>	<p>Lilongwe Wildlife Trust (LWT)</p>
<p><b>Website address:</b></p>	<p><a href="http://www.lilongwewildlife.org">www.lilongwewildlife.org</a></p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>LWT is an NGO dedicated to protecting Malawi's wildlife and its habitats. LWT has a strong focus on countering IWT and an extensive network of regional partners employing similar approaches. It has close links to law enforcement, including an exclusive agreement with the Malawi Police Services to provide support on intelligence-led wildlife crime investigations. LWT has also helped to establish a tactical multi-agency wildlife crime investigation unit within the Department of National Parks and Wildlife. It is a member of the Inter-Agency Committee on Combating Wildlife Crime in Malawi, and the only NGO authorised to privately litigate IWT cases on behalf of Malawi's Directorate of Public Prosecution.</p> <p>LWT will act as a convening power for the trainings conducted in Work Package 2. It will do so by leveraging its relationships with law enforcement in Malawi. It will also leverage its ties to NGOs with similarly close working relationships to law enforcement in Zambia and Mozambique (including – through the United for Rangers framework – with PAMS Foundation and Game Rangers International's Wildlife Crime Prevention Project). LWT will also contribute to Work Package 4 by tailoring the content of training resources produced to the Malawian and other regional contexts.</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> (as well as PAMS Foundation and the Wildlife Crime Prevention Project)</p> <p>Comments if No:</p>

<p><b>Partner Name:</b></p>	<p>Environmental Investigation Agency (EIA)</p>
<p><b>Website address:</b></p>	<p><a href="https://eia-international.org">https://eia-international.org</a></p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>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 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 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. It has also assisted law-enforcement agencies in investigations through the provision of actionable intelligence and the production of tailored training materials.</p> <p>EIA's responsibilities in this project are informed by its roles in the assessment and training phases in Kenya, Tanzania and Uganda of RUSI's IWT Challenge Fund Round 2 project. Building on this, EIA will contribute to the assessment phase in Malawi, Mozambique and Zambia (Work Package 1), using its experience investigating wildlife trafficking as a baseline for researching associated illicit financial flows. EIA will also contribute to extending the domestic-level training provided under Round 2 to Malawi, Mozambique and Zambia, using its investigatory expertise to design and deliver a series of tailored, context-specific modules (Work Package 2).</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> Comments if No:</p>

<p><b>Partner Name:</b></p>	<p>INTERPOL</p>
<p><b>Website address:</b></p>	<p><a href="http://www.interpol.int">www.interpol.int</a></p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>INTERPOL has developed a strong focus on environmental crime through its Environmental Security Sub-Directorate. Since the late 2000s, it has sought to address IWT as a serious international problem, developing Project Wisdom in 2014 to build a comprehensive law-enforcement effort that disrupts and dismantles the transnational criminal syndicates involved. The focus of Project Wisdom is on elephants and rhinos in East and Southern Africa. Here, INTERPOL leads regional operations to dismantle wildlife-trafficking networks through intelligence-driven investigations. It also provides training to law-enforcement agencies at national and regional levels, and coordinates international best-practice.</p> <p>As in IWT Challenge Fund Round 2, INTERPOL will play a vital role in this project. INTERPOL has long recognised the capacity gap around illicit financial flows generated by IWT, and will feed its expertise into the strategic assessment of these flows (Work Package 1). It will also assist in the delivery of domestic- and transnational-level training under Work Packages 2 and 3. Finally, it will contribute to Work Package 4 by promoting and helping to embed the resources produced across law-enforcement training departments in target countries. INTERPOL also plans to sustain the training provided by incorporating its use into parallel guided investigations.</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> Comments if No:</p>

<p><b>Partner Name:</b></p>	<p>Standard Chartered Bank (pro bono)</p>
<p><b>Website address:</b></p>	<p>www.sc.com</p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>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 and Southern Africa, where it has an extensive footprint and maintains strong contacts with law-enforcement, regulatory and compliance industry experts.</p> <p>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 focus areas. A key emphasis of the Unit is currently on financial transactions linked to IWT.</p> <p>Standard Chartered will feed into this project by undertaking a transaction-level assessment of financial flows deriving from wildlife crime in the region, covering all target countries. This will be shared, within the parameters of privacy regulations, with the project team, contributing to the assessment produced in Work Package 1. Standard Chartered will also contribute to the design of training during Work Packages 2 and 3.</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> Comments if No:</p>

<p><b>Partner Name:</b></p>	<p>DLA Piper (pro bono)</p>
<p><b>Website address:</b></p>	<p><a href="https://www.dlapiper.com/en/uk/">https://www.dlapiper.com/en/uk/</a></p>

<p><b>Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)</b></p>	<p>DLA Piper is a global law firm with lawyers in more than 30 countries throughout the Americas, Europe, Africa, the Middle East and Asia Pacific. It provides practical legal solutions to clients worldwide, and maintains an award-winning global pro bono programme, delivering pro bono work in size, scale and scope unlike any other global law firm.</p> <p>A focus of this programme is on countering IWT: for three years, DLA Piper has partnered with the Royal Foundation of the Duke and Duchess of Cambridge and Prince Harry on the United for Wildlife initiative. In 2015, 80 lawyers from 25 DLA Piper offices produced for the Foundation the report 'Empty Threat 2015: Does the law combat illegal wildlife trade?', comprising a comprehensive review of legislative and judicial approaches in fifteen jurisdictions.</p> <p>DLA Piper has committed to contribute legal expertise to this project, undertaking extensive research into both wildlife and finance-linked legislation in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda and delivering comparative research reports on the respective legal frameworks. This research will be guided by carefully defined research questions, feeding into the strategic assessment in Work Package 1, and into the training delivered and resources produced in all other work packages.</p>
<p><b>Have you included a Letter of Support from this organisation?</b></p>	<p><b>Yes</b> Comments if No:</p>

## 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	10%	Yes



Cathy Haenlein	Project Manager	25%	Yes
David Artingstall	Lead Financial Investigation Trainer	10%	Yes
Shamini Jayanathan	Legal Expert and Transnational-Level Trainer	4%	Yes
Elizabeth Gitari	IWT Expert and Domestic-Level Trainer	12%	Yes
Mary Rice	IWT Investigator and Trainer	13%	Yes
Henri Fournel	IWT and Criminal Intelligence Expert	6%	Yes
Florence Keen	Research Analyst	2%	Yes
Lieke Bos	Project and Events Officer	5%	Yes
Ewan Lawson	Monitoring and Evaluation Specialist	10%	Yes

## 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. Elephants</b>	<b>2. Rhinos</b>
<b>3. Pangolins</b>	<b>4.</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 environment that allows high-level criminal and corrupt actors to earn vast profits from IWT. Specifically, it enhances capacity through training to investigate and prosecute wildlife traffickers through anti-money-laundering (AML) legislation in Kenya, Tanzania, Uganda, Malawi, Mozambique and Zambia – thus disrupting IWT by targeting the finances of the ultimate facilitators and beneficiaries.

This is urgently needed. IWT is now an industrial-scale illicit trade, generating annual revenues of \$. Work conducted under RUSI's Round 2 Challenge Fund project demonstrates that the use of financial-investigation tools can contribute in numerous ways to detecting and disrupting the activities of organised criminals, including wildlife traffickers. Yet, throughout East and Southern Africa, financial investigatory capacity remains limited. In their most recent mutual evaluations, all six countries were observed to have AML deficiencies.

All six governments have shown political will to meet international standards. Yet limited awareness of AML risks impedes financial investigations and prosecutions around IWT – impeding efforts to disrupt the higher-level criminal networks involved and thus meet Sustainable Development Goal (SDG) 15.7 (end poaching/trafficking of protected species of flora and fauna). This low-risk environment contributes to the status of East and Southern Africa as hubs for IWT. DNA testing traced 85% of savannah elephant ivory seized from 2006-14 to the region, mainly to Selous in Tanzania and Niassa in Mozambique. The region witnesses major flows of other illegally traded wildlife, including pangolins – the world's most trafficked mammal.

Wildlife-linked IFFs have devastating impacts on governance and development: global Financial Integrity calculates that Africa loses \$60billion annually to IFFs. These flows undermine the state's ability to provide services, undercutting poverty-alleviation efforts and initiatives aimed at achieving SDG 16: peace, justice and strong institutions. The poorest are most heavily affected as wildlife losses simultaneously dispossess communities whose survival strategies rely upon 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 Section 3, before answering this question.

(Max 750 words - this may be a repeat from Stage 1, but you should update or refine as necessary. Tracked changes are **not** required.)

This project extends foundation-level training provided and responds to further needs identified during RUSI's IWT Challenge Fund Round 2 pilot project 'Following the Money: Disrupting Wildlife-Linked Illicit Financial Flows in Kenya/Tanzania/Uganda'. With Round 2 having successfully piloted foundation-level, multi-agency training on financial approaches to IWT, Work Packages 1 and 2 extend the research and training previously conducted to three further countries: Malawi, Mozambique and Zambia. Work Package 3 delivers follow-on training in Kenya, Tanzania and Uganda that was outside the scope of the Round 2 project, but for which need and demand was clearly apparent. This includes training on transnational-level financial-investigation tools, including mutual legal assistance – which are crucial to addressing transnational IWT cases but could not be covered in Round 2 due to a low baseline capacity and a need to first embed basic, domestic-level financial-investigation techniques. Work Package 4 documents best-practice in wildlife-linked financial investigation in all six countries as covered during Round 2 and Round 3 projects.

In designing both projects, extensive research has been conducted into other initiatives touching on financial investigation of IWT. These include the EU's AML/CFT Horn of Africa programme and the World Bank's recent work to develop modules on financial investigation of IWT. The former has not focused in-depth on financial crime linked to IWT, whilst the latter are more limited in scope than RUSI, focused at a higher level and on the public sector only. To RUSI's knowledge, no other initiatives in the target countries are providing significant training on financial investigation of IWT, nor have other initiatives brought together public and private sectors to improve cooperation from the generation of wildlife-linked financial intelligence to its use by investigators and prosecutors.

While co-ordinating with broader initiatives, this project provides focused research and training on the financial red flags associated with IWT. It aims, ultimately, to strengthen law enforcement and the criminal justice system in the fight against IWT, thus contributing to sustainable development. It will do so through a structured methodology:

#### Work Package 0: Project Management

The project will be managed by RUSI and implemented with EIA, Space for Giants, Strathmore Law School, JKUAT, Lilongwe Wildlife Trust and INTERPOL, with input from Standard Chartered and DLA Piper. The project leader will be responsible for strategic direction, financial management and coordination, with PRINCE2 project-management principles applied.

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

A dearth of knowledge on the money flows generated by IWT in Malawi, Mozambique and Zambia will be addressed through a three-month strategic assessment of their scale, dynamics and impacts. This will involve extensive desk-based research and in-country consultations with a range of stakeholders. The second phase of the assessment will map capacity in Malawian, Mozambican and Zambian wildlife, law-enforcement, customs, financial and justice institutions to address these flows, with strengths and weaknesses determined to guide the design of training.

#### Work Package 2 (Output 2) – Training in Malawi, Mozambique and Zambia

A tailored multi-agency financial-investigation training programme will be designed and delivered to public and private-sector participants in Malawi, Mozambique and Zambia (8 days/country). This will follow the model of the training delivered under IWT Challenge Fund Round 2, comprising public-sector training on domestic-level financial investigation, as well as private-sector and public-private sector training on joint working and processing wildlife-linked suspicious transaction reports. In addition, extending the Round 2 model, public-sector training will be provided on transnational-level financial investigation, covering mutual legal assistance.

#### Work Package 3 (Output 3) – Training Extension in Kenya, Tanzania and Uganda

Following on from the training provided in Round 2, extension training sessions (2 days/country) will be provided in Kenya, Tanzania and Uganda covering topics outside the earlier project's scope. The main focus will be on tools for undertaking transnational-level financial investigation, including mutual legal assistance. These tools are essential to effective investigations of transnational cases. Meanwhile, reviews of the earlier domestic-level training will be provided, allowing participants to consolidate and raise further questions on this level of financial investigation.

#### Work Package 4 (Output 4) – Documentation/Launch of Financial-Investigation Training Resources

Best-practice in wildlife-linked financial investigation will be produced, for each country, as e-learning courses and professionally printed practitioner rapid-reference guides. These resources will provide practical guidance on all aspects of wildlife-linked financial investigation, tailored to each country's legislation. This process will be consultative: the resources will be embedded in public-sector training departments and specialised university departments in all countries – and will be launched at these institutions by the project team. There, they will comprise tools for continuously transmitting expertise, ensuring a sustainable legacy.

## **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.

If your project is focused on demand reduction, it can be harder to make a direct link between your project and beneficiaries in low income countries. Demand reduction projects should clearly demonstrate their indirect links to poverty reduction, for example, by identifying the source countries for the products concerned.

(Max 750 words)

The project's primary beneficiaries will be the recipients of training through an increased capacity to investigate and prosecute money laundering linked to IWT. In Malawi, these will include individuals from such agencies as the Malawi Police Service, Department of National Parks and Wildlife, Anti-Corruption Bureau, Malawi Revenue Authority, Financial Intelligence Unit (FIU), Reserve Bank of Malawi and prosecutors. In Mozambique, training will involve such agencies as the Mozambique Republic Police, National Administration for Conservation Areas, FIU, Mozambique Revenue Authority, Bank of Mozambique and Central Office for Combating Corruption. In Zambia, participants will be drawn from the Zambia Wildlife Authority, FIU, Zambia Revenue Authority, Anti-Corruption Commission and Bank of Zambia. In Kenya, Tanzania and Uganda, participants will include individuals engaged in RUSI's Round 2 project, from law enforcement, FIUs, anti-corruption commissions and others.

In Malawi, Mozambique and Zambia, 8-day training courses will cover domestic- and transnational-level financial investigation, benefiting at least 20 individuals per country. In Kenya, Tanzania and Uganda, 2-day courses tackling transnational-level content will benefit 15-20 individuals each. The tangible benefit of the training to these institutions will be technical expertise of a type potentially able to transform the fight against IWT. The value of financial investigation as an evidence-gathering tool is well established, offering key contributions in numerous areas. Most tangibly, it allows the identification of the proceeds of crime, permitting investigators to confiscate wildlife traffickers' assets, thus increasing deterrence. Financial investigation can also reveal further details about wildlife offences, enhancing law enforcement's understanding of the facilitators and beneficiaries of criminals detained. Often, those who benefit financially from IWT do not physically poach or traffic wildlife themselves. These individuals can most effectively be exposed through the financial transactions that link them to those perpetrating wildlife crime on their behalf. As such, financial investigation can disrupt IWT's criminal – and indeed corrupt – high-level facilitators. This will reduce hiring down the chain, contributing to a drop in poaching, including in major source areas like Niassa, Selous, Ruaha-Rungwa and Laikipia-Samburu, thus contributing to SDG 15.7. These benefits will be monitored through the verification methods detailed in the logframe.

In the fight against a major form of transnational organised crime, the facilitation of these activities has greater power than the numbers of individuals trained. Indeed, enhanced capacity to counter wildlife-linked IFFs through financial-investigation tools will impact a range of other beneficiaries. By countering IWT and thus reducing illicit financial outflows, the training and resources delivered will benefit ordinary citizens in all six countries. Here, the comparison between a living versus a dead elephant is telling. According to iwoorry, alive a single elephant can contribute around \$1.6million over its lifetime in tourism revenues, compared to an average one-off total of \$21,000 for its tusks (in end markets). In Kenya, wildlife tourism generates 12% of GDP, 300,000 jobs, and raised \$47 million in park-entrance fees in 2012 alone. This project will reduce the threat to this source of GDP by halting the decline of the attractions on

which it depends.

This contribution is particularly important in poor rural source areas where tourism underpins survival strategies. In Malawi, 83% of the population lives in rural areas, with just under 8 million citizens classified as rural poor, according to 2014 World Bank data. In Kenya, the government's Economic Survey 2014 quotes poverty rates in Isiolo, Samburu and Marsabit – counties around Laikipia-Samburu, one of Kenya's core ecosystems – as 65-76%, compared to 45% nationally. In these counties, an estimated 280,000 people in community conservancies rely on wildlife-tourism incomes. Reducing poaching by increasing capacity to disrupt trafficking networks through financial investigation will halt the erosion of these livelihoods, as monitored in partnership with organisations analysing community-level data.

Meanwhile, citizens in and beyond immediate source areas will benefit from the reversal of the hollowing of the state engendered by wildlife-linked IFFs. This will occur as these flows' negative impacts on governance, rule of law and public finances decline. This will strengthen public confidence in state institutions in line with SDG 16. With the smallest of the six focus states, Zambia, numbering over 14 million citizens, and the largest, Tanzania, 49 million, this benefit will be felt by significant numbers.

Finally, the project's contribution to understanding IFFs linked to wildlife crime, generating published e-learning and reference guides detailing best-practice for policy and practitioner communities will produce further beneficiaries. These include the individuals trained, their colleagues in enforcement and other agencies, and those in other source countries who could benefit from the resources and the embedding into national planning of their recommendations.

## **15. Gender**

(See Guidance Note 3.5)

Under the International Development (Gender Equality) Act 2014, all applicants must consider whether and how their project will 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 of IFFs deriving from IWT, but also into their impacts. Existing information on these impacts will be analysed at local and national level, with data assessed and disaggregated based on these flows' impact on gender equality. A range of modes of enquiry will be used to source and collate information to facilitate this task. The result will be the creation of as clear a picture as is currently possible of the economic, political and social-development impacts of IFFs, assessed in terms also of their differential impacts on men and women. This picture can inform 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 the design and delivery of training. Modules on the impacts of IFFs and on building systems to disrupt them will explicitly cover gender-disaggregated impacts. The selection of participants in training will also take place mindful of gender-related differences in the makeup of relevant agencies, with efforts made to seek qualified female participants and with the impact of activities on gender issues monitored throughout.

Finally, monitoring and evaluation of the project will incorporate gender considerations. Monitoring activities, as outlined in the logical framework, will disaggregate beneficiaries according to gender, both directly within government and private-sector institutions and, where possible, indirectly in source areas. In line with this, consideration of gender differences will be built clearly into the production of e-learning courses and rapid-reference guides, thus impacting upon 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)

Key species threatened by IWT in the focus countries include elephants, rhinos and pangolins. DNA testing has traced over 85% of savannah elephant ivory seized in 2006-14 to East Africa – predominantly to Selous in Tanzania and Niassa in Mozambique. Remaining rhino populations are low – Kenya and Tanzania together possess little over 1,000. Pangolins, in turn, are now considered the world's most trafficked mammal, with regular seizures implicating countries included in this project.

By increasing the risk of financial interception and addressing the impunity with which high-level traffickers operate, the project will deter and disrupt their involvement in IWT. This will reduce the vulnerability of elephants, rhinos and pangolins to poaching, contributing to their long-term recovery in core ecosystems in each country. Many of these have suffered dramatic losses: in Selous, elephant numbers fell by 66 per cent from 2009-13, from 38,975 to 13,084. Long-term recovery will occur as Proportion of Killed Elephant rates decline relative to birth rates – with a similar recovery applying to rhino and pangolin populations. Finally, with all six focus countries being key transit as well as a source countries, the greater financial risk involved in IWT will impact positively on animal populations across the broader region.

## **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)

This project is designed to be of longer-term impact beyond its formal end-point, building on lessons learned and enduring needs identified during RUSI's Round 2 project. Training activities have been designed to respond specifically to these ongoing needs, with the partnership with INTERPOL ensuring that training is actively utilised and consolidated beyond the project's conclusion, through its incorporation during guided INTERPOL investigations with the agencies engaged.

Work Package 4, meanwhile, involves the documentation of training provided in e-learning courses and rapid-reference guides for practitioners – in six versions, tailored by country. This process will be collaborative, documenting in partnership with the agencies involved sustainable and locally tailored operating frameworks. By embedding these resources in the training departments of public-sector agencies and the curricula of relevant university departments, the project will generate tools for continuously transmitting expertise to new graduates and staff members, ensuring a sustainable project legacy.

Finally, the team will share its experience and outputs with the broader anti-wildlife trafficking community. The training model will be designed as one that can be replicated, with the team providing in-depth briefings on its work to long-term multilateral bodies such as ICCWC to ensure achievements are sustained through the work of other partners.

## **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 initiative, but one that follows on from RUSI's Challenge Fund Round 2 project 'Following the Money: Disrupting Wildlife-Linked Illicit Financial Flows in Kenya/Tanzania/Uganda'. The Round 2 project was designed as a pilot – testing a new approach to address, through research and focused training, the lack of capacity in Kenya, Tanzania and Uganda to investigate IFFs underpinning IWT.

The first project of its kind, the Round 2 project has generated important lessons and a clear appreciation of further needs around financial investigation of IWT. The Round 3 project has been conceived specifically to build on these lessons and address the further needs identified, including the need to build capacity in transnational use of financial-investigation tools, and to expand Round 2 work to further countries.

Of further note is the interest the Round 2 project has generated, amidst a growing movement to understand the money flows facilitating IWT. The team has been requested to present their approach at the Hanoi Conference on IWT, Asia Pacific Economic Cooperation Pathfinder Dialogue in Peru, and 17th International Anti-Corruption Conference in Panama, amongst others – indicating the apparent need for and utility of such a follow-on project amongst the broader anti-wildlife trafficking community.

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

**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:

During the Round 2 project and design of this proposal, extensive research has been conducted into historical and contemporary initiatives touching upon capacity-building in financial investigation of IWT in East and Southern Africa. To RUSI's knowledge, no other initiatives are in place in the target countries to provide significant, focused training specifically on financial investigation of IWT. One organisation (the NGO Freeland) has provided broader law-enforcement training incorporating a partial financial focus, but this has been restricted to a single day, and the organisation welcomes the RUSI initiative. As noted, meanwhile, the International Consortium on Combating Wildlife Crime (ICWC) and World Bank have carried out work to develop a module on financial investigation of IWT, but this is more limited in scope and restricted to the public sector.

To RUSI's knowledge, no other initiatives have sought to bring together public- and private-sector institutions to improve co-operation along the path from the generation of financial intelligence to its use by investigators and prosecutors – as this project seeks to do. The consistent finding from Round 2 is that capacity-building to date has focused either on the financial sphere and on anti-money laundering (for example DEVCO's AML/CFT in the Horn of Africa programme) or on the wildlife sphere – with limited overlap between the two.

RUSI is, however, aware of a number of projects that would benefit from, and have expressed an interest in, the work RUSI is proposing in this project. TRAFFIC has agreed to collaborate with RUSI on this project on an unfunded basis, in light of the complementary nature of this work for its Wildlife TRAPS (Wildlife Trafficking Response, Assessment and Priority Setting) project, in relation to ongoing activities in East and Southern Africa. Throughout this project, RUSI will also remain in close communication, and exchange strategic input and advice, with the Uganda Conservation Foundation and its regional network. Finally, the project team will remain in close contact with ICWC/World Bank to ensure complementarity and coordination with regard to any of their future work, and to share project experiences and lessons.

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.

**No**

## Funding and budget

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

<https://www.gov.uk/government/collections/illegal-wildlife-trade-iwt-challenge-fund>

**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 “Financial Information for IWT” and Guidance Note 3.4)

**Confirmed:**

RUSI has secured in-kind funding through the commitment of facilities and specialist work on the project equivalent to £ from INTERPOL, Standard Chartered Bank and DLA Piper.

As In Round 2, INTERPOL will contribute pro-bono to the project through its Environmental Security Sub-Directorate. It will do so by drawing on expertise gained through the Directorate’s ongoing programme of work to assist law-enforcement across Eastern and Southern Africa in disrupting transnational wildlife-crime syndicates (Project Wisdom). INTERPOL has committed to provide donations in kind – equivalent to £– through both specialist staff time on all work packages and the use of its Regional Bureau in Nairobi to conduct transnational-level training.

As in Round 2, Standard Chartered will also contribute pro-bono to the project through its Financial Crime Intelligence and Investigations Unit. It will do so by drawing on the Unit’s extensive footprint across the region, history of analysis on major emerging financial crimes and deep-dive investigations into emerging risks. The Unit has committed to conduct in-depth multi-source analysis and provide specialist advice to the project team – worth £– to feed into both the research and training phases (Work Packages 1-3).

Finally, DLA Piper has committed to contribute a package of legal expertise (of up to 100 hours) to this project worth , undertaking targeted research into both wildlife and finance-linked legislation in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda and delivering comparative research reports on the respective legal frameworks. This research will be guided by carefully defined research questions, feeding into the strategic assessment in Work Package 1, and into the training delivered and resources produced in all other work packages.

**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.

<b>Date applied for</b>	<b>Donor organisation</b>	<b>Amount</b>	<b>Comments</b>

**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 occur given the absence of other programmes looking to build financial capacity across agencies and borders specifically to disrupt IWT. Moreover, it is an intervention informed by in-depth experience over FY2016-17 implementing a smaller-scale pilot of this project. The hands-on learning acquired ensures that the Round 3 project has been designed such to offer the greatest impact possible for the cost inputs required.

RUSI believes that this intervention has the potential to have a transformative impact on the fight against IWT. By mainstreaming the expertise and operating protocols developed through the generation of formal training resources, the project is designed to bring about a step-change in the fight against IWT, moving beyond seizures and low-level arrests to the pursuit of those directing the trade at the highest levels. Confirmed in-kind funding from INTERPOL, Standard Chartered and DLA Piper further increases the project's value for money, indicating the high regard with which it is viewed by these partners. Meanwhile, the strategic assessment represents not just a vital input in the design of training – the sharing of the findings, and indeed best practice developed during training, presents further value for money by contributing to filling a key knowledge gap that has so far impeded broader efforts by the anti-wildlife trafficking community to counter IWT.

## 22. Ethics and human rights

Outline your approach to meeting the IWT's key principles for ethics as outlined in the guidance notes. Additionally, if there are any human rights and/or international humanitarian law risks in relation to your project? If there are, have you carried out an assessment of the impact of those risks, and of measures that may be taken in order to mitigate them?

(See Guidance Notes 5.4 and 6.1)

(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, and of Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda. The team will ensure the full agreement and support of all governmental and other parties in all countries, to ensure successful project delivery. In project design, sensitivities around conducting training with government agencies on delicate topics have been considered. These will feed into the careful selection of participants, and the sensitive design and delivery of training and training resources.

Great importance will be attached to involving participants in training as equals, including in developing sustainable and context-sensitive protocols for inclusion in e-learning courses and rapid-reference guides. Close cooperation with relevant domestic parties will also be ensured during the assessment phase, in the design and delivery of training, and in the production and promotion of training resources.

Throughout, 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 outputs are made available freely online – to maximise their visibility and impact. The project's 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 principal written outputs will be six tailored e-learning courses and rapid-reference guides published under a Creative Commons licence. These will be prepared for open access with DfID/DEFRA branding, and professionally produced by RUSI's Publications team. This process forms an integral part of RUSI's in-house open-access plan and has been budgeted to standard RUSI costings, including printing of rapid-reference guides for distribution to law-enforcement agencies, universities and other key stakeholders. This process is vital to ensuring the goals of DfID's Research Open and Enhanced Access Policy, namely the global uptake of research. It will ensure clarity, integrity and accessibility of written communication for the benefit of law-enforcement agencies, researchers, civil society and others seeking to access the findings.

The outputs produced can also be added to R4D and other repositories, as appropriate. The e-learning courses, as well as diagrams and graphics generated through the strategic assessment, will be included in the digital output at a minimised size, to increase accessibility to users with poor connectivity. All further opportunities will be taken to make the research visible 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.

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

Project Summary	Measurable Indicators	Means of Verification	Important Assumptions
<b>Impact:</b> A reduction in illegal wildlife trade (IWT) and poverty alleviation in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda through more effective investigation and prosecution of the financial crimes underpinning IWT. (Max 30 words)			

<p><b>Outcome:</b> (Max 50 words)</p> <p>Training delivered and written outputs produced improve capacity in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda to investigate and prosecute financial crime linked to IWT, domestically and internationally. This deters and disrupts high-level trafficking networks, resulting in a fall in poaching and a rise in wildlife tourism, benefiting local communities.</p>	<p>0.1 – By September 2018, all participants in domestic- and transnational-level financial-investigation training in Malawi, Mozambique and Zambia (at least 20 per country) have improved understanding of the dynamics of wildlife-linked illicit financial flows and enhanced capacity to effectively investigate and prosecute wildlife crime on this basis, as judged by pre- and post-training evaluation surveys.</p> <p>0.2 – By September 2018, all participants in transnational-level financial-investigation training in Kenya, Tanzania and Uganda (at least 15 per country) have improved understanding of the tools available to track wildlife-linked illicit financial flows across borders, and enhanced capacity to effectively investigate and prosecute wildlife crime on this basis, as judged by pre- and post-training evaluation surveys.</p> <p>0.3 – By September 2018, financial investigation training provided is enacted in the course of at least 50% of new high-level wildlife-crime investigations opened by participating agencies in Malawi, Mozambique and Zambia, Kenya, Tanzania and Uganda, at both domestic and international levels.</p>	<p>0.1 – Results of pre- and post-training evaluation surveys completed by participants; usage records of systems put in place during training; project notes and M&amp;E record of training and implementation; participant contribution and feedback; courtroom monitoring records.</p> <p>0.2 – Results of pre- and post-training evaluation surveys completed by participants; usage records of systems put in place during training; project notes and M&amp;E record of training and implementation; participant contribution and feedback.</p> <p>0.3 – Results of pre- and post-training evaluation surveys completed by participants to measure impact of the training on operating procedures and investigations; records of agencies engaged in training; external surveys, analyses and needs assessments; usage records of</p>	<p>The Malawian, Mozambican, Zambian, Kenyan, Tanzanian and Ugandan governments remain committed to improving their anti-money laundering regimes to meet international standards, and remain committed to the fight against IWT.</p> <p>Increased numbers of effective investigations and prosecutions in Malawi, Mozambique Zambia, Kenya, Tanzania and Uganda create a sufficiently high-risk environment to result in fewer instances of poaching and wildlife trafficking.</p> <p>Reduced poaching rates will lead to higher numbers of elephants, rhinos and pangolins in the relevant areas of Malawi, Mozambique Zambia, Kenya, Tanzania and Uganda.</p> <p>Increased numbers of wildlife, particularly of elephants and rhinos, will result in an increase in wildlife tourism in Malawi, Mozambique Zambia, Kenya, Tanzania and Uganda.</p>
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	<p>0.4 – The use of financial intelligence in prosecutions of high-level traffickers in Malawi, Mozambique and Zambia, Kenya, Tanzania and Uganda rises from the current negligible level to a situation in September 2018 where evidence gathered through effective financial investigations is presented and used in court in 50% of new cases.</p>	<p>systems put in place.</p> <p>0.4 – Prosecution rates; court records; courtroom monitoring reports; records and reports of law-enforcement agencies; newspaper articles; assessments by external research institutes and NGOs; journal articles on successful prosecutions in law and environmentally focused journals.</p>	
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<p><b>Outputs:</b></p> <p>1. A detailed strategic assessment provides a clear picture of existing knowledge of the problem to be tackled, in terms of the scale, dynamics and impacts (disaggregated by gender) of illicit financial flows deriving from IWT in Malawi, Mozambique and Zambia, and the capacity of relevant authorities to tackle them.</p>	<p>1.1 The current limited, scattered and incoherent sources of information on the shape of illicit financial flows connected to IWT are assessed through a clear and consistent multi-source analysis of wildlife-linked illicit financial flows and the capacity that exists to tackle them in Malawi, Mozambique and Zambia. This research will form a core part of the six e-learning courses and six rapid-reference guides (Output 4) delivered by March 2019, and will be published through at least two publicly available articles.</p> <p>1.2 The research produced feeds into and is referenced by other domestic and international studies, and other projects have incorporated its findings and sought to address them by March 2019.</p> <p>1.3 The outcomes of the assessment are recognised by all relevant national and international agencies by March 2019, where there had previously been little in the way of evidence or recommendations to feed into priority setting and policy making.</p>	<p>1.1 Results of the analysis of illicit financial flows and the capacity to address them are made available to partners; newspaper articles and coverage of the research by wildlife, organised crime, security and law-focused organisations; record of publication of two articles in various media.</p> <p>1.2 Citations of the research, as documented in the two articles, six e-learning courses and six rapid-reference guides, in wildlife, organised crime, security and law-focused journals; citations in materials produced by other projects implemented in East Africa.</p> <p>1.3 Malawian, Mozambican and Zambian policy documents; reports of the relevant agencies; project documentation and reports of intergovernmental organisations; newspaper articles; journal articles.</p>	<p>The security situation in target research areas will allow research activities to take place.</p> <p>Researchers are able to engage with experts, policy-makers and practitioners in each target country who are sufficiently open and honest as to allow researchers to deliver an accurate assessment of wildlife-linked illicit financial flows and the capacity that exists to tackle them.</p>
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<p>2. Relevant financial, field and other officers from law-enforcement agencies, the private sector and NGOs in Malawi, Mozambique and Zambia are specifically trained to more effectively collect, share and report on financial intelligence, facilitating high-level domestic and transnational investigations and prosecutions in each country.</p>	<p>2.1 24 days-worth of multi-agency domestic-level training is conducted which provides at least 20 relevant actors from at least three law-enforcement agencies, as well as at least five financial institutions, in Malawi, Mozambique and Zambia with the skills to effectively investigate illicit financial flows linked to IWT by March 2019.</p> <p>2.2 Standardised procedures are set up by March 2019 in at least three law-enforcement and other agencies, where formerly guidance on these processes was patchy and unstandardised.</p> <p>2.3 All agencies involved in training identify and assign a 'champion' to guide the use of, and assist others in the use of, the training delivered by March 2019.</p>	<p>2.1 Number of days of multi-agency training provided on illicit financial flows linked to IWT in Malawi, Mozambique and Zambia (baseline = zero) to at least 20 individuals in at least three public-sector agencies and five financial institutions; project notes and M&amp;E record of implementation and results of training; participant feedback; internal agency reports; results of pre- and post-training evaluation surveys completed by participants to measure impact of the training.</p> <p>2.2 Standardised procedures produced; internal agency reports on implementation and usage; project notes and M&amp;E record of implementation and results of training.</p> <p>2.3 Project notes and M&amp;E record of implementation and results of training showing appointment of champions; internal agency records; journal articles; news reports.</p>	<p>The security situation in target research areas will allow training activities to take place.</p> <p>Beneficiaries of training will have sufficient capacity to absorb and implement new approaches and will be open to public-private, inter-agency training and co-operation.</p> <p>Relevant public-sector agencies, financial institutions and NGOs in Malawi, Mozambique and Zambia see the value of participation in the project and are prepared to engage.</p> <p>Capacity-building and training efforts will be sufficiently dynamic to respond to any legislative and regulatory changes at the national and regional levels.</p> <p>In-depth knowledge on the part of project leaders and partners allows selection of suitable participants.</p>
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<p><b>3. Relevant individuals from at least three law-enforcement agencies in Kenya, Tanzania and Uganda receive follow-on training from Round 2, specifically in the collection and sharing of financial intelligence at a transnational level, facilitating effective high-level, cross-border investigations and successful prosecutions.</b></p>	<p>3.1 6 days of multi-agency transnational-level training are conducted which provide 15 relevant actors from at least three law-enforcement and other agencies in Kenya, Tanzania and Uganda with the skills to effectively investigate illicit financial flows linked to IWT by March 2019.</p> <p>3.2 Standardised procedures are set up by March 2019, where formerly guidance on transnational-level processes was patchy and unstandardised.</p> <p>3.3 All agencies involved in training identify and assign a 'champion' to guide the use of, and assist others in the use of, the training delivered by March 2019.</p>	<p>3.1 Number of days of transnational-level training provided on IFFs linked to the IWT (baseline = zero) to at least three agencies; project notes and M&amp;E record of implementation and results of training; participant feedback; internal agency reports; results of pre- and post-training evaluation surveys completed by participants to measure impact of the training.</p> <p>3.2 Standardised procedures produced; internal agency reports on implementation and usage; project notes and M&amp;E record of implementation and results of training.</p> <p>3.3 Project notes and M&amp;E record of implementation and results of training showing appointment of champions; internal agency records; journal articles; news reports.</p>	<p>The security situation in target research areas will allow training activities to take place.</p> <p>Beneficiaries of training will have sufficient capacity to absorb and implement new approaches and will be open to cross-border, inter-agency training and co-operation.</p> <p>Relevant agencies in the three countries see the value of participation in the project and are prepared to engage – building on work done in Challenge Fund Round 2.</p> <p>Capacity-building and training efforts will be sufficiently dynamic to respond to any legislative and regulatory changes at the national and regional levels.</p> <p>In-depth knowledge on the part of project leaders and partners allows selection of suitable participants.</p>
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<p><b>4. Best-practice in financial investigation of IWT is generated for future use, and documented through six tailored and comprehensive e-learning courses and six rapid-reference guides launched as tools for transmitting understanding of financial investigation of IWT on an ongoing basis within specialised departments of at least 12 universities and professional training bodies in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda.</b></p> <p><i>N.B.</i> - 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.</p>	<p>4.1 Six formally produced e-learning courses and six rapid-reference guides document best practice in financial investigation of IWT in East Africa, both domestically and internationally, and are physically launched and presented in at least 12 universities and training departments (two per country) by project staff by March 2019.</p> <p>4.2 By March 2019, specialised departments of at least twelve universities and professional training bodies in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda (two per country) are inducted to instruct students in the use of the e-learning course and reference guide.</p> <p>4.3 By March 2019, the six rapid-reference guides are embedded in and used by law-enforcement and other agencies, both at a national and international level, to guide operations and to further build capacity on financial investigation of IWT.</p>	<p>4.1 Six formally produced e-learning courses and six rapid-reference guides documenting best-practices; newspaper articles and coverage by wildlife, organised crime, security and law-focused organisations; coverage of launch events in each country.</p> <p>4.2 Documentation establishing agreements to deliver e-learning courses and rapid-reference guides to selected universities and professional training bodies; induction provided during presentation and launch events; university and training records; course feedback; university annual reviews; coverage of launch events in each country.</p> <p>4.3 Internal reports and records of Malawian, Mozambican, Zambian, Kenyan, Tanzanian and Ugandan agencies involved in training; policy documents; reports of relevant government departments; project documentation and reports of intergovernmental organisations; course feedback; induction provided during presentation and launch events.</p>	<p>Relevant departments of at least 12 universities and professional training bodies (2 per country) in Malawi, Mozambique, Zambia, Kenya, Tanzania and Uganda see the value of participation in the project and are prepared to engage.</p> <p>Law-enforcement and other agencies, both at a national and international level, welcome the production, documentation and launch of best practice via the e-learning course and rapid-reference guide.</p> <p>The security situation in target countries allows the launch of the materials developed.</p>
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**Activities** (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)

- 1.1 – Assessment of current evidence around the scale, dynamics and impacts of IFFs linked to IWT in Malawi, Mozambique and Zambia based on desk-based research, fieldwork and interviews
- 1.2 – Mapping exercise documenting capacity in wildlife, law-enforcement, customs, financial and justice institutions in Malawi, Mozambique and Zambia to tackle wildlife-linked illicit financial flows – based on desk-based research, fieldwork and interviews
- 1.3 – Analysis and documentation of findings in an internal written report, to guide all project team members in the design of training and in the invitation of particular agencies to participate in training during Work Package 2. Publication of at least two publicly available articles transmitting the findings of the assessment.
  
- 2.1 – Collaborative design and elaboration of tailored domestic- and transnational-level training modules for Malawi, Mozambique and Zambia, and sharing of modules with all project partners and relevant Malawian, Mozambican and Zambian agencies.
- 2.2 – Convening of all relevant public-sector agencies and private-sector institutions for the training courses in Malawi, Mozambique and Zambia, confirming exact participants, venues and all other logistics.
- 2.3 – Delivery of three, 8-day hands-on multi-agency training courses in Malawi, Mozambique and Zambia – involving both public and private sectors in each country.
  
- 2.1 – Collaborative design and elaboration of tailored transnational-level training modules for Kenya, Tanzania and Uganda, and sharing of modules with all project partners and relevant Kenyan, Tanzanian and Ugandan agencies.
- 2.2 – Convening of all relevant public-sector agencies and private-sector institutions for the training courses in Kenya, Tanzania and Uganda, confirming exact participants, venues and all other logistics.
- 2.3 – Delivery of three, 2-day hands-on multi-agency transnational-level training courses in Kenya, Tanzania and Uganda – involving public sectors in each country.
  
- 4.1 – Collaborative design and documentation of six tailored e-learning courses and six rapid-reference guides for each country to endure beyond the training's end.
- 4.2 – Outreach to all relevant public-sector training departments, university departments and other higher-education institutions and organisation of details and logistics for the provision of the resources to those institutions.
- 4.3 – Visit by key team members to focus countries to launch, promote and provide inductions on the resources developed to key public-sector

training departments, university departments and other higher-education institutions, their staff and students, to share findings and boost uptake by further awareness raising on the importance of pursuing higher-level wildlife trafficking networks through financial investigation, reaching stakeholders not directly involved in training.

**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. Please add/remove columns to reflect the length of your project. For each activity (add/remove rows as appropriate) indicate the number of months it will last, and fill/shade only the quarters in which an activity will be carried out. The workplan can span multiple pages if necessary.

Activity	No of months	Year 1				Year 2			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Output 1 Strategic assessment of IFFs linked to IWT and capacity in Malawi, Mozambique, Zambia</b>	<b>3</b>								
1.1 Assessment of scale and dynamics of IFFs	2								
1.2 Assessment of capacity to address IFFs	2								
1.3 Analysis and documentation of findings	1								
<b>Output 2 Domestic-level training in Malawi, Mozambique, Zambia</b>	<b>7</b>								
2.1 Design and production of training modules	2								
2.2 Convening of agencies for training	2								
2.3 Delivery of 3 8-day training courses	3								
<b>Output 3 Transnational-level training in Kenya, Tanzania, Uganda</b>	<b>3.5</b>								
3.1 Design and production of training modules	2								
3.2 Convening of agencies for training	2								
3.3 Delivery of 3 2-day training courses	0.5								
<b>Output 4 Documentation of training resources as e-learning courses and rapid-reference guides</b>	<b>4.5</b>								
4.1 Design and documentation of training resources	2								
4.2 Outreach to training/university departments	2								
4.3 Launch of training resources in focus countries	0.5								

## 25. 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. Additionally, please indicate an approximate budget and level of effort (person days) to be spent on M&E (see "Financial Information for IWT")

(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 and document best-practice in capacity-building around wildlife-linked IFFs (Output 4) through professionally produced e-learning courses and rapid-reference guides. M&E during Activities 2.3 and 3.3 in particular will be crucial to this output, ensured through significant M&E staff time dedicated during these phases – and to analysis of this experience during Work Package 4. Ewan Lawson, as an experienced M&E specialist, 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.

Total project budget for M&E (this may include Staff and Travel and Subsistence Costs)	
Number of days planned for M&E	42
Percentage of total project budget set aside for M&E	%

## 26. FCO notifications

Please put an X in 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

## 27. Certification

On behalf of the trustees of The Royal United Services Institute  
(\*delete as appropriate)

I apply for a grant of £ 254,900 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 Operating 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.**

## 28. 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 read, and can you meet, the current <b>Terms and Conditions</b> for this fund?	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)	YES
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 Monday 12 December 2016 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 (e.g. 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.



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