

Submit by 2359 GMT on Tuesday 20 February 2018

Department for Environment, Food and Rural Affairs

Application form for Illegal Wildlife Trade Challenge Fund Round 4 - Stage 2

Before completing this form, please read both the Fair Processing Notice on pages 18 and 19 of this form and the Guidance. This is available at GOV.UK. Where no word limits are given, the size of the box is a guide to the amount of information required.

1. Name and address of lead organisation

Notification of results will be by email to the Project Leader only

Applicant Organisation Name:	Stop Ivory
Address:	
City and Postcode:	
Country:	
Project Leader name:	John Stephenson
Project Leader email:	
Project Leader phone:	

2. Stage 1 reference and project title

Stage 1 Ref:	Title (Max 10 words):
359	<i>Securing Africa's ivory: Developing gold-standard stockpile management systems</i>

3. Project dates and budget summary

Start date: 01/07/2018	End date: 31/03/2021	Duration: 2 years 9 months	
2017/18 £ 79,616	2018/19 £ 149,117	2019/20 £ 41,282	Total request £ 270,014
Proposed (confirmed and unconfirmed) co-financing as % of total Project cost			%

4. Summary of Project

Please provide a brief summary of your project, its aims, and the key activities you plan on undertaking. Please note that if you are successful, this wording may be used by Defra in communications e.g. as a short description of the project on GOV.UK. Please bear this in mind, and write this summary for a non-technical audience.

(80 of Max 80 words)

Ivory, accrued by natural mortality or seizures of illegal stock, is held in government storerooms that often lack adequate security and management procedures, and are vulnerable to corruption and theft. A robust ivory management system will keep these products from returning to and perpetuating the illegal supply chain. In partnership with national government authorities across Africa, we will develop, trial and put into practice storeroom Guidelines and Standard Operating Procedures (SOP), embedding this into government policy to ensure regular use.

5. What will be the Outcome of the project?

(See Guidance Notes 3.1 and 4, and Annex B - guidance on developing a log frame)

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 25.**

(28 of Max 30 words)

A comprehensive stockpile management system providing proper storeroom security and procedures, that will prevent illegal wildlife products from leaking back into the supply chain which perpetuates their trade.

6. Which of the four 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 and economic development, to benefit people directly affected by IWT	
2. Strengthening law enforcement	X
3. Ensuring effective legal frameworks	
4. Reducing demand for the products of the illegal wildlife trade	

6b. Which of the commitments made in the London Conference Declaration, the Kasane Statement and/or the Hanoi Conference 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)

This project directly addresses the issue of “improving law enforcement and border control in key source, transit and destination countries” and “corruption” under the theme “strengthening law enforcement”.

The relevant commitments of the London conference supported by this project are:

Eradicating the market for illegal wildlife products I

Strengthening law enforcement XIII and XV

6c. Global Goals for Sustainable Development (SDGs)

Please detail how your project will contribute to the Global Goals for Sustainable Development (SDGs).

(250 of Max 250 words)

Wildlife product stockpiles are a target for theft and an inducement to corruption; the need to properly manage such stockpiles is recognized in international fora as important to illegal wildlife trade prevention. The lack of adequate, standardised stockpile storeroom operating procedures allows seized and accrued ivory, and other products, to leak into the illegal supply chain. This supply, in turn, contributes to the continued demand for ivory that drives the poaching of African elephants. By establishing robust management systems, this project targets the supply of and demand for illegal wildlife products in line with target 15.7 of the SDGs; ‘Take urgent action to end poaching and trafficking of protected species of flora and fauna and address both demand and supply of illegal wildlife products’.

This project addresses target 15.c: to ‘Enhance global support for efforts to combat poaching and trafficking of protected species, including by increasing the capacity of local communities to pursue sustainable livelihood opportunities.’ Through implementing simple and efficient stockpile management Guidelines and Standard Operating Procedures, not only is the enforcement capacity of the relevant government departments enhanced across partner States, but the inclusive training involved builds skills and awareness on ivory trafficking and poaching. Additionally, improved stockpile management and security mitigates the harm to rule of law and, in turn, to economic development. The poaching of elephants, both a keystone species and strong tourist attraction, amounts to the theft of a public good – hindering the economic growth and sustainable livelihoods possible from wildlife tourism and associated sectors.

7. Country(ies)

(See Guidance Notes 3.3 and 4.5)

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.

Country 1: Uganda	Country 2: Ethiopia
Country 3: Malawi	Country 4: Africa wide The Guidelines and SOPs developed and tested in the three countries, will be shared with all 18 members of the Elephant Protection Initiative and go on to be freely available and adaptable, in English, French and Portuguese, for use by any country that wishes to improve the management of its stockpiles.

8. a. About the lead organisation:

What year was your organisation established/ incorporated/ registered?	2013
What is the legal status of your organisation?	NGO Yes Government No University No Other (explain)
How is your organisation currently funded?	(Max 100 words) The operational costs of the organisation and the activities it currently undertakes in pursuit of its charitable objectives are currently funded by the generous in-kind and financial support of private and public sector organisations and private donors. This includes grants from government agencies such as Defra, multilateral organisations such as the World Bank, partner NGOs such as Conservation International, and foundations such as the Tusk Trust and those of private individuals.
Have you provided the requested signed audited/independently examined accounts?	Yes

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. They can include IWT Challenge Fund and Darwin

Initiative projects

Contract/ Project 1 Title	Providing support for implementing the Elephant Protection Initiative (EPI). Funded by Defra.
Contract Value/ Project budget	£
Duration	2 years
Role of organisation in project	Sole implementing organisation, working in partnership with African governments and NGOs.
Brief summary of the aims, objectives and outcomes of the project.	<p>Aims: to achieve significant progress towards gaining the commitment to, and implementation of, the EPI aims across African Elephant range States.</p> <p>Outcomes:</p> <p>1. Institutionalising the EPI. 12 African states joined the EPI and 24 NGOs pledged support for the EPI aims.</p> <p>2. Supporting the implementation of the EPI actions relating to ivory. EPI countries were supported to draft the resolution on closing domestic ivory markets, which was submitted to CITES 17th COP. Guidance for closing domestic ivory markets was developed and shared with EPI members. National ivory inventories were carried out in 10 countries and ivory disposal events were supported in 4 countries.</p> <p>3. Developing National Elephant Action Plans (NEAPs). Guidelines on developing NEAPs were written and disseminated and NEAPs were developed in 6 EPI member countries.</p> <p>4. Funding the Implementation of the NEAPs. The Stop Ivory NEAP disbursement mechanism was developed with advice from Ernest and Young and Mishcon de Reya including Terms of Reference Guidelines and forms for the Technical Review board. Stop Ivory commissioned a review of the international funding mechanisms for the African Elephant Action Plan (AEAP) and organised an EPI Implementation meeting in Gabon in June 2016 to review the major challenges that have prevented implementation of the AEAP.</p>
Client contact details (Name, e-mail, address, phone number).	John Stephenson

Contract/ Project 2 Title	Contract 7172687 'Program Development to Address Elephant and other Wildlife Poaching and Illegal Tracking in Sub-Saharan Africa. Funded by the World Bank.
Contract Value/ Project budget	\$
Duration	10/09/14 – 31/03/15
Role of organisation in project	Sole Implementing Organisation

Brief summary of the aims, objectives and outcomes of the project.	<p>Objective: Organise two or three high level events to garner more support and feedback from client countries; Conduct research from which to draft technical guidance and recommendations to address the problems of elephant poaching and the illicit trade in ivory; Design an overall program for client countries to adopt.</p> <p>Outcomes:</p> <ol style="list-style-type: none"> 1. Desk top review identified the key priorities of governments to combat elephant poaching and ivory trafficking. 2. High-level event in New York in September 2014 assembled heads of state and donors to agree on committing funding to the EPI, agree a timeline and actions for funding through the GEF and other donors and a strategy to invite new members to the EPI. 3. Technical meeting at the IUCN World Parks Congress on the EPI for government stakeholders to discuss national and regional components of the EPI and present the tool kits of the EPI including the process for developing National Elephant Action Plans. 4. Report delivered to the World Bank on priority investments needed for elephant protection work, priority investments for regional wildlife protection activities, monitoring and evaluation systems.
Client contact details (Name, e-mail, address, phone number).	John Stephenson

Contract/ Project 3 Title	Support for Stop Ivory's secretariat role in delivering the EPI. (Gift from a private US donor).
Contract Value/ Project budget	
Duration	01/05/15 – 01/11/16
Role of organisation in project	Sole Implementing Organisation
Brief summary of the aims, objectives and outcomes of the project.	<p>Objective: Support delivery of EPI</p> <p>Outcomes: National inventories of ivory stockpiles; development of National Elephant Action Plans; expanding the membership of the EPI; organising EPI Implementation Board meetings; conduct research on demand reduction; support EPI members for drafting resolutions at the CITES CoP 17 to further the aims of the EPI.</p>
Client contact details (Name, e-mail, address, phone number).	John Stephenson,

9. Project partners

Please list all the partners involved (including the Lead Organisation) and explain their roles and responsibilities in the project. Describe the 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:	Stop Ivory (SI)
Website address:	www.stopivory.org
Details (including roles and responsibilities and capacity to engage with the project):	<p>(196 of Max 200 words)</p> <p>Stop Ivory is a partnership-based organisation – recognising that it is essential to accrue expertise across a broad base to achieve its objectives. SI’s mandated role as the co-Secretariat of the Elephant Protection Initiative (EPI) is to build support for the initiative and assist member States to implement its aims – one of which is to put ivory out of economic use until elephants are no longer threatened. Stop Ivory developed the Ivory Inventory Protocol and Stockpile Management Systems (SMS), assisting 10 African countries to inventory and manage their stockpiles using an efficient, digital process to generate secure, real-time data.</p> <p>SI will lead this project, with responsibilities including to:</p> <ul style="list-style-type: none"> • Oversee project management, financial management and reporting, and coordination and communication between implementing partners, • Oversee the development of draft ivory storeroom guidelines and SOPs for ivory storerooms in consultation with stakeholders, • Provide in-country capacity building in auditing storeroom management systems, • Support the three partner countries to plan for an effective storeroom management system, • To ensure that final documents (Guidelines and SOPs) and lessons-learned are freely available to the wider EPI community. • Collaborate with locally based NGOs to assist government agencies where necessary, e.g. accessing finances through RSPCA in Malawi.

Partner Name:	Elephant Protection Initiative
Website address:	http://www.elephantprotectioninitiative.org/

<p>Details (including roles and responsibilities and capacity to engage with the project):</p>	<p>(97 of Max 200 words)</p> <p>The EPI is an African-led, partnership-based elephant conservation initiative. The EPI supports its 18 African state members to deliver the EPI commitments including conducting inventories of ivory stockpiles, development of National Elephant Action Plans (NEAPs) and delivering priority actions under the NEAPs.</p> <p>The responsibility of the EPI will be:</p> <ul style="list-style-type: none"> • To encourage and promote the need for good practice concerning ivory store management, among EPI member and non-member States, • To encourage and provide financial and/or technical support to EPI member countries, to adopt the guidelines and SOPs, where appropriate as part of their National Elephant Action Plans (NEAPs).
<p>Have you included a Letter of Support from this organisation?</p>	<p>Yes</p>

<p>Partner Name:</p>	<p>Ethiopian Wildlife Conservation Authority (EWCA)</p>
<p>Website address:</p>	

<p>Details (including roles and responsibilities and capacity to engage with the project):</p>	<p>(177 of Max 200 words)</p> <p>EWCA is a governmental organization under the Ministry of Culture and Tourism, responsible for conservation & sustainable utilization of wildlife in Ethiopia. Their mission is to conserve and manage Ethiopian wildlife and its habitats in collaboration with communities and stakeholders for the ecological, economic and social benefits of the present and future generations. Under the management of EWCA, Ethiopia's ivory stockpile was last inventoried in 2013 and then destroyed in 2015, and there exists an institutional willingness from EWCA to ensure that an effective SMS is in place. The responsibility of EWCA will be:</p> <ul style="list-style-type: none"> • To ensure that the appropriate human resources and capacity is allocated to developing and implementing the ivory storeroom and stockpile management systems, • To create the enabling environment for intra and inter-departmental decisions on ivory storage and stockpile movements, • To ensure reporting on adherence to the developed guidelines and SOPs, which also supports compliance with CITES Resolutions concerning ivory stockpile security, management and monitoring, • Ensure that guidelines and procedures are adopted by all departments concerned with handling ivory, and that inter-departmental accountability is maintained.
<p>Have you included a Letter of Support from this organisation?</p>	<p>Yes</p>

<p>Partner Name:</p>	<p>Malawi Department of National Parks and Wildlife (DNPW)</p>
<p>Website address:</p>	

<p>Details (including roles and responsibilities and capacity to engage with the project):</p>	<p>(198 Max 200 words)</p> <p>The DNPW is committed to protecting Malawi's natural heritage, working together with communities and likeminded partners. With support from SI, the DNPW established a digital stockpile management system, and has been regularly reporting on the stockpile inventory to CITES. This was led by the director of DNPW, Brighton Kumchedwa, who in 2017 was nominated for the prestigious Tusk Conservation award. Although regular inventories are conducted on the centralised stockpile, there are no transport and chain of custody SOPs from the point of seizure to regional stockpiles and then to the central stockpiles, posing a serious risk on any management system. DNPW work with in-country based NGOs RSPCA and LWT.</p> <p>The responsibility of DNPW will be:</p> <ul style="list-style-type: none"> • To ensure that the appropriate human resources and capacity is allocated to developing and implementing the ivory storeroom and stockpile management systems, • To create the enabling environment for intra and inter-departmental decisions on ivory storage and stockpile movements, • To ensure reporting on adherence to the developed guidelines and SOPs, which also supports compliance with CITES Resolutions concerning ivory stockpile security, management and monitoring, • Ensure that guidelines and procedures are adopted by all departments concerned with handling ivory, and that inter-departmental accountability is maintained.
<p>Have you included a Letter of Support from this organisation?</p>	<p>Yes</p>

Partner Name:	Uganda Wildlife Authority (UWA)
Website address:	http://www.ugandawildlife.org/
Details (including roles and responsibilities and capacity to engage with the project):	<p>(156 of Max 200 words)</p> <p>UWA is the government department for conserving and managing Uganda's wildlife for the people of Uganda and the whole world. It is mandated to ensure the sustainable management of wildlife and resources and supervise activities in Uganda within and outside protected areas. With support from SI, UWA have inventoried and established a digital SMS since 2015, and is reporting on ivory stockpiles in compliance with CITES requirements. The responsibility of UWA will be:</p> <ul style="list-style-type: none"> • To ensure that the appropriate human resources and capacity is allocated to developing and implementing the ivory storeroom and stockpile management systems, • To create the enabling environment for intra and inter-departmental decisions on ivory storage and stockpile movements, • To ensure reporting on adherence to the developed guidelines and SOPs, which also supports compliance with CITES Resolutions concerning ivory stockpile security, management and monitoring, • Ensure that guidelines and procedures are adopted by all departments concerned with handling ivory, and that inter-departmental accountability is maintained.
Have you included a Letter of Support from this organisation?	Yes

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 or a 1 page job description or Terms of Reference for roles yet to be filled. Please include more rows where necessary. These should match the names and roles in the budget

spreadsheet.

Please include more rows where necessary.

Name (First name, Surname)	Role	% time on project	1 page CV attached?
John Stephenson	Project Leader	10%	Yes
Ruth Musgrave	Project Manager	25%	Yes
Jasmine Williamson	Financial Manager	5%	Yes
Winnie Kiiru	Country Liaison	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.

1. African elephant	2. The process and technology can be adapted to account for the products of other species at risk from the illegal wildlife trade e.g. lions, rhinoceros, hippopotamus, and pangolin.
3.	4.

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.

(295 Max 300 words)

The main threat to African elephant populations is poaching and the illegal trade in elephant products. The IUCN 2016 African Elephant Status Report, reports a continental decline in elephants with a surge in ivory poaching beginning in 2006, comparable with those of the 1970's and 1980's.

Ivory in government stores is often not securely stored and risks being leaked back to the black market. The theft of stored ivory has been reported in [numerous countries](#) in Africa, while this public information is likely to represent only a percentage of actual thefts. Ivory leakage is facilitated by several factors: the lack of security measures and robust standard operating procedures across the chain of custody from the point of seizure to central storerooms, the organised nature of ivory trafficking that infiltrates into government, the numerous government departments that handle seized ivory at various stages, and the lack of accountability and transparency. Securing national ivory stockpiles is an essential component of well-developed systems to protect contraband and to ensure it is not available to the illegal markets.

This project will address this through improving the tools and law enforcement concerned with securing ivory stockpiles that are held in storerooms controlled by multiple government agencies. This will be achieved through improved security, enhanced multi-agency collaboration as well as accountability and transparency embedded within the storeroom and stockpile management systems. Ethiopia, Malawi and Uganda were selected since all experience elephant poaching, and particularly due to their significant role as transit hubs for ivory in Africa.

The **reduced risk of corruption** will benefit the wildlife authorities and law enforcement officers, improving their international reputation, and potentially their access to investment and other donor funds. Less corruption and improved transparency will also improve confidence and relationships between government authorities and civil society.

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.

(750 Max 750 words)

A motivation for the project is supporting countries to meet their commitment to the Elephant Protection Initiative (EPI), specifically to put ivory out of economic use by preventing stockpiles leaking back into the illegal market.

The project supports CITES Parties to comply with CITES Resolution 10:10 (CoP 16) on securing stockpiles. If developed in time, this project could contribute to the development of CITES' guidelines on Ivory Stockpile Management (Decision 17.171).

The project activities will deliver on priorities identified in the three partner countries' National Elephant Action Plans (NEAP), and National Ivory Action Plans (NIAP).

The activities build on Stockpile Management Systems (SMS) that have been supported by SI in the three partner countries and seven other EPI countries. The SMS creates a digital record of store inventories, and sets-out procedures for inventorying stockpiles and collecting samples for forensic analysis, complimenting procedures to improve storeroom security and chain of custody.

1) Develop two complementary tools for improving storeroom security and management:

- ***Standards and guidelines for ivory storerooms***
- ***Template Standard Operating Procedures (SOPs) for storeroom management and chain of custody (CoC) from point of seizure to decentralised and centralised storerooms.***
 - a. This will start with consultations with wildlife departments and supporting NGOs in each country to: review current use of the SMS system, compliance with CITES recommendations and country-specific needs regarding physical security measures, internal controls procedures etc. Experts in the field of wildlife storeroom management will be contracted to visit field sites and provide input on draft guidelines and minimum to gold-standards, that are relevant to the conditions typically found in the EPI countries. Emphasis will be on drafting practical prescriptions for ivory storerooms and SOPs, and user-friendly documents and checklists. Technical meetings between the experts, end-users from the partner countries and other key stakeholders e.g. CITES, will provide a review of the guidelines before field testing.
 - b. Both tools will be developed in consultation with partners including government departments, NGOs, CITES and the private sector, building on existing available materials. Once field tested (see below), the draft documents will be finalised and made freely available online. SI and the project partners will encourage other EPI countries to adopt the tools, in order to meet EPI and CITES commitments.

2) Improve ivory storeroom management and security in three partner countries

- a. In each partner country, the ivory storerooms will be audited against the guidelines and checklist to assess compliance. Similarly, the current CoC procedures and operations will be compared against the template SOPs. This will be carried out both as: 1) a field-testing exercise of the developed tools which consequently will be refined and finalised, and 2) a training and capacity-building process as the audits will be co-conducted by an independent expert (e.g. SI), government partner agents (e.g. storeroom managers) and if appropriate supporting NGOs. Country reports will provide requirements on how to meet minimum and gold standards, and implement national SOPs. Working together, experts from SI and wildlife department officials trained on the SMS system, will ensure the new storeroom and CoC guidance is integrated into the Department's SMS work.
- b. SI will work with the wildlife departments and supporting NGOs, to prioritise required changes, develop a plan to make changes (including a time-bound and budgeted outline on: human resources investment, installation and seeking additional funds for any major changes), and make improvements within existing budgets and funds from IWTCF. Support will be given to seek additional funds for larger scale improvements.
- c. Under guidance from an independent expert, follow up audits will be carried out by the wildlife departments, to: 1) assess whether changes required from the initial audit have been made, and 2) reinforce training and capacity building of government agents on the auditing process. Each government will indicate whether in the long-term the auditing procedure will be self-monitoring or third party.

This project builds on existing strong institutional relationships between SI, through the EPI, with the Wildlife Departments and supporting NGOs in Malawi, Uganda and Ethiopia. SI works closely with these countries to support ongoing activities such as National Elephant Action Plans and SMS.

SI will oversee the coordination and monitoring of this project. SI has a permanent presence in Kenya and London, and senior staff will visit each country to facilitate management and progress meetings. Technical meetings, (i.e. presenting and validating the template documents) will be organised at key points during project progress. We hope that a tri-country side meeting will be held at the upcoming IWT conference in London, or the next CITES conference.

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? 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?

Office use only

Date logged:

Logged by:

Application ID:

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.

Demand reduction projects should clearly demonstrate their indirect links to poverty reduction, for example, by identifying impacts in the source countries for the products concerned.

(718 of Max 750 words)

Who will benefit?

There are direct and indirect beneficiaries from this project.

The direct beneficiaries will be the three partnering wildlife departments, other law enforcement agencies and supporting NGOs.

Wildlife departments will have improved capacity to plan and implement effective ivory storeroom security and management, and chain of custody systems, including on-going monitoring. **In-country NGOs**, will also benefit from developing these skill-sets to continue providing support as necessary to the government departments, and being independent third-party observers.

A lack of robust and transparent ivory management systems facilitates access for criminals, often in collusion with government officials, to exploit government ivory stockpiles. Ivory management is high-risk for government officials, due to the risk to their personal safety from armed criminals attempting break-ins and the risk of prosecution if they collude with the criminal. This creates a working environment of mistrust and suspicion. By establishing a system that clamps down on the potential for corruption, officials will have a safer workplace, with greater confidence in the whole management structure, and less opportunity and temptation to facilitate ivory leakage.

Indirectly **governments** of participating countries will benefit, by demonstrating their willingness and ability to put in place transparent systems, and gain a reputation for zero-tolerance to corruption. This has implications for poverty reduction (see below).

Local communities will also benefit indirectly from the project. Rural communities are victims in poaching networks; village poachers are exploited to poach elephants over other means of revenue, they are at a high risk of prosecution and imprisonment that can have devastating consequences to a poor family. Changes to the ivory management system will create barriers to the poaching networks operating at local scales, making the financial gains from poaching less tempting.

How will this contribute to sustainable development for poverty reduction?

Better protected elephant populations

The ultimate goal of this project is that elephant populations will be better protected, and this project is just one of many initiatives that contribute to this. The advantage of ivory storeroom management systems is its visibility, with secured buildings and technology for monitoring stockpiles. This visibility adds to renewed confidence that a country has a genuine interest to combat the ivory trade and stamp out corruption. This is important for tourism choices; tourists are likely to make a choice to visit one country over another if they feel secure, have confidence in the law enforcement institutions, and obviously that they will see elephants.

Stamp out insecurity and corruption

Corruption creates insecurity and the risk of violence, when communities lose confidence in public law enforcement departments. By reducing corruption, this should improve the relationship between communities and the law, reducing the risk of violent outbreaks, and improve confidence in law enforcement officers by local communities who suffer from the negative effects of poaching.

How many people are likely to benefit and how will you monitor the benefits?

In each partnering country, the number of direct beneficiaries will probably exceed 40 people from both government departments and supporting NGOs, depending on the scale of existing storeroom structures and how many people are made available to participate on the project. This will include:

- All officials for the wildlife departments who handle ivory, from seizure to storerooms, who will receive training in the SOPs,
- Staff at department headquarters,
- Field and HQ staff from other departments such as the police, customs and court rooms.

These are individuals who will receive training and capacity building both in carrying out the storeroom and SOP audits, as well as contributing to the development of the reference documents. Indirectly all staff from wildlife departments and other participating government departments will benefit as there will be less opportunity for any individuals to steal ivory or collude with criminals. As a result, the reputation of their department is improved, organised criminal activity will drop and individuals will be less exposed to getting involved in criminal activities. This will be measured through attendance on training courses, and participation in high-level technical meetings, while the benefits will be monitored through before-and-after opinion surveys, and government records of complaints/investigations/arrests.

As ivory is handled by several government departments, an important component of the project will be to ensure that capacity building is provided to all departments that handle ivory. We will work towards ensuring that the guidelines and SOPs are institutionalised across all departments, with inter-departmental accountability.

15. Gender

(See Guidance Note 4.6)

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.

(267 Max 300 words)

The project has been designed in accordance with SDG 5 and the International Development (Gender Equality) Act. The Government and SI teams designing the project are gender balanced.

At all stages of the project, it will be considered how gender equity and equality can be maximised, both during and post the project duration. During the development phase of the project, gender issues will be given careful attention, to actively encourage female representatives across the management hierarchy. We will consult the local wildlife authority managers within each of our three partner government departments, in order to develop gender appropriate solutions through project implementation in Malawi, Uganda and Ethiopia.

In order to address the cross-cutting issues of gender mainstreaming and knowledge management, all capacity building initiatives with the government department partners will actively promote, as equal as possible, gender representation on training, and actively seek opportunities for female empowerment. This will include:

- Clear request for gender criteria on the selection of officials for training
- Ensuring training is conducted in an environment to promote gender equity
- Ensuring times of training promoting equal gender representation
- Through the project's experience, the issue of promoting Gender equity will be included as an Appendix document in the Guidelines and SOPs template.

The findings of our partner government consultations will inform the consideration of gender issues in the development of the tools for improving storeroom security and management, whilst recognising that each cultural context varies. By standardising opportunities for female empowerment within the Standards and Guidelines, and Template SOPs, we aim to encourage gender equality and equity for all African states that implement the tools.

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?

(129 of Max 200 words)

This project will develop and put in place good practices for ivory storerooms and chain of custody. Once implemented, in-country capacity, infra-structure, resources and procedures should be in place that ensure the security of government stockpiles. As a result, ivory should no longer risk being lost onto the illegal market. The main outcomes are:

- reduced corruption and opportunity for government officials to collude with illegal trafficking networks that operate at multiple scales,
- reduced risk of government stocks of ivory being lost and returning to the black market,
- reduced levels of poaching as organised poaching rings will be less able to exploit government officials.

As the illegal killing of elephants is the most significant threat to elephant populations, any reduction in poaching resulting from this project will benefit the species.

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?

(196 of Max 200 words)

This is a very time-bound project with a clear exit strategy. The objective is to create products and systems in collaboration with partnering government departments and international experts, transferring capacity, and developing template documents that can be adopted by other countries. Once the initial investment has been made to improve the security of existing ivory storerooms (dependant on additional co-funding), the management systems themselves should become “business as usual” operations. There will not be a long-term reliance on SI for technical or financial support to maintain the outputs of this project.

SI has a long-term commitment to EPI member states, which includes the three partner countries, and therefore on-going work and collaborations are essential. Once the tools have been finalised, we will work in partnership with the EPI to use the tools and lessons-learned to encourage other countries to develop similar systems. The tools will be designed to be user-friendly, practical and functional. They will be translated into the major regional languages, made freely available online and disseminated at major events. The EPI network can facilitate connections with other ivory trade and law enforcement initiatives that have been supported by the Challenge Fund in the region.

Funding and budget

Please complete the separate [Excel spreadsheet](#) which provides the Budget for this application. Some of the questions earlier and below refer to the information in this spreadsheet.

Please refer to the [Finance Guidance](#) for more information.

NB: Please state all costs by financial year (1 April to 31 March) and in GBP. The IWT Challenge Fund cannot agree any increase in grants once awarded.

18. Funding

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

(178 Max 200 words):

The activities under this project continue to support the commitments of members of the EPI and are highlighted as priority actions under the NEAPs and NIAPs of Malawi, Uganda and Ethiopia. The specific EPI objectives this project delivers against are:

- For all ivory stockpiles to be put beyond economic use;
- An initiative to federate national parks and wildlife agencies in Africa, in order to exchange lessons learned and technical experience aimed at promoting south-south cooperation.

Since its formation, the EPI Secretariat has achieved significant progress in pursuit of these objectives, through numerous projects of unrestricted funding;

- Developing new technology for inventorying and managing ivory stockpiles
- Working with partners on secure, transparent ivory inventories in 12 countries,
- Placing 10 ivory stockpiles beyond economic use

In developing gold-standard stockpile management systems, this is a priority project for the EPI to secure national ivory stockpiles. This will prevent both ivory accrued by natural mortality and seizures of illegal stock reaching the black market and perpetuating the global demand for ivory.

Stop Ivory has an on-going partnership with EWCA, DNPW and UWA.

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:

There is no project currently working on ivory storeroom procedures. This project does tie-in with CITES SC 17,171 to develop, disseminate and implement practical guidance for stockpile management. CITES are yet to implement these objectives. It is in the interests of this project that outputs can serve CITES Parties to meet CITES Resolutions. We will maintain close communication with CITES to ensure investment in effort and outputs are optimised for all users.

In 2017, the Government of Ethiopia was awarded a GEF 6 grant “Enhanced Management and Enforcement of Ethiopia’s Protected Area Estate”. In discussion with EWCA, we have identified some synergies between this proposal and output 2.7 of the GEF 6 project; “Management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field is developed”. As a result, activities on capacity building and storeroom improvements will be combined and EWCA have committed £matched funding from GEF6 to contribute towards this.

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

Yes

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

We have applied for matched funding to deliver on the outcome and outputs of the project from the USFWS African Elephant Conservation Fund. The proposal was submitted on the 13th February 2018, with £ requested over 2 years.

If unsuccessful we will seek alternative matched funds from our private donors. We will be able to start the first activities using IWT funds available in Year 1, with the anticipation that additional funds can be found by month 9 of the first year so that all activities can be completed as planned.

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 [“Finance for Darwin & IWT Challenge Fund”](#) and Guidance Note 3.3 and 8.1)

Confirmed:

In addition to the funding Stop Ivory has invested in the processes to date, it is committing £ over three years to support the annual fee for the Kenyan-based firm Bityarn Consult. Bityarn designed and make continual improvements to the digital Stockpile Management System, also assisting in SMS capacity building. Equipment donated by Huawei to SI will be made available to this project valuing £1500 for three Tablets used to enter inventory data. Additionally, as outlined in the budget, partial funding for Stop Ivory staff time is covered by the private donors that have contributed to Stop Ivory's core operational costs, and full funding has been secured for the staff time of the representatives of our partner organisations.

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
14 th February 2018	US-FWS	£	Grant is over 2 years.

19c) None

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

(Max 150 words)

20. Financial Risk Management

Explain how you have considered the risks and threats that may be relevant to the success of this project, including the risks of fraud or bribery.

(197 of Max 200 words)

Programmatic risks:

1. Lack of technical capacity to implement tools

Tools will be developed to practical and user-friendly, with prescriptions that are both locally relevant but adaptable to continental conditions.

2. Political instability

The partner departments are all well established with a history of engaging in large multi-stakeholder projects.

Country level risks:

3. Training is not institutionalised by the governments

Follow-up audits will continue to reinforce training and capacity building. In the long-term, each government will be asked to indicate their future auditing procedure.

4. Lack of human resource investment for priority improvements identified

SI has engaged senior level buy-in within each government department, to ensure full understanding of the project work and its benefits.

5. Provision of funds are vulnerable to corruption

SI will be fully engaged in overseeing the implementation of priority improvements to ivory storerooms, which will be determined by the reporting output and will insist on thorough records for project spending. The available budget for storeroom improvements will be provided on a 2 or 3 step system, with proof of installation/operation required to progress to the next stage. Progress and budget allocation will be reported at quarterly intervals during the monitoring and evaluation process.

21. 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.

(148 of Max 150 words)

Funds have been requested to purchase equipment and materials to improve ivory storerooms. A total of £ per country is budgeted, with £ requested from IWCT representing 40% requested as capital items. During the testing of the guidelines and SOP documents, a "Priority Improvements Plan" for ivory storerooms and procedures

will be produced for each country. This will outline in detail the steps and resources necessary to meet minimum to “gold standards” for storeroom structures and management. This will be used to develop an action plan with each country partner to implement improvements within the available resources, including financial resources. SI will work with each organisation, to make the final decisions about equipment to be purchased, sourcing equipment nationally or internationally using transparent systems, installation and monitoring this project output. Equipment is likely to be window grills, heavy duty locks, CCTV surveillance systems. Weapons will not be procured.

22. 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.

(249 Max 250 words)

At all stages, the project will include competitive tendering and be scrutinised for efficient delivery. The outcomes of the project are sustainable:

- There are currently no standardised Guidelines of Template SOPs widely and freely available. Once created, these tools will continue to be applicable for use for the foreseeable future.
- The tools will be will be shared with all other 15 members of the Elephant Protection Initiative and go on to be freely available and adaptable for use by any country that wishes to improve the management of its stockpiles. This maximizes the potential impact of the tools across African States.
- The Standards and Guidelines and Template SOPs will include recommendations to embed new policies and practices on storeroom management, leading to institutional-level change.
- Training and capacity building of partner government departments will include "training the trainers", to ensure legacy knowledge among government department staff, with measurable learning outcomes.
- Improving the efficiency and effectiveness of wildlife product storeroom management that includes a clear, accountable chain of custody and management process, will benefit over-stretched government department human resources. This will allow for urgently needed direct conservation work that is optimized when data from properly recorded seized or retrieved items highlights hotspots for poaching and trafficking.

We will seek to optimise financial resources for meetings. This includes making use of government buildings for training and meeting venues, and to host multi-stakeholder technical meeting as a side-event to an international conference that target participants are already attending.

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23. Ethics and human rights

(See Guidance Notes 5.4 and 6.1)

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?

(203 Max 250 words)

We have noted the ethical obligations of all IWTCF projects as detailed in Guidance Notes 5.4 and 6.1. Stop Ivory is committed to follow the key principles of good and ethical development project implementation practice, meeting all legal obligations of the UK, and across African countries in which the tools might be implemented. There are no human rights and/or international humanitarian law risks in relation to this project.

This project will:

- Work with local experts, government staff and NGO partners in Uganda, Ethiopia and Malawi who will lead on the implementation of this project. We will develop ToR with all partners to ensure that roles and responsibilities are clearly defined.
- Ensure that the training and capacity building promotes gender equity and equality and is culturally appropriate.
- Ensure that for all personnel we work with in partner countries, their perspectives, interests and well-being are well considered in the design and implementation of priority changes for improvement in storeroom security and management.
- Ensure that risk assessments are discussed with the implementing partners for all aspects of the project (there are no foreseen serious risks).
- Ensure transparent systems, allowing universal access to relevant documents and research, and for project development and progress.

24. Outputs of the project and Open Access

(See Guidance Note 5.5)

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

(219 of Max 250 words)

This project will develop best practice Guidelines and Standard Operating Procedures (SOPs) and associated documents such as auditing tools and a training syllabus for wildlife product storerooms. These documents will be developed through multi-stakeholder consultation and will be field tested in three partnering countries.

We have included two budget lines valuing £ from the IWCT Challenge to ensure that these documents are user-friendly and accessible across the continent: 1) professional designing so that the chapters and contents are clearly presented, and it is easy to navigate through the sections, and 2) versions translated into and available in English, French and Portuguese.

Once finalised SI will work with and use the existing EPI platform to actively promote these tools being adopted by other EPI members states (18 in total) as well as non-member states. We will use a number of communication channels including: presentations and demonstrations at international conferences and Secretariat meetings, provide printed copies and presentations of the tools at the country level as part of National Elephant Action Plan development that the EPI provides support on, and being made freely available online through the Stop Ivory and EPI website platforms.

They may also serve the CITES Secretariat and Parties to achieve CITES SC: 17.171 commitments concerning stockpile management. CITES is fully aware of the development of this project.

Project monitoring and evaluation

25. 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 Outcome 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 provides helpful advice on completing a logical framework

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Impact: (Max 30 words) Decrease in elephant poaching and ivory trade to below a level where it threatens the survival of elephant populations and the sustainable livelihood of people.			
Outcome: (Max 30 words) A comprehensive stockpile management system providing proper storeroom security and procedures, that will prevent illegal wildlife products from leaking back into the supply chain which perpetuates their trade.	0.1 No loss of ivory from government storerooms, in countries actively using EPI standards and guidelines for ivory storerooms and template SOP for storeroom management, by project end. 0.2 100% of known seized ivory added to government stockpiles over project period (Jul 2018-2021) is effectively recorded to SMS. 0.3 Minimum of 1,482,774 km ² (country area for 3 partner countries) covered by improved system for managing stockpiles and storerooms 0.4 An improvement in detail of recordings for subsequent CITES reporting (post 2018) as part of CITES	0.1 Comparison of the digital database against physical inventories, also made available during the annual inventory data of government stockpiles, which is submitted to CITES to comply with Resolution 10:10 (CoP 16) on securing stockpiles. 0.1.1 Number of border confiscations of ivory that is traceable to government stockpiles from baseline of data recorded at beginning of project (Jul 2018) 0.2 Wildlife Department, partner NGOs, and police reports on ivory seizures for analysis against storeroom data, from baseline of beginning of project data recordings.	Government continues to stay committed and allocate sufficient personnel resource to maintain SOPs and storeroom improvements. Reduction of leaked ivory from government stockpiles, and therefore amount of ivory trafficked into the market, will lead to a reduction in demand for ivory and poaching. Government is committed to combatting corruption within its state departments through the appropriate disciplinary action. All those countries who state to be implementing guidelines and SOPs are adopting all the tools available with full

Project summary	Measurable Indicators	Means of verification	Important Assumptions
	Resolution 10:10 (CoP 16) on securing stockpiles	<p>0.3 Number of countries who participate in use of Standards and Guidelines and template for SOP.</p> <p>0.4 Annual inventory data of government stockpiles, which is submitted to CITES to comply with Resolution 10:10 (CoP 16) on securing stockpiles.</p>	commitment.
<p>Outputs:</p> <p>1. Two complementary tools for improving storeroom security and management:</p> <p>a. Guidelines for Ivory Storerooms from minimum to gold award standards, relevant to conditions typically found in EPI countries, are published</p> <p>b. A template Standard Operating Procedures (SOPs) for Storeroom management and chain of custody (CoC) from point of seizure to decentralised and centralised storerooms</p>	<p>1.1. A validated set of practical and effective standards and guidelines for storeroom security and template model SOPs for Storeroom management and chain of custody (CoC) are published, disseminated to EPI countries and made available freely online</p> <p>1.2. Increase in efficiency, detail and accuracy of annual inventory data to CITES through use of tools in reporting process (from 2019-2020, against baseline of 2018)</p>	<p>1.1 Report of field testing and preliminary validation of guidelines and SOPs from independent experts in the field of wildlife storeroom management who will be contracted to visit field sites and provide input on draft guidelines</p> <p>1.1.1 Number of downloads of guidelines from EPI website and requests/uptake of use of guidelines from EPI states.</p> <p>1.1.2 Verify the number of meetings/conference the tools are presented at.</p> <p>1.1.3 Verify the number of countries using the tools.</p> <p>1.2 Annual inventory data of government stockpiles, which is submitted to CITES to comply with Resolution 10:10 (CoP 16) on securing stockpiles, by countries committed to use of tools.</p>	<p>Countries, other than three partner countries, are able to invest in developing the recommended systems.</p> <p>Government departments are able to access the internet to download tools</p> <p>Once tools are downloaded or shared with government departments, they commit to using and implementing the tools effectively</p> <p>Tools are used for CITES annual reporting to comply with Resolution 10:10 (CoP 16) on securing stockpiles</p>
2. Improved Ivory storeroom management and security in three	2.1 In three countries: Ivory storerooms	2.1 Audit report on standards and SOPs, with recommended changes and how to	Access to the storerooms is provided to the expert by the Government departments.

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Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>partner countries (Uganda, Malawi and Ethiopia).</p>	<p>meet the minimum standards, or have an action plan to achieve desired standards. SOPs for storeroom management and CoC are operational.</p> <p>2.2 Storeroom keepers across the CoC have received training in auditing storerooms and compliance with SOPs. Senior wildlife managers have received training in monitoring/auditing and identifying priority action plans to make improvements.</p> <p>2.3 Updated inventory data of Government stockpiles using the Stockpile Management System in each partner country by end of project (2021)</p>	<p>meet minimum and gold standards, provided to each partner country departments.</p> <p>2.1.1 A budgeted and time bound plan to make improvements to storeroom and SOPs, within existing budgets, provided to each partner country at technical meeting</p> <p>2.1.2 Follow up audits co-conducted by independent expert, to assess progress on the action plans for changes to improve ivory storerooms, storeroom management systems and CoC required from the initial audit have been made.</p> <p>2.2 Training and capacity building, during storeroom and SOP audit process (in 2018), of minimum 30 people from government partner agents and if appropriate supporting NGOs in each country. Measured through attendance on training courses, participation in technical meetings.</p> <p>2.2.1 Training and capacity building measured through before and after opinion surveys and government records of complaints/ investigations/arrests.</p> <p>2.3 Annual inventory data of Government stockpiles, which is submitted to CITES to comply with Resolution 10:10 (CoP 16) on securing stockpiles, by countries committed to use of tools.</p>	<p>Governments are willing to undertake the improvements.</p> <p>Laws relating to ivory management in the country are clear.</p> <p>Each partner country remains committed and allocates the necessary human resources to make recommended improvements</p> <p>The EPI is able to provide support of additional funds for larger scale improvements required.</p> <p>Partner country governments effectively implement communications plan.</p> <p>Appropriate funding is made available (either from additional co-funding or by Government departments) for longer term maintenance costs after project completion (2021)</p>

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Project summary	Measurable Indicators	Means of verification	Important Assumptions
	2.4 Gender equality and equity promoted within government departments through implementation of tools in partner countries	2.4 Number of female personnel included in training and capacity building	
<p>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)</p> <p>1.1 Consultations with country wildlife departments and supporting NGOs</p> <p>1.2 Visiting of field sites by contracted experts of wildlife storeroom management</p> <p>1.3 Draft guidelines and minimum to gold-award standards, that are relevant to the conditions typically found in the EPI countries.</p> <p>1.4 Technical meetings between the experts end-users and other key stakeholders, with preliminary validation of draft guidelines before field testing</p> <p>1.5 Tools are field tested in three countries</p> <p>1.6 After field testing, draft documents will be finalised and made freely available online, translated into three main regional languages (English, French and Portuguese)</p> <p>1.7 Promotion by Stop Ivory of tools to EPI member states as a means to meet EPI commitments</p> <p>2.1 Audit of ivory storerooms and storeroom management systems in three partner countries against the guidelines and evaluating the existing SOPs in each country against the template SOPs, with a checklist to assess compliance</p> <p>2.2 Training and capacity-building process during the audits will be co-conducted by an independent expert. Training will be on using the tools and implementing SOPs, and using the digital inventory database, as well as at least 2 senior wildlife managers trained on monitoring compliance and developing and implementing priority action plans.</p> <p>2.3 Country reports given to each partner government department, providing requirements on how to meet minimum and gold standards. Stop Ivory will use this as the framework to work with the wildlife departments and supporting NGOs, to prioritise required changes and develop a plan to make these changes which includes integrating the storeroom and CoC SOPs into the existing SMS digital inventory procedures,</p> <p>2.4 Regular management and progress meetings to be held between SI, government partners and supporting NGOs. Technical meetings, i.e. presenting and validating the template documents will be organised at key points during project progress</p> <p>2.5 An independent expert will provide guidance for follow up audits carried out by department agents to assess changes and improvements</p>			

26. Provide a project implementation timetable that shows the key milestones in project activities

Complete the following table as appropriate to describe the intended workplan for your project (starting from Q2 July 2018). 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				Year 3				
		Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Output 1 Two complementary tools for improving storeroom security and management a. Develop Guidelines for Ivory Storerooms to gold award standards, relevant to conditions typically found in EPI countries, are published b. Develop a template Standard Operating Procedures (SOPs) for Storeroom management and chain of custody (CoC) from point of seizure to decentralised and centralised storerooms													
1.1 Consultations with country wildlife departments and supporting NGOs	2	X											
1.2 Visiting of field sites by contracted experts of wildlife storeroom management	2		X										
1.3 Draft guidelines and minimum to gold-award standards, that are relevant to the conditions typically found in the EPI countries.	1		X										
1.4 Technical meetings between the experts end-users and other key stakeholders	1			X									
1.5 Tools are field tested in three countries	2					X							
1.6 After field testing, draft documents will be finalised and made freely available online, translated into three main regional languages (English,	2								X				

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Activity	No. of months	Year 1			Year 2				Year 3				
		Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
French and Portuguese)													
1.7 Promotion by Stop Ivory of tools to EPI member states as a means to meet EPI commitments	12									X	X	X	X
Output 2 Improved Ivory storeroom management and security in three partner countries (Uganda, Malawi and Ethiopia)													
2.1 Audit of ivory storerooms and storeroom management systems in three partner countries against the guidelines and evaluating the existing SOPs in each country against the template SOPs, with a checklist to assess compliance	2					X							
2.2 Training and capacity-building process during the audits will be co-conducted by an independent expert. Training will be on using the tools and implementing SOPs, and using the digital inventory database, as well as at least 2 senior wildlife managers trained on monitoring compliance and developing and implementing priority action plans.	2					X							
2.3 Country reports given to each partner government department, providing requirements on how to meet minimum and gold standards. Stop Ivory will use this as the framework to work with the wildlife departments and supporting NGOs, to prioritise required changes and develop a plan to make these changes which includes integrating the storeroom and CoC SOPs into the existing SMS digital inventory procedures.	6					X	X						
2.4 Regular management and progress meetings to be held between SI, government partners and supporting NGOs. Technical meetings, i.e. presenting and validating the template documents will be organised at key points during project progress.	2 years	X	X	X	X	X	X	X	X	X	X	X	X
2.5 An independent expert will provide guidance for follow up audits carried out by department agents to assess changes and improvements.	1									X			

27. 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 ["Finance for Darwin and IWT Challenge Fund"](#))

(458 of Max 500 words)

All project partners will be involved in project implementation throughout the life of the project, with all named individuals from the organisations in this proposal expected to contribute. A project Management Committee (MC) will be created with representation from all partnering organisations. The Committee will be responsible for monitoring and evaluation, taking adaptive decisions, making regular workplans, and promoting the project outputs and achievements. The committee will be led by the Project Leader (John Stephenson) with support from the Project Manager (Ruth Starkey) and Country Liaison (Winnie Kiiru). The MC will agree to the M&E procedure, however we expect the following M&E structure:

Review content

The logframe indicators and MoVs and implementation table (Section 25 and 26) will be used to develop a time-bound monitoring matrix for achieving the project outputs and outcome. A budget expenditure analysis will also be conducted.

Frequency

Project progress will be reviewed against this matrix on a quarterly basis by the Management Committee.

Outputs

Based on these reviews, management decisions will be made, including finalising workplans for the following quarter, identifying urgent interventions, budget requirements, optimising resources etc. These outputs will be communicated to all project partners via an email summary of the notes, decisions and delegated actions. SI's Country Liaison can be deployed at any stage to provide in-country intervention and support if identified as necessary.

Communication platform

Typically these will be conducted as remote Skype or Zoom meetings. Committee members will also be able to communicate via a dedicated WhatsApp group, as well as through email/skype, and at meetings. All project partners are expected to attend the technical meeting (review first draft of storeroom Tools), and this occasion will be used as an opportunity for a physical management committee meeting to review progress and identify next steps.

SI will be responsible for overall project and financial management. SI will lead implementation of output 1, developing guidelines and SOPs. Partner organisations will

be responsible for implementing output 2 (putting in place the structures and implementing procedures for improved storerooms) but will be supported throughout by SI. Both outputs and the outcome will be monitored and evaluated through the same M&E procedures.

M&E is financed as staff time involved on the project, and will require between 1-2 days per person (4 SI staff, and 3 named staff from partner organisations) per quarterly. This equates to £ for the duration of the project. We have requested £ to finance the kick-off MC meeting, that will be held in one of the partner country Departments and attended by a least one representative from each partner organisation. Apart from this no additional budget has been requested to pay for travel or meetings specifically for M&E, as this will typically be done remotely using skype or Zoom.

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

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

Certification

On behalf of the trustees of Stop Ivory

I apply for a grant of £ 270,014 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 last two sets of signed audited/independently verified accounts and annual report are also enclosed.

Name (block capitals)	JOHN STEPHENSON
Position in the organisation	CEO

Signed

Date:

20/02/2018

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

Checklist for submission

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

Once you have answered the questions above, please submit the application, not later than 2359 GMT on Tuesday 20 February 2018 to IWT-Fund@LTSL.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 - Fair Processing Notice

The purpose of this Fair Processing Notice is to inform you of the use that will be made of your personal data, as required by the Data Protection Act 1998.

The Department for Environment, Food and Rural Affairs (Defra) is the data controller in respect of any personal data that you provide when you complete your application, the grant acceptance and the supplier forms.

Defra will use your personal data primarily for the purpose of processing your application for Illegal Wildlife Trade (IWT) Challenge Fund funding. By submitting an application, applicants have agreed to any disclosure of the information supplied (including the content of a declaration or undertaking) which Defra considers necessary for the administration,

evaluation, monitoring and publicising of the Funds (as detailed in the paragraphs below).

A completed application form signifies agreement to place certain details of successful applications (i.e. name, title, total grant value, project summary, lead organisation and location of project work) on the Illegal Wildlife Trade (IWT) Challenge Fund website listed below. A completed application form also signifies agreement to send data on the project proposals during the application process to British Embassies and High Commissions outside the UK, including those outside the European Economic Area.

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

Application form data will also be processed by Defra contractors dealing with Illegal Wildlife Trade (IWT) Challenge Fund administration, monitoring and evaluation (working within relevant data protection rules).

Defra may be required to release information, including personal data and commercial information, on request under the Environmental Information Regulations 2004 or 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. The Grantee shall assist and co-operate with the Department (at the Grantee's expense) to enable the Department to comply with its disclosure obligations under these enactments.

We may use information, including personal data, to test computer systems to ensure that they work effectively and efficiently and to develop new systems in order to improve efficiency and the service that we provide to you and other persons. Any use of information for testing or developing computerised systems will be conducted in a secure manner in accordance with the Data Protection Act 1998 to safeguard the privacy of the information that you have supplied.

Defra's Personal Information Charter, which gives details of your rights in respect of the handling of your personal data, is on the Defra section of Gov.uk. If you don't have access to the internet, please telephone the Defra helpline 08459 33 55 77 and ask to speak to the Data Protection Officer for a copy of the Information Charter.



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Any enquiries regarding this publication should be sent to us at

IllegalWildlifeTrade@defra.gsi.gov.uk

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