



Illegal Wildlife Trade (IWT) Challenge Fund Annual Report

To be completed with reference to the “Writing a Darwin Report” guidance: (<http://www.darwininitiative.org.uk/resources-for-projects/reporting-forms>). It is expected that this report will be a **maximum** of 20 pages in length, excluding annexes)

Submission Deadline: 30th April 2020

IWT Challenge Fund Project Information

Project reference	IWT058
Project title	Securing Africa’s Ivory: developing gold standard stockpile management systems
Country/ies	Ethiopia, Malawi, Uganda.
Lead organisation	EPI Foundation (taken over from Stop Ivory)
Partner institution(s)	EWCA, DNPW, UWA
IWT grant value	£270,014 - Full award. £149,117 - Year 2
Start/end dates of project	1 st July 2018 to 30 th March 2021
Reporting period (e.g. April 2019-Mar 2020) and number (e.g. Annual Report 1, 2, 3)	1 st April 2019 – 31 st March 2020. Annual Report Year 2
Project Leader name	Miles Geldard/ Ruth Musgrave
Project website/blog/social media	www.stopivory.org / www.elephantprotectioninitiative.org
Report author(s) and date	Ruth Musgrave, April 2020. Detail from Greta Iori, Jadress Komugasho, Fyson Suwedi.

1. Project summary

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. African elephant populations in the project’s three target countries (Malawi, Ethiopia and Uganda) are classified under CITES listing Appendix I.

Ivory held in government storerooms, accrued from natural deaths or seizures, is often not securely stored or adequately managed and risks being vulnerable to corruption and theft. This allows the ivory to be leaked back on to the black market, contributing to the illegal wildlife trade. 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.

Putting ivory out of economic use is widely recognized in international fora as a key strategy (alongside maintaining the international ban on ivory trade and closing domestic ivory markets) to stem the tide of illegal trafficking. This requires securing national ivory stockpiles as an essential component of well-developed wildlife product management systems to protect contraband and to ensure it is not available to the illegal markets, which prevents it from perpetuating the demand for ivory that drives the poaching of African elephants.

This project aims to address this, through improving the tools, capacity and law enforcement concerned with securing and managing 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.

This project will develop and put in place best practices for ivory storerooms and chain of custody in 3 countries. The document entitled “Best Practises and Gold Standards for Ivory Management” developed in Year 1 of this project (and will be referred to as “Gold Standards” in this report) will be used as the principle guidelines. Once aspects of the Gold Standards are implemented including in-country capacity building, infrastructure improvements, and development of Standard Operating Procedures, this should ensure a comprehensive stockpile management system providing proper storeroom security and procedures. As a result, the risk of ivory and other wildlife products, being leaked into the illegal supply which perpetuates the trade will be minimised.

The results of this project will reduce the risk of corruption of law enforcement staff, by putting in place improved security and stricter, transparent protocols. 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.

The direct beneficiaries of the project are the three partnering wildlife departments (UWA, EWCA and DNPW) which will have improved capacity to plan and implement effective ivory storeroom security and management, and chain of custody systems, including on-going monitoring. Additionally, 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 improve confidence and relationships between government authorities and civil society.

As the illegal killing of elephants is the most significant threat to elephant populations, activities towards the reduction of the illegal trade resulting from this project will benefit the species as a whole.

Indirectly, governments of participating countries will benefit by demonstrating their willingness and ability to put in place transparent systems, and gaining a reputation for zero-tolerance to corruption.



Map 1: The three partner countries highlighted in green – Ethiopia, Uganda and Malawi.

2. Project partnerships

The lead institution for this project changed at the end of January 2020 from Stop Ivory to the Elephant Protection Initiative (EPI) Foundation, which was approved by DEFRA via a change request form to LTS. The first three quarters of Year 2 was lead by Stop Ivory, the report will include both Stop Ivory and EPI Foundation work. Stop Ivory is in the process of closing down as a charity, and it has handed over its mandate as the Secretariat to the EPI to the EPI Foundation, as well as propriety for producing an evidential mechanism for monitoring inventories of government-held ivory stockpiles. There has been a seamless transition of work, through a transfer of staff and technical expertise, and Stop Ivory tools; the Stockpile Management System and Gold Standards.

The Partners to the project are: the Ethiopian Wildlife Conservation Authority (EWCA); the Uganda Wildlife Authority (UWA); and Malawi Department of National Parks and Wildlife (DNPW).

In Year 2, the EPI Foundation /Stop Ivory have coordinated the project overall and provided technical advice to partners, but as the project has focused on implementation of the improvements to storerooms on the ground, this has been led by the partner Wildlife Departments. An overall work plan and budget was developed in collaboration with each partner, therefore each was placed in a strong position to understand the requirements, and take ownership in the implementation of recommendations. This also ensured the necessary government protocols for decision making and endorsement were incorporated. This has required significant communication and coordination with the Governments.

To ensure effective communications and collaboration, the Wildlife Departments have each nominated a focal point for the EPI Foundation to work with on the project. This has involved email, Whatsapp and phone calls, as well as face-to-face meetings. We have also ensured that the Directors of the Wildlife Departments have remained up-to-date with the project, successes and any issues. The Wildlife Departments have been sending the EPI Foundation regular updates on progress with photos and a summary table (examples of the updates are found in the evidence documentation).

The partnerships have continued to be strong, helped by all three governments being EPI member states that are committed to elephant conservation and placing ivory beyond economic use. Therefore the EPI Foundation technical team already have good relationships with the wildlife department staff, that has benefited this project. In Ethiopia where there has been some challenges in pushing forward implementation of recommendations, the project has benefited from the EPI Foundation staff member being based in Addis Ababa. Additionally in Ethiopia, EWCA have partnered with UNDP to help support the implementation of some of the improvements. The EPI Foundation has regular communication with both EWCA and the

UNDP representative who has recently been embedded within EWCA as a technical support role.

We have also worked with Technical Experts – for example Philip Stewart of Tapis Intelligence, on advice on storeroom management procedures.

In terms of challenges in the project partnerships, there have been delays in advancing of the project. In Uganda for example, the process to procure items through UWA is slow, and partnering with a local on the ground NGO partner might have mitigated this issue. However some delays such as the decision making process in UWA, is a process that must follow a strict and sometimes lengthy procedure, which could not be accelerated.

3. Project progress

3.1 Progress in carrying out project Activities

Significant, but slow progress has been made on implementing the project activities in Year 2. All the identified storerooms in Ethiopia Uganda and Malawi were audited using the Gold Standard assessment tool, and budgeted work plans were developed to implement the recommendations to strengthen the storerooms in order to meet the minimum standards for security and management (see Evidence). The improvements have been launched in each partner country, but they have not yet been completed. We envisage that the improvements will be completed before the end of 2020 (assuming Covid-19 travel and work restrictions are lifted by mid-summer).

Further detail on the activities will be detailed within section 3.2.

3.2 Progress towards project Outputs

Output 1.

Two complementary tools for improving storeroom security and management:

- a. Guidelines for Ivory Storerooms from minimum to gold award standards, relevant to conditions typically found in EPI countries, are published
- b. A template Standard Operating Procedures (SOPs) for Storeroom management and chain of custody (CoC) from point of seizure to decentralised and centralised storerooms

Progress to Output 1:

Progress on Output 1 has been successful in Year 2. We are confident that all related activities for the validation and dissemination of the documents will be completed by the project end.

During year 1, the Gold Standards document was developed which entailed consultations with the Partner countries and other EPI Countries, visiting of example storerooms in Uganda and a technical meeting held to review the draft document (Activity 1.1; 1.2; 1.3; 1.4). The Gold Standards document outlines the minimum level required for the security of ivory stockpiles – it includes the physical infrastructure needs, guarding process, management structure, and operating procedures for access, movement, inventory and auditing. The document also includes a simple audit questionnaire to identify what aspects of the storeroom needs improving. The template Standard Operating Procedures (SOPs) are due to provide Governments with a template and vision of what the procedures should be. The template SOPs were developed and have been discussed with partner Governments and other experts, to confirm the SOPs are expected, standard, and achievable.

Year 2 has focused on the dissemination and uptake of the Gold Standards.

The baseline for output 1 is that no similar tool previously existed that was freely available to Governments before the start of the project.

Guidelines published, disseminated to EPI countries and made available freely online.

- In Year 2, the Gold Standards guidelines were finalised and have been published on the EPI website in English, French and Portuguese.
<https://www.elephantprotectioninitiative.org/ivory-management> (MOV1.1, activity 1.6) . Data on visiting the site since August 2019 – March 2020 shows that 84 people have viewed the page and there have been 18 downloads of the document.
- The Gold Standards were provided to CITES as an available tool for countries to use for strengthening ivory management, which had been requested by State Parties (SC69 Decision 17.171). The CITES Secretariat thanked us for the document and requested a summary presentation on the Gold Standards, which could be made available on the CITES website, this is available:
https://www.cites.org/eng/imp/ivory_stockpile_mgmt.html. The presentation provides the link to the full document.

Report of field testing and preliminary validation of guidelines and SOPs:

The Gold Standards are being field-tested in Malawi, Ethiopia and Uganda (activity 1.5) – and we have started to collate lessons learned from the field testing. A primary finding is that whilst the minimum standards for security have been deemed achievable and realistic, when it comes to adapting them for a specific country's SOP, the format and style is sometimes not applicable. Therefore we are in the process of reformatting the standards into a SOP template. The SOPs will soon be finalised, shared with the three partner governments and made freely available online, in three languages. The original Gold Standard document, which goes into depth, will still be available, these shorter, user-friendly SOPs will be an annex to it.

Uptake of use of the Tools

Countries other than the three partners (Uganda, Malawi, Ethiopia) have expressed interest in using the Gold Standards (activity 1.7). This has resulted from a series of bilateral meetings with EPI and non-EPI countries at the CITES COP 18 held in Geneva in August 2019. Of the 19 meetings where the Gold Standards and SMS were discussed, 9 expressed interest in finding out more about the tools. In particular with the governments of Mozambique, Kenya, Gabon and Madagascar, where engagement and discussions on use of the tools are on-going. In addition, following on from meetings and discussions with the delegations from Nigeria, Angola and Cote d'Ivoire in Year 1, the three countries have started work towards meeting the Gold Standards, through an US State Department INL grant to the EPI Foundation.

Annual inventory data of Government stockpiles

As part of the Gold Standards, support has been provided to the partner countries to maintain an update to date inventory of their stockpiles using the Stockpile Management System (SMS). The SMS is a bespoke app and server based system developed for the EPI. It enables rapid data collection on each item in a storeroom which is stored on a central server (located online or on a local host). Each of the 3 partner counties have been using the SMS for several years and all 3 have reported to CITES on their stockpiles as requested by Resolution 10:10 for 2020 (see Evidence).

- Uganda: UWA uses the SMS within their central and field storerooms, and also inventories URA stocks periodically.
- Malawi: DNPW uses the SMS for their central storeroom and then on an annual basis for their field storerooms.
- Ethiopia: EWCA currently uses the SMS for their central storeroom, they have recently conducted a desktop study to locate which storerooms have ivory around the country. Due to civil unrest it has not been possible to travel to all the sites to formally inventory, however once the civil unrest eases, it has been agreed to collate and inventory all stocks.

CITES has reported that few countries are reporting ivory stockpiles, though has increased from 2014 when 10 countries reported to 2018 when 22 countries reported, whilst we do not know if that rise is due to implementation of the SMS and the support from the EPI Foundation,

it has been inferred this has been a helpful contributing asset from discussions with countries and the CITES Secretariat.

To date of the 21 EPI signatory states, 12 are using the SMS regularly, and 6 are in the process of implementing the Gold Standards.

Output 2.

Improved Ivory storeroom management and security in three partner countries (Uganda, Malawi and Ethiopia).

Progress to meeting Output 2:

Progress has commenced in Year 2 to meeting output 2, and should be completed by the end of Year 3.

There are two baselines conditions for output 2:

- Prior to the project the level of security was unknown; and
- The results from the audit, which highlights the current strengths and weaknesses in the physical infrastructure, management practises and standard operating procedures.

All 3 countries undertook audits of their storerooms using the Gold Standard Audit tool. The confidential audit report also outlined the improvements required to meet the minimum standards (MOV 2.1). The respective audit reports were provided to each Director of Wildlife and discussed in detail. Following on from the audit report, a budgeted work plan to make the improvements and commence implementation was developed with the Wildlife Departments (MOV 2.1.1).

The improvement works to meet the minimum standards have commenced. However, we have experienced delays in each country for the improvements works, but the improvements are underway and should be completed within the project time frame. The outbreak of Covid-19 has slowed work in each country since February 2020, with travel restrictions being put into place and reduced capacity within partner governments. However, we anticipate that the work can still be completed once the restrictions are lifted.

In Year 3, the SOPs will be finalised for each country and then the storeroom managers will be trained (Activity 2.2; Indicator 2.2).

Detail:

Ethiopia:

- Mapping of ivory locations: Due to the size of the country and civil unrest, a desktop study was conducted by EWCA to establish where ivory is held around the country, this highlighted the location of the larger stocks, although the figures overall were not vast.
- Audit and report: The security audit was undertaken in September 2019 by the EPI security consultant with a focus on the storerooms in Addis Ababa and the protocols available. The key outcome was that the EWCA central storeroom was deemed insecure and needed considerable improvements to it.
- Commencing of improvements: It was initially agreed with the Director General of EWCA that the main priority would be to identify a new central storeroom. It will be an interim storeroom for 5-10 years as EWCA is planning on building a new Head Office in Addis Ababa, which will have the storeroom in the basement. However, EWCA are awaiting approval on the budget from Parliament, and it is unknown when this might be approved. Various options for the location of a central storeroom were discussed and explored in detail. This included:
 - Placing a container on Federal Police land, however the Police Commissioner did not provide approval.
 - Using the land owned by the Born Free Foundation, just outside of Addis Ababa, but the local unrest meant it was potentially unsecure to place it there.

- Placing a container on the site where the EWCA Head Quarters will be built was also discussed and developed in depth. However this was deemed unfeasible.

Each option took weeks to explore before being excluded, therefore there was a slight delay to moving forward with improvements. The final decision was to secure the current EWCA storeroom with approval from the Ministry of Tea and Coffee, and rather than centralise the ivory stocks, to strengthen temporary storerooms in two key locations by National Parks, which can securely hold Ivory until the new Head Quarters are built. Once this decision was made in March 2020, the work commenced directly on obtaining quotes, and preparing the land for the containers.

- The development of SOPs: These have started to be developed, however it entailed a small group of EWCA staff reviewing the Gold Standards template and adapting it for EWCA's needs. EWCA was entering a lockdown phase due to COVID-19 in March so the work on the SOPs has been temporarily suspended.

Malawi:

- Audit and report: The security audit was undertaken in Year 1 (March 2019) by the Security Expert and finalised by the 2 DNPW personnel who were trained on the audit process in Year 2. A total of 13 storerooms were audited (9 DNPW, 3 Court and 1 Police).
- Commencing of improvements: Quotes to undertake the key recommendations were collected and an initial time-lined work plan developed. A meeting was held at CITES COP 18 in Geneva in August with the Director of Wildlife and his team, to discuss and finalise the work plan and activities. The improvements include:
 - Provision of Personal Protection Equipment (PPE) equipment at each site;
 - Providing a specific caged area for ivory and high value items where the storeroom is shared with the armoury;
 - Basic infrastructure improvements including bars on windows, strengthening padlocks, shelving units for organisation;
 - Providing containers for Courts/Police to hold wildlife products until such time the court storeroom are improved and organised.

The recommended improvements have commenced and are on target for completion by the end of May.

- Development of SOPs: The final step will be the development of the SOPs with the new security features.

Uganda:

- Audit and report: The first audit of 3 main storerooms was undertaken in May 2019 by our security consultant. During the audit Ms Jadress Komugasho, a UWA warden, was trained on the audit process. In June 2019, Jadress audited a following 5 storerooms around the country and compiled a comprehensive report on all 8 storerooms audited, clearly outlining the aspects needing improving at each storeroom. The main improvements identified were the following:
 - Many storerooms are shared with the armoury, requiring a means to divide up the storerooms (e.g. installing a cage welded to the wall), so ivory or high value items can be segregated from items that require regular access (e.g. arms for patrols);
 - Personal Protection Equipment and fire extinguishers are required for most storerooms;
 - Security fences around 3 storerooms to secure the storerooms perimeter;
 - Certain storerooms required bars on windows or by making windows opaque;
 - The main storeroom needs expanding due to lack of space and it was proposed to modify an adjacent room into a storeroom.

Most of the improvements required for the storerooms meet the minimal standards for physical security and are not vast. However, it was recommended that there is work to

be done on protocols for key management and chain of custody, which need improvement. It was also recognised that the government of Uganda has no clear vision of the long-term plan for wildlife product items within Government custody.

- Commencing of improvements: A planning meeting was held with UWA in August to discuss the outcome of the assessments, identify the priorities and agree next steps. A budget was developed for all the improvements identified. It was agreed a priority was to expand the central storeroom into an adjacent room to be able to meet the load requirements. This required approval from UWA senior management and took time to obtain. However it was approved and the work commenced to modify the room to secure the storeroom, including blocking up windows. Other improvements were for National Parks temporarily holding ivory before it was sent to the centralised storeroom. The work is progressing and we expect it to be complete by the end of the project.
- Development of SOPs: A UWA workshop was held in May 2019 with representatives from the different protected areas and head office staff to determine how the Gold Standard SOPs could be adapted to fit UWA requirements. The SOPs have since been adapted and are waiting to be endorsed by the UWA senior management.

Annual inventory data of Government stockpiles

Each of the three countries have been using the SMS during this project to maintain an up to date inventory of their stockpiles.

- In Uganda, UWA uses the SMS at the central HQ and National Parks, and also inventory URA stockpiles periodically.
- In Malawi, DNPW uses the SMS for the central stockpiles and then annually collates the ivory and inventories them.
- In Ethiopia, EWCA have been using the SMS for the central storeroom, and there is a plan to roll out nationally however, civil unrest has delayed the plan due to restrictions in travel. A desktop survey has been completed and data exists on where the ivory is located.

The SMS results are confidential and will be provided in a separate confidential report at the end of Year 3 (Indicator 2.3).

3.3 Progress towards the project Outcome

The outcome of the project aims to be: 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.

We are making good progress to obtaining the outcome of the project. Updates on the indicators are inline below:

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.

No loss of ivory has been recorded to our knowledge from the storerooms in Ethiopia, Malawi or Uganda. The annual CITES report for each of the 3 partner countries does not indicate a loss in ivory since the start of the project.

0.2 100% of known seized ivory added to government stockpiles over project period (Sept 2018-2021) is effectively recorded to SMS.

- Malawi has an up-to-date digital and paper inventory of their ivory stockpiles.
- Uganda has an up-to-date digital and paper inventory of their ivory stockpiles.
- Ethiopia central storeroom has been inventoried digitally using the SMS, and there is a plan to regroup and inventory the ivory from the field stations.

0.3 Minimum of 1,482,774 km² (country area for 3 partner countries) covered by improved system for managing stockpiles and storerooms. From baseline of beginning of project, review of number of countries and area, implementing guidelines and SOPs every 2 years after project end.

The baseline is 0 countries. Currently 6 countries are commencing implementation of the Gold Standards. The final measurement will be at the end of Year 3 as improvements to the storerooms are finalised, and once the total number of countries using the Guidelines and SOPs has been assessed.

0.4 An improvement in detail of recordings for subsequent CITES reporting (post 2018) as part of CITES Resolution 10:10 (CoP 16) on securing stockpiles. From reports in 2019-2020, against baseline of 2018- allowing that the country in question has been implementing the guidelines and SOPs for a minimum of 12 months.

All 3 countries reported to CITES on time in 2020.

0.5 Improved confidence of partner government staff in the management of the storerooms and an increased perception of a safe working environment, by end of project.

This will be measured at the end of Year 3 through an opinion survey.

3.4 Monitoring of assumptions

Outcome: 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

Assumptions for Outcome:

Assumption 1.1: Government continues to stay committed and allocate sufficient personnel resource to maintain SOPs and storeroom improvements.

Assumption 1.2: 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.

Assumption 1.3: Government is committed to combatting corruption within its state departments through the appropriate disciplinary action.

Assumption 1.4: All those countries who state to be implementing guidelines and SOPs are adopting all the tools available with full commitment.

Comments: The assumptions and risks remain true for the Outcome and are key components for the success of the project.

In Year 2, all the Governments have remained committed to the project, providing staff time (for example Daniel Pawlos (EWCA), Fyson Suwedi (DNPW), and Jadress Komugasho (UWA)), and resources for the implementation of the storeroom improvements.

One assumption that was not taken into account for the output of the project, is that the Government continues to operate standard working hours throughout the duration of the project.

The outbreak of the Covid-19 pandemic has impacted significantly travel and working functionality since February 2020 and will continue for an unknown duration. Uganda has stopped public transport and Government staff are staying at working from home since March but internet connectivity is an issue. In Ethiopia and Malawi, the EWCA and DNPW offices are reduced and people are working from home where possible, also facing internet access issues. The EPI Foundation restricted all travel except urgent and essential travel from February 2020. This has hindered the progress for improvements. However the EPI Foundation team continues to engage with Partners via Whatsapp and phone calls, and where possible continue work plans until travel restrictions are lifted.

Assumptions for Output 1:

Assumption 1.1. Countries, other than three partner countries, are able to invest in developing the recommended systems.

Assumption 1.2. Government departments are able to access the internet to download tools.

Assumption 1.3. Once tools are downloaded or shared with government departments, they commit to using and implementing the tools effectively.

Assumption 1.4. Tools are used for CITES annual reporting to comply with Resolution 10:10 (CoP 16) on securing stockpiles.

Comments: The assumptions and risks remain true for the Output 1. There is interest in the Gold Standards being used and implemented by other countries; the tools are freely available to download and are on the CITES website.

https://www.cites.org/eng/imp/ivory_stockpile_mgmt.html

Assumptions for Output 2:

Assumption 2.1. Access to the storerooms is provided to the expert by the Government departments.

Assumption 2.2. Governments are willing to undertake the improvements.

Assumption 2.3. Laws relating to ivory management in the country are clear.

Assumption 2.4. Each partner country remains committed and allocates the necessary human resources to make recommended improvements

Assumption 2.5. The EPI is able to provide support of additional funds for larger scale improvements required.

Assumption 2.6. Partner country governments effectively implement communications plan.

Assumption 2.7. Appropriate funding is made available (either from additional co-funding or by Government departments) for longer term maintenance costs after project completion (2021)

Comments: The assumptions and risks remain true for the Output 2. The storerooms have to date been made available to the consultants in each country, we have a clear work plan for each country and getting regular updates from Ethiopia and Malawi on progress, and ad hoc updates from Uganda.

3.5 Impact: achievement of positive impact on illegal wildlife trade and poverty alleviation

Project impact: "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."

Impact on Illegal Wildlife Trade:

This project will develop and put in place good practices for ivory storerooms and chain of custody. It is widely recognised that secure management of government stockpiles is necessary for long-term action against the illegal trade. Once implemented, in-country capacity, infrastructure, 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, fuelling the demand for ivory. To our knowledge no ivory has gone missing from the wildlife departments storerooms since the launch of the project. The long-term impact on poaching and the ivory trade will take place incrementally over time.

Impact on human development and well being:

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. To our knowledge no ivory has gone missing from the wildlife departments storerooms since the launch of the project.

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. Tourism brings with it revenues and employment opportunities to help alleviate poverty. The visible improvements to storerooms are in the process of being undertaken and will be completed by project end.

4. Project support to the IWT Challenge Fund Objectives and commitments under the London Declarations and Kasane Statement

The project is contributing to the IWT challenge fund theme “2. Strengthening law enforcement”.

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”.

Over three years this project will contribute the following objectives of the London Conference Declaration:

- Eradicating the market for illegal wildlife products I
- Strengthening law enforcement XIII and XV

And the following objectives of the Kasane Statement: 4 and 5.

The project is in the implementation stage of the Gold Standards, in Year 3 we will be able to fully report on the achievements and provide detail and evidence on how it is working to support the IWT challenge fund objectives. At present – the project is tightening the security and organisation of ivory stockpiles in the three partner countries – at both the central storeroom and the field storerooms. Once complete this will provide support to law enforcement efforts seizing ivory.

5. Impact on species in focus

As the illegal killing of elephants is the most significant threat to elephant populations, activities towards the reduction of the illegal trade resulting from this project will benefit the species. This project is developing and putting 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 ensures the security of government stockpiles. As a result, ivory should no longer risk being leaked into the illegal market.

The main outcomes will be:

- 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, perpetuating the illicit demand for ivory;
- increased wildlife crime prosecutorial capacity due to improved chain of custody for evidence management, this in turn will increase the risk of participating in poaching and deter involvement;

The activities in Year 2 have focused on implementing the improvements to the storerooms and developing Standard Operating Procedures, once completed the Governments will have better

facilities and processes to manage ivory and other wildlife product stocks, which should strengthen court proceedings and reduce corruption.

6. Project support to poverty alleviation

Expected Beneficiaries:

Wildlife Departments:

The direct beneficiaries will be the three partnering wildlife departments and their employees – namely EWCA, UWA and DNPW. These wildlife departments will have improved capacity for effective ivory storeroom security and management, and chain of custody systems, including on-going monitoring. The improvements being undertaken will address lack of infrastructure to secure ivory. This will improve the working environment for personnel, in particular the storeroom managers. The management of ivory and other high value wildlife products is high-risk for government officials, due to the threat of armed criminals attempting break-ins and the potential of corruption in the workplace, with often 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.

Storeroom Managers:

One specific improvement for the storeroom manager is that of improved key control. In Ethiopia for example, only one person has the key to the central storeroom, therefore if the storeroom is needed to be opened they need to be present. Consequently annual leave is either disrupted or ivory stored insecurely until the storeroom manager returns from leave. This also puts enormous mental pressure on the storeroom manager. Instead the lock system will be changed from one key holder for all locks, to having at least 3 key holders for 2 padlocks, which requires at least 2 of the 3 key holders to be present to open the storeroom. This means that people can take leave without impacting storeroom accessibility, and reduces the risk of corruption and threat of key theft. Whilst the storeroom manager will still be in charge of maintaining the inventory and organisation of the storeroom the mental strain and limitations on effective storeroom management will be reduced.

Governments:

Governments of participating countries will also benefit indirectly, by demonstrating their willingness and ability to put in place transparent systems, and gaining a reputation for zero-tolerance to corruption. 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. Since the beginning of the project, there has been no reported corruption in any of the three partner wildlife departments in relation to ivory management.

Local communities:

Local communities will also benefit indirectly from the project. Rural communities are often victims in poaching networks; the need for income is exploited to encourage local communities to participate in the poaching of elephants or other species. Such pressures to rely on often life threatening wildlife crime can have devastating consequences to a poor family. Changes to the management system of confiscated wildlife products and the consequent greater risk of prosecution and imprisonment will make the financial gains less appealing and deter local communities from participating in wildlife crime. The long-term impact on poaching will take place incrementally over time. Additionally, reduced corruption should help improve local communities confidence in government institutions and law enforcement, reducing the risk of violent outbreaks.

International reputation and potential Tourism revenues.

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 illegal 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 believe that they will see elephants. The tourism sector holds huge potential for economic growth and employment with multiplier effects across national development goals, including poverty reduction.

7. Consideration of gender equality issues

This project has been designed in accordance with Sustainable Development Goal 5 and the International Development (Gender Equality) Act. We recognise the need to ensure gender equity and gender equality throughout this project. All capacity building initiatives will request as equal a gender representation on training as possible; however it is noted that this may be difficult to achieve as in many countries these professions remain male-dominated.

Year 2 has not resulted in any training courses as yet therefore monitoring data on gender representation on training courses cannot be reported on this year. In Malawi and Ethiopia the Government focal points for the project are men, in Uganda it is a woman.

8. Monitoring and evaluation

The Monitoring and Evaluation is coordinated primarily by the EPI Foundation, with Government partners providing data and technical information. The log frame and project implementation plan have been used to monitor progress this year, together with the agreed project indicators.

Documents used to support this include:

- Travel reports.
- Progress reports.
- Meeting minutes, including internal progress and planning meetings.
- Record of partner email communications, stored on a secure cloud based filing system.
- Reports of the annual inventory data of government stockpiles, which is submitted to CITES to comply with Resolution 10:10 (CoP 18), has been collected for 2020 from the three partner governments.
- A record of ivory seizures in each partner country over the project period is maintained.
- Analytics on the EPI website of views of the tools.

The activities and outputs can be demonstrated to meet the project Outcome through the use of the audit check-sheet that has been developed within the Gold Standards. It's a simple form used to audit a storeroom, with a clear categorisation to show if it is meeting the minimum standards or not. If not, there is a list of items that need to be improved in order to meet the minimum standards. The first audit has been done in Malawi, Uganda and Ethiopia and after the improvements are made the audit will be conducted again in Year 3 to verify if it now meets the minimum standards. The audit takes less than 2 hours and can be easily repeated to ensure it maintains the standards.

Practically the Monitoring and Evaluation will provide guidance on how the project has contributed to the Outcome. However the key impact will be longer term, by assessing if no ivory is missing from Government stores, from inventory results.

9. Lessons learnt

Year 2 lessons learned:

Adaptability of SOPs

- The Gold Standards Standard Operating Procedures (SOPs) are due to provide Governments with a template and vision of what the procedures should be. And discussing them with partner Governments and other experts, all agreed the template

SOPs are expected, standard, and achievable. However, since we have tried to adapt the SOPs for each country we have discovered converting it into an official document is more complex than anticipated. The style and format needs converting to each country's needs. Additionally there is hesitation from the partners on if the storerooms can practically implement the SOPs, as whilst the procedures are simple, is an overhaul of the current lack of system. Therefore we are now working on a simplified version for the SOPs together with an implementation plan, that outlines which aspects need to be implemented as a priority.

Additional NGO partners

- On this project we are working directly with the Governments in each country, with good relationships and communication. In Ethiopia, fortunately there is an EPI Foundation staff member in Addis Ababa to assist the project forward, but not in Uganda or Malawi. However, we are currently looking to replicate the project in other EPI countries and we think it may be effective to also have an on-the-ground non-Governmental partner to work with. We would continue to work directly with the Government, but an on-the-ground NGO partner, would be able to provide technical advice rapidly, especially on smaller details to mitigate obstacles to workplans. The NGO partner would be able to work through technical documents more effectively face-to-face, and the procurement of items would not need to follow sometimes cumbersome Government regulations. The NGO partner would need to be agreed upon by the Government.

10. Actions taken in response to previous reviews (if applicable)

In the review of Year 1 annual report the following points for improvement were made:

- Specify baseline indicators for output and outcome levels – this has been covered in this report and the log frame.
- Information about the sustainability and exist strategy. This has been covered below.
- Clarify the project expenditure for improvements in the log frame.

11. Other comments on progress not covered elsewhere

12. Sustainability and legacy

Open Access and sustainability:

The overall aim of the project is to provide useful tools for management of stockpiles and storerooms that will be freely available online in three languages. The Storeroom Assessment check list is simple to use, and once online can easily be used by any government or organisation, without requiring any security expertise required. The template SOPs are currently being simplified, so will be easier for countries to adapt to meet their needs. An implementation plan will also be developed in Year 3 for other Countries to understand how countries have implemented the Gold Standards.

The Gold Standards document has been included on the CITES website as an example of tools for storeroom management.

Profile of the Project:

The project has been well received by the various government agencies and law enforcement involved in ivory management, in all three countries. The Wildlife Departments in each country are working on implementing the improvements, the training courses planned for Year 3 will be key in the implementation and promotion of the work, including providing capacity building across each country.

Further interest:

There is already interest in the Gold Standards work in other EPI countries. We are currently working with Nigeria, Côte d'Ivoire and Angola to be able to meet the minimum requirements of the Gold Standards document developed in this project. Other countries including Gabon, Kenya and Mozambique have also expressed interest in implementing the Gold Standards.

Exit Strategy:

The project's exit strategy remains valid. The Gold Standards tool is already freely available and the EPI Foundation is supporting its adoption by other countries. The template SOPs are being improved to be available in year 3. Once the improvements have been made in the partner countries, the training will ensure the transfer of capacity, and so the management systems themselves should become "business as usual" operations. The audit Checklist will enable partner governments to continue to monitor that the minimum standards, post the end of project are maintained. The aim is for the identified storerooms in each country to meet at least the minimum standards. Meeting Gold Standards for all storerooms across the country may require additional funding, but if the minimum standards are met then the ivory should be secure.

13. IWT Challenge Fund identity

The partner countries are fully aware of the funding source for the project, and the UK Government and DEFRA are referenced in EPI Foundation reports, presentations and official communications with the Government. The IWT Challenge Fund logo will be visible on the training presentations/materials in year 3. Going forward we will continue to promote the Gold Standards work and the IWT Challenge Fund and UK government as the original funders. Additionally, the EPI Foundation promotes a monthly newsletter to a wide audience, which has included updates on the project, with reference to the UK government funding.

14. Safeguarding

The EPI Foundation has a number of policies in place to fully protect all the relevant project stakeholders:

- Safeguarding policy
- Code of Conduct
- Health and safety policy
- grievance policy,
- anti bribery policy
- privacy policy.
- Whistle blower policy.

The EPI Foundation reviews its policies on an annual basis, during the reporting year 2 the policies were reviewed, updated and shared again. Regular reporting is required from partners, which is analysed, and referenced against policies, so that any concerns are identified as soon as possible. Furthermore extensive planning and detailed training is provided where possible to partners on the appropriate behaviour, to help mitigate incidences.

The EPI Foundation safeguarding policy includes a statement of commitment to safeguarding and a zero tolerance statement on bullying, harassment and sexual exploitation and abuse. When safeguarding issues are raised, the EPI Foundation has a clear process for reporting and the response, with a register available for documenting, at all stages ensuring confidentiality and that the concern is followed up according to policy and procedure, and legal and statutory obligations. To date, the EPI Foundation is yet to have an issue reported.

The EPI Foundation will apply appropriate disciplinary measures to staff found in breach of policy and will offer support to survivors of harm caused by staff or associated personnel, regardless of whether a formal internal response is carried out (such as an internal investigation). Decisions regarding support will be led by the survivor.

The EPI Foundation whistle-blower policy protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised. The EPI Foundation Code of Conduct sets out clear expectations of behaviours - inside and outside the work place - and makes clear what will happen in the event of non-compliance or breach of these standards.

Policies can be made available upon request.

15. Project expenditure

Table 1: Project expenditure during the reporting period (April 2019-March 2020)

Project spend (indicative) since last annual report	2019/20 Grant (£)	2019/20 Total actual IWT Costs (£)	Variance %	Comments (please explain significant variances)
Staff costs (see below)				
Consultancy costs				
Overhead Costs				
Travel and subsistence				
Operating Costs				
Capital items (see below)				
Others (see below)				
TOTAL				

16. OPTIONAL: Outstanding achievements of your project during the reporting period (300-400 words maximum). This section may be used for publicity purposes

I agree for the IWT Secretariat to publish the content of this section (please leave this line in to indicate your agreement to use any material you provide here)

Annex 1: Report of progress and achievements against Logical Framework for Financial Year 2019-2020

Project summary	Measurable Indicators	Progress and Achievements April 2019 - March 2020	Actions required/planned for next period
<p>Impact</p> <p>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.</p>		<p>The long-term impact on the ivory trade poaching will take place incrementally over time</p>	
<p>Outcome 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.</p>	<p>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. At end of project stockpile inventory is reviewed to ensure every piece of ivory inputted to SMS over project period is still accounted for. Note Stop Ivory has access to this data where the SMS is operational, however it is owned by individual countries and is not available for use or circulation without authorization from these countries.</p> <p>0.2 100% of known seized ivory added to government stockpiles over project period (Sept 2018-March 2021) is effectively recorded to SMS.</p>	<p>0.1 Between July 2018-March 2020, no known items have been lost from Wildlife departments storerooms involved in this project. This is demonstrated by the inventory data.</p> <p>0.2 All ivory known to be held by the wildlife departments has been registered into the SMS or has planned to be. Ethiopia has recently identified ivory held around the country, that has not yet been included into the SMS but once civil unrest has eased it will be included. The information is currently held on an excel spread sheet but until the items are coded with a CITES number cannot be fully incorporated.</p> <p>0.2 From the record of reports collected on ivory seizures in each partner country, all has been added</p>	<p>Finalise the Gold Standards document for endorsement and implementation of the SOPs in each country.</p> <p>Simplify the SOP as an annex for the Gold Standards document.</p> <p>Finalise security improvements to storerooms and conduct training sessions.</p> <p>Undertake a follow up Audit of the storerooms.</p> <p>Continue to monitor and check ivory inventory data to ensure no loss of ivory and additions of seized ivory.</p> <p>Addition of ivory in Ethiopia regional storerooms to the SMS.</p> <p>Continued promotion of the Gold Standards and finalised SOPs to be adopted and implemented in other countries.</p>

Project summary	Measurable Indicators	Progress and Achievements April 2019 - March 2020	Actions required/planned for next period
	<p>0.3 Minimum of 1,482,774 km² (country area for 3 partner countries) covered by improved system for managing stockpiles and storerooms. From baseline of beginning of project, review of number of countries and area, implementing guidelines and SOPs every 2 years after project end.</p> <p>0.4 An improvement in detail of recordings for subsequent CITES reporting (post 2018) as part of CITES Resolution 10:10 (CoP 16) on securing stockpiles. From reports in 2019-2020, against baseline of 2018- allowing that the country in question has been implementing the guidelines and SOPs for a minimum of 12 months.</p> <p>0.5 Improved confidence of partner government staff in the management of the storerooms and an increased perception of a safe working environment, by end of project.</p>	<p>to government stockpiles and added to the SMS, except for the case of Ethiopia (see above).</p> <p>0.3 The implementation of the SOPs and improvements to the storerooms will be complete in Year 3 covering the wildlife departments remit. Other countries have also shown interest in implementing the Gold Standards, with work beginning with Côte d'Ivoire, Nigeria and Angola.</p> <p>0.4 All 3 countries reported to CITES on stockpiles for 2020.</p> <p>0.5 To be assessed after improvements have been completed and training conducted.</p>	
<p>2. Output 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</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</p>	<p>1.1 The guidelines are being field-tested and will be updated at the end of the project based on the lessons learned.</p> <p>The template SOPs are being adjusted to be more adaptable before being finalised, endorsed and implemented in each country. When ready this will also be made freely available in 3 languages on the EPI website.</p> <p>1.1.1: The guidelines and standards for ivory management have been published on the EPI website in English, French and Portuguese</p>	

Project summary	Measurable Indicators	Progress and Achievements April 2019 - March 2020	Actions required/planned for next period
<p>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>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>https://www.elephantprotectioninitiative.org/ivory-management</p> <p>And a summary presentation on the Gold Standards is available on the CITES website, which provides the link to the EPI website.</p> <p>https://www.cites.org/eng/imp/ivory_stockpile_mgmt.html</p> <p>1.1.1 The Gold Standards guidelines have been viewed on the EPI website 84 times and downloaded 18 times.</p> <p>1.1.2 AT CITES COP18 in August 2019 there were 19 meetings where the Gold Standards and SMS were discussed.</p> <p>1.1.3. 9 countries have expressed interest in the tools, in particular the governments of Mozambique, Madagascar, Kenya and Gabon where engagement and discussions on use of the tools are on-going. In Nigeria, Cote d'Ivoire and Angola work has already begun to implement the Gold Standards.</p> <p>1.2: The SMS is operational, and was upgraded in 2019, to improve the reporting function and general functionality. This will improve the reporting to CITES. All 3 countries reported to CITES on stockpiles in 2018, 2019 and 2020.</p>	
<p>Activity 1.1 Consultations with country wildlife departments and supporting NGOs</p>		<p>Consultations have been undertaken with wildlife departments and NGOs to launch the work, develop budgets, agree workplan for improvements and initial planning for training. Email communications and meeting reports have been filed securely.</p>	<p>Consultants with the Partners will continue whilst the guidelines and standards for ivory management are being developed and improved, and the SOPs finalised.</p>
<p>Activity 1.2 Visiting of field sites by contracted experts of wildlife storeroom management</p>		<p>Completed</p> <p>Consultant visited Uganda in November 2018 – Field Report available on request.</p>	<p>NA</p>
<p>Activity 1.3 Draft guidelines and minimum to gold-award standards, that are relevant to the conditions typically found in the EPI countries.</p>		<p>Completed</p> <p>The draft guidelines and standards are available on the EPI website in</p>	<p>NA</p>

Project summary	Measurable Indicators	Progress and Achievements April 2019 - March 2020	Actions required/planned for next period
		<p>English, French and Portuguese, and the CITES website.</p> <p>The guidelines are currently being field tested.</p>	
Activity 1.4 Technical meetings between the experts end-users and other key stakeholders, with preliminary validation of draft guidelines before field testing		<p>Completed</p> <p>A technical workshop was held in Nairobi in February 2019. Workshop report available on request.</p>	NA
Activity 1.5 Tools are field tested in three countries		<p>The tools are currently being field tested In each of the three countries, with security improvements, management procedures and SOPs being developed.</p>	<p>Finalise the management procedures and SOP development for each country and the training courses for relevant staff.</p> <p>Finalise the security improvements.</p> <p>Review the document based on lessons learned.</p>
Activity 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)		NA	<p>Finalise the Guidelines and Standards for ivory management after field testing and further reviews.</p>
1.7 Promotion by EPI Foundation of tools to EPI member states as a means to meet EPI commitments.		<p>The Gold Standards and SMS tools are promoted in meetings with the EPI Member States. Angola, Nigeria and Cote d'Ivoire are currently working towards implementing the standards, having started with the audit of the current systems, procedures and infrastructure.</p>	<p>Continue to promote the tools to EPI and non EPI countries</p>
Output 2. Improved Ivory storeroom management and security in three partner countries	2.1 In three countries: Ivory storerooms meet the minimum standards, or have an action plan to achieve desired standards. SOPs	2.1: Audits were undertaken in Malawi, Uganda and Ethiopia. Audit reports with recommended changes of how to meet the minimum and gold standard were provided to each partner country.	

Project summary	Measurable Indicators	Progress and Achievements April 2019 - March 2020	Actions required/planned for next period
(Uganda, Malawi and Ethiopia).	<p>for storeroom management and Chain of Custody are operational, by end of project.</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>2.4 Gender equality and equity promoted within government departments through implementation of tools in partner countries</p>	<p>2.1.1 Time bound and budgeted action plans to ensure each partner government meet the minimum standards have been developed. Improvements to storerooms are in the process of being implemented, which include infrastructure improvements, as well as SOP and Chain of Custody development.</p> <p>2.1.2 Follow up audits to assess progress on the action plans will be conducted in year 3.</p> <p>2.2 Personnel from each wildlife department have been trained on the audit process (2 from DNPW, 2 from UWA and 2 from EWCA). Further personnel will be trained in Year 3 of the project. Opinion surveys will be conducted at the project end to help measure capacity building.</p> <p>2.3 Uganda and Malawi inventory is up to date. Ethiopia's central stockpile has been inventoried, and a work plan is in place to inventory the ivory outside of Addis Ababa in year 3.</p> <p>2.4. Where possible Gender equality aspects have been taking into account: 7 out of the 19 participants at the technical workshop held in Year 1 were women; Of the 3 focal points from each country, 1 is a women. Given that the number of men in each wildlife department greatly outweighs the number of women, this is promoting greater gender equity.</p>	
Activity 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>Malawi, Uganda and Ethiopia storerooms have been audited with recommendations provided.</p> <p>Malawi – 9 DNWP storerooms were audited, and 3 Courts and 1 police storeroom.</p> <p>Uganda – 8 storerooms were audited of UWA, (and 1 URA and 1 Police visited).</p> <p>Ethiopia – only the central storeroom was formally audited due</p>	NA.

Project summary	Measurable Indicators	Progress and Achievements April 2019 - March 2020	Actions required/planned for next period
		<p>to civil unrest, the others have been audited remotely.</p> <p>The reports are confidential and have been shared with the relevant wildlife departments.</p>	
<p>Activity 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>On the Audit process: Two people trained in Malawi, two in Uganda and two in Ethiopia</p>	<p>Training for all storeroom managers on the tools will be conducted once the SOPs are finalised.</p> <p>Training will be conducted on the SMS in at least 2 field storerooms and the central storeroom in Ethiopia. (Malawi and Uganda don't need SMS training).</p> <p>Training on monitoring compliance and implementing priority action plans will be conducted in year 3.</p>
<p>Activity 2.3 Country reports given to each partner government department, providing requirements on how to meet minimum and gold standards. The EPI Foundation 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>Audit reports were compiled for each country and provided to the respective Director of wildlife for review.</p> <p>Budgeted work plans were developed with nominated focal points to make the recommended improvements, this was approved by the respective Director and implemented in all three countries.</p>	<p>NA</p>
<p>Activity 2.4 Regular management and progress meetings to be held between the EPI Foundation, 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>Nominated focal points for each country have provided regular updates to the EPI Foundation on progress for implementation.</p> <p>Regular discussions have been held with the Directors of Wildlife on</p>	<p>Have quarterly formal updates with each country Director of Wildlife to ensure the implementation of the improvements is keeping to schedule.</p> <p>Maintain regular communication</p>

Project summary	Measurable Indicators	Progress and Achievements April 2019 - March 2020	Actions required/planned for next period
		progress, on average every 2 months. Minutes and correspondence have all been recorded.	with the technical teams in the partner countries.
Activity 2.5 An independent expert will provide guidance for follow up audits carried out by department agents to assess changes and improvements		NA	Conduct the audits in Year 3.

Annex 2: Project's full current logframe as presented in the application form (unless changes have been agreed)

N.B. if your application's logframe is presented in a different format in your application, please transpose into the below template. Please feel free to contact IWT-Fund@ltsi.co.uk if you have any questions regarding this.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Impact: 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.</p>			
<p>Outcome: 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.</p>	<p>0.1 No loss of ivory from secured government storerooms, in countries actively using EPI standards and guidelines for ivory storerooms and template SOP for storeroom management, by project end. Baseline data is recorded from first assessment of inventory at start of project. At end of project stockpile inventory is reviewed to ensure every piece of ivory inputted to SMS over project period is still accounted for. Note Stop Ivory has access to this data where the SMS is operational, however it is owned by individual countries and is not available for use or circulation without authorization from these countries.</p>	<p>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.</p> <p>0.1.1 Inclusion of inter-agency communications to update national database on seizures as part of the CoC SOPs. Number of border confiscations of ivory that is traceable to government stockpiles from baseline of data recorded at beginning of project (Sept 2018).</p>	<p>Government continues to stay committed and allocate sufficient personnel resource to maintain SOPs and storeroom improvements.</p> <p>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.</p> <p>Government and/or implicated departments are committed to combatting corruption within its state departments through the appropriate disciplinary action.</p> <p>All those countries who state to be implementing guidelines and SOPs are adopting all the tools available with full commitment.</p>
	<p>0.2 100% of known seized ivory added to government stockpiles over project period (Sept 2018-March 2021) is effectively recorded to SMS.</p>	<p>0.2 Wildlife Department, partner NGOs, and police reports on ivory seizures, over project period with be collected for analysis against storeroom data, from baseline of beginning of project data recordings.</p>	
	<p>0.3 Minimum of 1,482,774 km²</p>	<p>0.3 Number of countries who</p>	

Project summary	Measurable Indicators	Means of verification	Important Assumptions
	(country area for 3 partner countries) covered by improved system for managing stockpiles and storerooms. From baseline of beginning of project, review of number of countries and area, implementing guidelines and SOPs every 2 years after project end.	participate in use of Standards and Guidelines and template for SOP.	
	0.4 An improvement in detail of recordings for subsequent CITES reporting (post 2018) as part of CITES Resolution 10:10 (CoP 16) on securing stockpiles. From reports in 2019-2020, against baseline of 2018- allowing that the country in question has been implementing the guidelines and SOPs for a minimum of 12 months.	0.4 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.	
	0.5 Improved confidence of partner government staff in the management of the storerooms and an increased perception of a safe working environment, by end of project.	0.5 Demonstrated implementation of Health and Safety measures (as part of the SOPs) and staff well-being measured through before and after project opinion surveys of all those who took part in training. Using baseline of before opinion survey.	
Output 1 3. Two complementary tools for improving storeroom security and management: <ul style="list-style-type: none"> a. Guidelines for Ivory Storerooms from minimum to gold award standards, relevant to conditions typically found in EPI countries, are 	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. Post project end, a review of guidelines and template model SOPs uptake	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 1.1.1 Number of downloads of guidelines from EPI website and requests/uptake of use of	Countries, other than three partner countries, are able to invest in developing the recommended systems. Government departments are able to access the internet to download tools Once tools are downloaded or shared with government departments, they commit to using and implementing the tools

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>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>and use based on the specified means of verification, will be conducted every year (included in EPI annual report).</p>	<p>guidelines from EPI states. Annual review of website analytics for download history and requests for guidelines will be recorded.</p> <p>1.1.2 Verify the number of meetings/conference the tools are presented at. Follow up engagement will be made with all contacts with access to the tools to identify exposure</p> <p>1.1.3 Verify the number of countries using the tools, through EPI member state engagement, and wider state of engagement of non-EPI members.</p>	<p>effectively</p> <p>Tools are used for CITES annual reporting to comply with Resolution 10:10 (CoP 16) on securing stockpiles</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>1.2 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>	

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Output 2</p> <p>2. Improved Ivory storeroom management and security in three partner countries (Uganda, Malawi and Ethiopia).</p>	<p>2.1 In three countries: Ivory storerooms meet the minimum standards, or have an action plan to achieve desired standards. SOPs for storeroom management and CoC are operational, by end of project.</p>	<p>2.1 Audit report on standards and SOPs, with recommended changes and how to 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 (2020-2021).</p>	<p>Access to the storerooms is provided to the expert by the Government departments.</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>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 by end of project.</p>	<p>2.2 Training and capacity building, during storeroom and SOP audit process (2019-2020), 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. Using baseline of before opinion survey.</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> <p>Government departments have a given number of female personnel in roles to which the training is relevant.</p>

Project summary	Measurable Indicators	Means of verification	Important Assumptions
	2.3 Updated inventory data of Government stockpiles using the Stockpile Management System in each partner country by end of project (2021). Baseline of inventory data from start of project.	2.3 Annual inventory data of Government stockpiles, (from reports in 2019-2020, against baseline of 2018), which is submitted to CITES to comply with Resolution 10:10 (CoP 16) on securing stockpiles, by countries committed to use of tools.	
	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- relative to the number of female personnel in the department	
<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>			

Annex 3 Standard Measures

Annex 4 Onwards – supplementary material (optional but encouraged as evidence of project achievement)

Checklist for submission

	Check
Is the report less than 10MB? If so, please email to IWT-Fund@ltsi.co.uk putting the project number in the subject line.	
Is your report more than 10MB? If so, please discuss with IWT-Fund@ltsi.co.uk about the best way to deliver the report, putting the project number in the subject line.	
Have you included means of verification? You need not submit every project document, but the main outputs and a selection of the others would strengthen the report.	
Do you have hard copies of material you want to submit with the report? If so, please make this clear in the covering email and ensure all material is marked with the project number. However, we would expect that most material will now be electronic.	
Have you involved your partners in preparation of the report and named the main contributors	
Have you completed the Project Expenditure table fully?	
Do not include claim forms or other communications with this report.	