

Illegal Wildlife Trade (IWT) Challenge Fund Annual Report

To be completed with reference to the “Writing a Darwin/IWT Report” Information Note: (<https://iwt.challengefund.org.uk/resources/reporting-forms-change-request-forms-and-terms-and-conditions/>). It is expected that this report will be a **maximum** of 20 pages in length, excluding annexes)

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IWT Challenge Fund Project Information

Project reference	IWT 058
Project title	Securing Africa’s ivory: Developing gold-standard stockpile management systems
Country/ies	Uganda, Ethiopia, Malawi
Lead organisation	EPI Foundation
Partner institution(s)	EWCA Ethiopia, UWA Uganda, DNPW Malawi
IWT grant value	£270,014
Start/end dates of project	April 2018 - September 2021 (A 6-month approved extension)
Reporting period (e.g. April 2020-Mar 2021) and number (e.g. Annual Report 1, 2, 3)	1 st April 2020 – 31 st March 2021 Annual Report 3
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1. Project summary

The main threat to African elephant populations is poaching and the illegal trade in elephant products, in particular ivory. The IUCN 2016 African Elephant Status Report reports, the most reliable estimate of the continental population of the two species of elephant, and shows at least a 60% decline in African savanna elephants (*Loxodonta africana*) over the past 50 years, with a surge in ivory poaching, beginning in 2006, comparable with those of the 1970’s and 1980’s. The African savanna elephant populations in the project’s three target countries (Malawi, Ethiopia and Uganda) are classified under CITES listing Appendix I, and are Endangered on the IUCN red list.

The management and storage of wildlife products places an enormous burden of responsibility on every African country that has them, demanding intense administration and draining scarce resources. 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 and other wildlife product 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 as the target countries 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 the three target countries. The document entitled “Gold Standards for the Management of Ivory and Other Wildlife Products” 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 EPI Foundations partners on this project are:

- the Ethiopian Wildlife Conservation Authority (EWCA);
- the Uganda Wildlife Authority (UWA); and
- Malawi Department of National Parks and Wildlife (DNPW).

Throughout the grant period the EPI Foundation (initially Stop Ivory) have coordinated the project with the partners, providing technical advice and expertise, and the Wildlife Departments themselves have been implementing the improvements to storerooms on the ground. At the start of Year 3, an annual work plan and budget was developed in collaboration with each partner, with clear targets outcomes and actions needed to be undertaken by each party.

To ensure effective communications and collaboration, the Wildlife Department each nominated a focal point for the EPI Foundation to work with on the project, which whom we have had regular email, whatsapps and zoom calls. We have also ensured that the Directors of the Wildlife Departments have remained up-to-date with the project progress and any issues. This has been vital during a year disrupted by the impacts of the Covid-19 pandemic.

Regular communication has been critical during the year to understand the Covid-19 situation in each partner country as well as our own team countries of residence (Kenya, Spain, UK), knowing what Covid-19 preventative measures and restrictions are in place, how the Covid-19 infection rate fluctuated within the country, and what that meant in terms of impact to the project work and implementation. Ultimately, this has led to changes in the work plan, and the activities have been delayed significantly and work plans have had to be adapted. We requested a 6 month extension to the project to ensure the activities could be completed effectively.

Our 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.

In addition to the formal project partners, we have been engaging with a security firm, Maravi, based in Malawi – as the EPI Foundation has minimised international travel due to Covid-19. We worked to find experts within the security field to assist DNPW with the completion of the activities. Maravi have been excellent, and DNPW have welcomed their support through the EPI Foundation.

3. Project progress

3.1 Progress in carrying out project Activities

The Covid-19 pandemic has been a major influencing factor throughout the year, with necessary Government enforcement of restriction measures in all partner and EPI staff countries of residence to prevent the spread of the virus, and as a result project activity has been delayed. The slow progress resulted with a request for a 6-month extension to the project to ensure we could complete the project activities.

For example, most countries restricted movement around the country and the closure of non-essential shops, reducing the ability to procure and install needed equipment, and to travel to various storerooms. EPI Foundation staff were not able to travel internationally to any of the partner countries, and countries had periods requiring staff to work from home, restricted in person meetings, preventing the holding of training courses or SOP validation workshops. However, once the restrictions eased work recommenced.

3.2 Progress towards project Outputs

The project has two outputs and progress towards them are outlined below.

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

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

Progress to complete Output 1, was vastly undertaken within Year 1 and 2 of the project with the development of the guidelines for ivory storeroom management – the document entitled: 'Gold Standards for the Management of ivory and other wildlife products' was written, feedback gathered, and made freely available on the EPI Foundation website in English, French and Portuguese. <https://www.elephantprotectioninitiative.org/ivory-management>. Data on visiting the website from April 2020-March 2021 shows that 214 people have viewed the page and there have been 98 downloads of the Gold Standards document.

There is also a summary presentation about the Gold Standards available on the EPI website at the same location. The Gold Standards were provided to CITES in Year 2 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 document could be, and has been, used as template Standard Operating Procedures. However, feedback from some Government partners indicated that they considered the Gold Standards document to be more a reference document, rather than SOPs. Therefore, in Year 2/3 the Gold Standards document was reformulated into a different more practical and adaptable format and style of Standard Operating Procedures.

These are not yet available on the website and will be posted in due course, but they have been shared with numerous countries, who have expressed interest in the Gold Standards work (see below), and are included in the evidence documents.

Gold Standards Assessments.

To aid in the implementation of Gold Standards for storerooms, we have developed a means to rapidly assess a storeroom's security, organization and management, and to highlight what areas need improving. In Year 2 we started to develop an excel version Assessment spreadsheet (<https://www.elephantprotectioninitiative.org/ivory-management>), also within the evidence documents), this has been finalised and freely available.

In Year 3 the excel sheet was converted in to a Gold Standards Assessment App. The App and Excel spreadsheet both run through the same questions about the storeroom, providing automatic scoring and highlighting which aspects need improving. The App allows you to digitally record the information whilst walking around conducting the Assessment, as it guides you through the questions. You can answer the questions on the App without being connected to the internet, and it also allows you to take photos of key details. Once completed, it will send an automatic report of the storeroom Assessment, with guidance notes on improvements, to form the basis of a final Storeroom Assessment Report. This has been successfully tested in Malawi, with positive feedback on the ease and speed of using the App and will be used in other countries for all assessments.

Gold Standards Training films

As Covid-19 spread, and international travel was reduced, we realised the need to create remote training tools on the Gold Standards. A series of films relating to the different aspects of physical infrastructure and storeroom management were filmed, edited and produced, featuring Philip Stewart, the Global Security Expert who authored the Gold Standards document. As travel was not allowed to make the film of actual ivory storerooms, we adapted and a UK armed forces base kindly allowed us to film at their location to provide us with examples of storeroom management. This was complemented by photos and examples of actual storerooms around Africa which our Partner Governments gave approval to use.

These videos are distributed to our partners upon request, within a remote training programme, and will not be placed on the website. They are available in English, French (either dubbing, or in English with French subtitles if preferred), Portuguese (either dubbing, or in English with Portuguese subtitles if preferred).

These videos are used as part of the training of Government or NGO partner staff undertaking the Assessments for the Gold Standards. The link to the videos is in the evidence.

Uptake of use of the Tools

There has been a very positive requests to implement and uptake of the Gold Standards work by other partner Governments since their development. Over the past year we have been working with the following countries as well as Uganda, Malawi and Ethiopia:

- Angola (INBAC) – we have worked with INBAC to tailor the template SOPs to meet their needs, and they are currently in the process of Government validation. This is through a US Government INL funded project.
- Nigeria (NESREA and Customs)– in partnership with WCS we have worked with NESREA, to adapt the SOPs for their needs. The SOPs have been endorsed and training is about to commence. With Customs, WCS has shared them and are discussing suitability for their needs. This is through a US Government INL funded project.
- Cote d'Ivoire (MINEF) – we have worked with MINEF to adapt the SOPs to meet their needs, and they are currently in the process of validation. This is through a US Government INL funded project.

- Gabon (ANPN) – have requested support to implement the Gold Standards, and the work will commence May 2021.
- Republic of Congo – we sent the SOPs in January 2021 to WCS who are working with the MEF to strengthen their procedures.
- Mozambique (ANAC) – are looking to improve their SOPs for improved security and transparency, in 2021 we sent them the template SOPs for consideration as a baseline to tailor to their needs.
- We are also in discussion with DRC (African Parks site) and Cameroon (MINFOF), and may commence work with them on the SOPs later on in 2021.

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 wildlife product 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 complying with reporting ivory stockpiles, although it 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.

Output 2

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

Progress to meet output 2 commenced in Year 2 and were advanced in Year 3, however not yet completed due to delays predominantly caused by the impact of Covid-19 pandemic, and for Ethiopia due to the civil unrest.

Ethiopia

SOPs

- The SOPs for Ethiopia are in the process of being developed. They have been drafted and they are currently finalising the procedures for coordination between EWCA and other law enforcement agencies e.g. Federal Police, as well as defining specifications relevant to Ethiopia's laws for the document. Once they are completed, they will be translated into Amharic, and a validation workshop will be held in Addis Ababa (the budget has been developed for this) with the various stakeholders to ensure full adoption and buy-in. The training of the storeroom managers will then be undertaken. This activity is significantly delayed for a variety of reasons, which are detailed in the below paragraph.

Storeroom improvements

- The EWCA central storeroom in Addis Ababa, is in the process of being improved to meet the minimum standards for a Tier 1 storeroom – this includes a metal grill being added as an extra layer of security, installation of CCTV inside and outside the storeroom, purchasing of gold standard locks, as well as equipment such as fire extinguishers, working scales, gloves, masks, and separators to divide “permanently stored” ivory and ivory which is still being used in “active prosecution cases”.
- It was decided in March 2020 to reinforce two storerooms at key National Parks – Chebera-Churchura National Park (CCNP) in Southwestern Ethiopia and Kafta-Shiraro National Park in northern Ethiopia. In Chebera-Churchura, a 20” shipping container has been placed on a solid base and is being equipped with shelving units and strong locks to become a strongroom. All of the processes to find a contractor to modify the container and align it with the needs of the Gold Standards are currently underway, including purchasing of equipment needed.
- Work on Kafta-Shiraro in northwest Tigray was initially postponed as tensions were rising in the Tigray region from November 2020 when the Ethiopia Federal Government launched a law enforcement operation on the leaders of the Tigray region. In January 2021 it was decided to cancel the plans to work there as it was too high risk with the ongoing civil unrest in the region. The work was then considered to be moved to the Babile Elephant Sanctuary in Eastern Ethiopia, but this will be dependent upon the completing the TIER 1 AND TIER 2 (CCNP) sites first.

Delays

As outlined in the progress to meet the objectives, the work in Ethiopia has experienced significant delays. Covid-19 regulations in Ethiopia meant that EWCA, the principal partner, had to enforce a policy of priority work only. All ivory-related work was deemed non-priority from March 2020–October 2020 and therefore all project work was halted. On top of the delays brought about by Covid-19, EWCA finalised another organisational and staff reshuffle in January 2021, as a result of the completion of GIZ’s institutional structure analysis (which has been ongoing for 2 years). This created delays for months prior to January 2021 due to internal understanding of the upcoming reshuffle and lack of will to make decisions. Whilst the reshuffle in January did not impact the day-to-day activities or operations of EWCA, the greatest change for our work is that Daniel Pawlos, who was the Director of the Trafficking Department and heading our Ivory work has been demoted, and has now become a team leader, while Daniel Assefa (who was his subordinate) is now the department’s Director. We have always worked with Daniel Assefa so this is not a problem, nonetheless this slightly awkward shift required a tactful approach to continue the work on the Gold Standards. Additionally, the civil strife has furthered hindered work aside from essential, and national travel has been more limited. affected morale and productivity level of EWCA staff and affected national travel, prices and official processes for government in country.

However, EWCA remain committed, and the agreed extension with DEFRA will mean the activities will be completed as planned. The general elections are set for June 5 but all improvement work is due to be finalised ahead of that time.

Malawi

SOPs

- The SOPs for DNPW in Malawi were finalised and approved in Year 3, and are in the process of being implemented. The SOPs were developed via provision of remote support to the DNPW project focal point, Fyson Suwedi, to tailor the SOPs to the Malawian context. Subsequently DNPW staff provided review and comment on the draft

SOPs. Due to Covid-19 restrictions this review was undertaken by individuals, rather than through a workshop which had initially been planned. The SOPs were then updated based on feedback and finally endorsed by the Director of DNPW. The SOPs have been formatted and are in the process of being printed.

- The training on the SOPs is currently being planned. This was delayed due to Covid-19 restrictions on meetings and the risk for requesting staff to travel around the country.

Storeroom improvements

- The DNPW central storeroom has been completed, with two shipping containers equipped with shelving units, CCTV, step ladders, fire extinguishers and PPE, together with strong locks. The storeroom was visited by Government officials from other departments who verified the security. This will hopefully ease underlying tensions between Government departments about management of ivory and unsubstantiated suspicions of theft.
- The ivory from the field storerooms were then centralised to the new storeroom. The largest store with over 6 tons of ivory was moved using the SOPs, ivory movement protocols which included detailed procedures to check the ivory out of the storeroom on a piece by piece basis (and all items were present as per the paper and digital inventory) and then to check the ivory into the new storeroom on a piece by piece basis. (Annex for protocol). Normally our technical expert from Kenya would assist Governments with this work due to the scale of the stockpile moved, but due to Covid-19 travel restrictions we adapted and contracted Maravi, a security /risk analysis firm based in Lilongwe, to support the inventory process to ensure it was accurately recorded. Government Auditors were also present to confirm the clear and transparent move.
- In addition to the central storeroom installation, other storerooms were improved with provision of dedicated shelving units for wildlife products for storerooms that only hold small amounts or do not have a dedicated strong room. A shipping container for the Lilongwe Court storerooms had been placed, equipped with shelving units, to provide a standalone location for wildlife products being held by the Courts.

Final Assessment

- A final assessment of the infrastructure for the storerooms was undertaken in March by Maravi, to measure if the storerooms now meet the minimum standards, this was undertaken using the Gold Standard Assessment App and Excel forms. The report is in the process of being collated and will be submitted in Year 4 once the review of implementation of the SOPs has been undertaken.

Uganda

SOPs

- The SOPs for Uganda were drafted in Year 1 and have been submitted to the UWA Board of Trustees for review and approval. The new UWA Board of Trustees was inaugurated in July 2020, and the SOPs are on the Agenda for their review and approval, though it is uncertain when this will happen. By March 2021, it still has not been formally approved. This is due to the decision by UWA, that a review of all UWA SOPs needs to be undertaken and they would be all endorsed at the same time. Therefore, this process will take time and the formal adoption will be delayed. However, where possible, some aspects of the SOPs are being implemented in daily work by the storeroom managers. Formal training on the SOPs would ordinarily be undertaken once the SOPs have been endorsed by the Board of Trustees, however, since it is highly unlikely that the Board will make substantial changes in the draft, the training can be planned for May 2021.

Storeroom improvements

- Following the initial assessment of the storerooms in Year 1, an agreed list of improvements to strengthen the storeroom was developed. Over Year 2 and Year 3

these improvements were undertaken. Including the expansion of the central storeroom at the UWA head offices, and strengthening the field storerooms. Procurement of equipment including fire extinguishers was been slowed due to shops being closed, and supply chains disrupted due to Covid-19 lockdown between March and August 2020. Once procured internal travel was restricted which hindered the installation of the items in the National Parks. However, most of the improvements were completed by March 2021, with only a few items remaining.

- Part of the improvements was the provision of 24 fire extinguishers for the storerooms and during the deployment of the fire extinguishers, a short training course was provided by Mr Jackson Karugaba from Fire and Safety Appliances for 181 UWA personel were trained over the 8 different training sites. See training report in the evidence.

Final assessment

- The final assessment of the storeroom is planned for August, and it is anticipated will be undertaken by our partners in Malawi, Maravi who assessed the DNPW storerooms.

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.

From inter-agency communications and tracking of news coverage and seizures, no loss of ivory has been recorded to our knowledge from the storerooms in Malawi or Uganda since the start of the project.

In Ethiopia, the civil strife in the Tigray region has meant little is currently known about the storerooms and elephants in the region, it is expected that the stores have been looted but until access is possible it cannot be confirmed.

The annual CITES report for each of the 3 partner countries do 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-September 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. However, in 2021 there have been issues with the tablet with the SMS, which has not yet been resolved due to internet issues. Therefore the SMS has not been updated recently, however a paper record exists, and a plan to fix the SMS has been made. By the end of the project in September 2021, it is anticipated that Ethiopia's SMS will be operational and up to date.

Analysis of reports on ivory seizures over project period against storeroom data also indicate that Malawi, Uganda and Ethiopia's central storeroom have an up to date digital inventory with all known seized ivory. The remainder of Ethiopia's storerooms will be confirmed by end of project.

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 – this includes Malawi, Ethiopia, Uganda, Cote d'Ivoire, Angola and Nigeria– covering an area of 3,976,005 km². It is expected an additional 2 countries are preparing for implementation in 2021.

The final measurement will be reported on at the end of the project in Year 4.

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 2021. A full analysis of the CITES reporting quality and performance will be undertaken and reported in the final report.

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 4 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 3, all the Governments have remained committed to the project, providing staff time through a project focal point (for example Daniel Pawlos (EWCA), Fyson Suwedi (DNPW), and Jadress Komugasho (UWA)).

However, one assumption that was not taken into account within the project proposal is how a pandemic would impact operations and work. It was assumed that working conditions, travel and working hours would remain the same. The Covid-19 pandemic has impacted significantly travel and working functionality since February 2020 and will continue to impact it for the foreseeable future until vaccinations have been widely implemented.

Specific impacts include: In Uganda, the Government banned the use of public transport and Government staff were working from home from March 2020 for a few months, although most staff did not have good internet connectivity. In Ethiopia and Malawi, during the course of the

year, EWCA and DNPW offices had a reduced personnel operating, and people are working from home where possible, however they faced internet access issues whilst at home.

The EPI Foundation restricted all travel except urgent and essential travel from February 2020, and is still enforce in April 2021. The EPI Foundation has an internal Covid-19 travel risk analysis to determine if travel is authorised. We have adapted and are working with in-country experts, and with the Partners, mastering the art of zoom conference calls and online meetings to move the project along. And development of new training tools to facilitate remote training when possible.

Another assumption not taken into account, the assumption of a safe working environment. Ethiopia has been experiencing different levels of civil strife for at least the last 6 months. Initially highlighted during the assessment of civil unrest between different Tribes, and then the civil unrest escalated in the Tigray region in 2020-2021 which has had knock on effects to the whole country. One of the focal storerooms for the project is located in this region, so work has had to stop there and will not be able to undertaken.

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 Foundation 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 all the countries.

In Ethiopia access to the storeroom in the Tigray region has been understandably denied due to civil war.

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 is developing and putting in place good practices for ivory storeroom management and chain of custody, and improved security. It is widely recognised that secure management of government stockpiles is necessary for long-term action against the illegal trade which fuels the poaching of elephants. By implementing improved security and transparent accountable procedures, it should stop the leakage of ivory back into the illegal wildlife trade. To our knowledge no ivory has gone missing from the wildlife departments storerooms in Malawi and Uganda since the launch of the project, nor from the Ethiopian central storeroom, however the field storeroom in Tigray it is unsure due to civil war. And as this project seeks to embed improved practices into government processes, including train the trainer models such as in undertaking Assessments, in the long term it is expected that the risk of ivory leaking from government held stockpiles has been reduced.

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.

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 may leverage further donor funded support. For example this project has resulted in additional funding for DNPW in Malawi by US INL.

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”, and indirectly contributes towards “3. Ensuring effective legal frameworks” through strengthening the management and transparent handling of evidence.

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, at the end of the project in Year 4 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, which will be supported by 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, with improved in-country capacity, strengthened infrastructure and transparent management procedures should be in place, which will ensure the security of government stockpiles. As a result, ivory should no longer risk being leaked into the illegal market.

These improvements should lead to the following outcomes by the end of the project:

- 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 3 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

has taken gender equality into account. When writing this section, consider the following:

- Is there evidence that the project is working to address gender inequality?

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 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.

In Malawi the Government focal points for the project are men, in Uganda we've been working with two women and two men. And in Ethiopia the EWCA team is a mixture of men and women.

8. Monitoring and evaluation

The Monitoring and Evaluation is coordinated 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 (all are stored on a secure cloud based filing system):

- Copies of all tools developed.
- Progress reports from EPI Foundation staff, partner organisations and consultants, including photo evidence.
- Meeting minutes, including internal progress and planning meetings.
- Record of partner email communications.
- Training reports, including sign-in sheets or record of attendance.
- Feedback reports and emails on use of the tools.
- Gold Standards Assessment Reports of storerooms.
- Travel reports.

- 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 2021 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.
- Opinion surveys (to be conducted at end of project)

The activities and outputs can be demonstrated to meet the project Outcome through the use of the Gold Assessment spreadsheet or App, which are simple tools used to conduct an Assessment of a storeroom, with a clear categorisation to show if it is meeting the minimum baseline standards or not. If not, there is a list of items that need to be improved in order to meet the minimum standards. The Assessment takes less than 2 hours and can be easily repeated to ensure it maintains the standards. A copy of the automatically generated Assessment report by the App, is also sent to the EPI Foundation.

The first Assessment was undertaken in Year 1 in Malawi, Uganda and Ethiopia to get the baseline and understand the needs. The final Assessment has been done in Malawi, and will be undertaken in Uganda and Ethiopia by August 2021. These will be reported on in full during the final project reporting.

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

The lessons learnt in Year 3:

Be proactive and adapt working style. The Covid-19 pandemic resulted in significant changes to living and working practises. With promotion of work from home in the UK and strict regulations on international travel, and similar changes in our partner countries. This initially resulted in activities being put on hold, although with an unknown duration of the restrictions of working, and the prediction that illegal wildlife trade activities would not stop during the pandemic, we found ways to adapt our work plan and activities.

We developed training videos and tools for online remote training. We developed an App to speed up and simplify the Assessment process, and found in-country experts to work with. And we found a new love of Zoom!

We have been delayed and our activities have had to be adapted, but overall, we should still achieve our objectives.

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

In the review of Year 2 annual report the following points for improvement were made:

The project team does need to make sure that the investments in the three countries are well embedded, such that they sustain after the project finishes. This is a hard ask particularly in Ethiopia given its decentralised structure. What needs to be in place for someone to come back in five years and observe that the practices are still in place – or have become business as usual – what else beyond what the project needs to do, has to be in place for this (i.e. the Outcome) to be achieved? I am not yet convinced that the practices will become business as usual: the project needs to be able to articulate what conditions will allow that to happen.

The Project aims to institutionalize the processes developed, to ensure longevity. The SOPs need to be Government-owned and driven, to promote full adoption and embedding into the routine for handling wildlife products. To achieve this, we have worked closely in partnership with Governments and supporting them through the transition process, with Consultants and partners providing mentoring and technical support.

An important part of the Gold Standards is the appointment of Storeroom managers and supervisors, with clear terms of reference of responsibilities, and longevity in the roles. And we have supported them to adopt the SOPs. After the project end, the partner governments have committed that these roles will continue. Internal Whatsapp groups (or equivalent) between the different Storeroom Managers for each country will be created to enable rapid troubleshooting and lessons learned between sites (though while ensuring that no sensitive data is shared). For any training conducted, we have ensured the government is the lead in convening and will be the trainers, so the process is government-led. After the training courses, there will be regular follow-ups with the storerooms managers will ensure they are able to follow the new systems effectively and offer the opportunity to raise any issues with implementation.

To help ensure legacy knowledge and longevity, we have designed the Gold Standards Assessments to be able to be undertaken independently by Government partners so they can identify if improvements are required in the future. During the project, the EPI Foundation has provide training to head office nominated staff who will become a certified EPIF GS Assessor.

However the implementation and embedding of management procedures and improvements into daily routines will take time and mentoring. The EPI Foundation will continue to provide cross-cutting support and mentor the Government partners after the project ends, including by sharing lessons learned from implementation of the Gold Standards and Stockpile Management System in other countries using case studies. Each year we provide support for the collation of the CITES report in February, and provide follow up training and assist data management. This support will expand to include the Gold Standards work. This will involve storeroom Assessments and mentoring, to work with the wildlife departments to ensure the protocols are embedded into daily work routine. We aim to undertake Assessments annually, with 6 monthly check-ins with the Governments for the procedures. This will partly be undertaken remotely using scans of the paper work.

Specific continuation of work in the partner countries includes:

In Malawi we have a follow on INL project to build on the progress so far and expand it to include evidence management improvements. We will continue to engage with Maravi to provide technical support to DNPW when necessary.

In Ethiopia, we aim to have an EPI Foundation project officer based in country who will be trained to provide the mentoring. We are also working with the UNDP in country who has offered to provide further follow up as it is included as part of their remit and support to EWCA.

In Uganda, we hope that international travel will recommence and our technical partner Bityarn Consult can visit on an annual basis.

Additionally, whilst the project will have a focus on confiscated wildlife products, specifically ivory, the processes should be replicable for other items in Government custody.

11. Other comments on progress not covered elsewhere

12. Sustainability and legacy

Open Access and sustainability:

This project aims to provide useful tools for the management of wildlife product stockpiles and storerooms that are freely available in three languages, and can be used by governments and NGOs across the continent. The tools have been designed to be user-friendly, clearly presented and easy to navigate. The Gold Standards document is on the EPI Foundation website and has been included on the CITES website as a best practice example of tools for storeroom management. The template SOPs and the training videos are available for any countries upon request. The Gold Standard Assessment App and Excel check list is simple to use, and once online can easily be used by any government or organisation, without requiring any security expertise.

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 and using the SOPs.

Further interest:

The progress of the project, and positive reception has resulted in the request for it's implementation in at least a further 5 countries currently. 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, Mozambique, Cameroon, DRC and Congo have also expressed interest in implementing the Gold Standards.

Exit Strategy:

The project's exit strategy remains valid. The Gold Standards tools are already freely available and the EPI Foundation is supporting its adoption by other countries. With the storeroom improvements, SOP development and use, the management systems themselves should become "business as usual" operations. The Assessment tools 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.

This includes for the Gold Standards tools, which also appear on the EPI and CITES websites. When conducting other EPI related state engagement with high-level officials from partner countries including Ministers, it has included updates on the project, referencing the UK government and Defra as funders. The IWT Challenge Fund logo is visible on the training presentations/materials. When discussing expanding the Gold Standards work into other countries, we have made clear the original project is funded by the UK Government and the IWT Challenge Fund, and 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 (over 5000), which has included updates on the project, with reference to the UK government funding. We have also endeavoured to keep the British High Commissions and Embassy in the Malawi and Ethiopia updated on the project.

14. Impact of COVID-19 on project delivery

COVID-19 has impacted the project implementation, creating delays in achieving the work and resulted in a request for a 6-month extension. The impact has mostly been due to not being able to undertake activities due to shops being closed and thus preventing the procurement of materials, international and national travel restricted, at home working and associated internet issues, meetings prohibited or limited in number, and partner government priority and focus to be to address the pandemic. Therefore, most activities have simply had to be postponed.

In response to Covid-19 regulations and restrictions we have adapted our workplan, including developing remote training tools, and delaying training courses in country due to the risk of spreading the virus through travel. We have managed to increase communication using zoom and whatsapp which we hope to maintain this over the coming years. It has been good to have virtual face to face discussions on a regular basis, and promotes collaboration and engagement. We will still aim to visit the countries periodically but this may now be able to be reduced.

We hope we will be able to finish within the 6 month requested extension, although given the emergence of new coronavirus variants and continuing spikes in infections across Africa, we

cannot rule out further Covid-19 related challenges. We have ensured for any work undertaken there is budget available to buy face masks, soap and hand sanitiser for everyone present. As part of the Gold Standards, the use of PPE is required for the handling of wildlife products, which will help minimise potential contamination or spread of diseases.

Our project outcomes or impacts, do not directly assist with the response to Covid-19 or reduction of future pandemics.

15. Safeguarding

Please tick this box if any safeguarding or human rights violations have occurred during this financial year.

If you have answered yes, please ensure these are reported to ODA.safeguarding@defra.gov.uk as indicated in the T&Cs.

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 year 2 and 3 of the project the policies were reviewed, updated and shared again, and each staff and consultant are required to sign acknowledgement of them.

Regular reporting is required from partners, which is analysed, and referenced against policies, so that any concerns are identified as soon as possible.

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).

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.

16. Project expenditure

Please expand and complete Table 1. If all receipts have not yet been received, please provide indicative figures and clearly mark them as Draft. The Actual claim form will be taken as the final accounting for funds.

Table 1: Project expenditure during the reporting period (April 2020-March 2021)

Project spend (indicative) since last annual report	2020/21 Grant (£)	2020/21 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)				
Partner Travel and subsistence				
Partner Operating				
Partner Capital Costs				
TOTAL				

Highlight any agreed changes to the budget and **fully** explain any variation in expenditure where this is +/- 10% of the budget. Have these changes been discussed with and approved by IWT?

The Year 3 budget has not been fully spent out, with an underspend of £ [REDACTED]. We do not anticipate travel within the final 6 months of the project, so have not committed the funds.

17. 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 2020-2021

Project summary	Measurable Indicators	Progress and Achievements April 2020 - March 2021	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-April 2020, no known items have been lost from Wildlife departments storerooms in Uganda and Malawi. Or Ethiopia central storeroom, 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 security improvements to storerooms and conduct training sessions.</p> <p>Undertake a follow up Assessment of the storerooms in Ethiopia and Uganda.</p> <p>Continue to monitor and check ivory inventory data to ensure no loss of ivory and additions of seized ivory.</p> <p>Centralise the ivory stockpiles in Ethiopia.</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 2020 - March 2021	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 completed in Year 4 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 2021.</p> <p>0.5 To be assessed after improvements have been completed and training conducted.</p>	
<p>1. 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</p>	<p>1.1 The Gold Standards document has been finalised as a reference document. Template SOPs are available for use. The Gold Standard Assessment sheet and App are available for use. The Gold Standard training videos are available. These are all 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> <p>https://www.elephantprotectioninitiative.org/ivory-management</p>	

Project summary	Measurable Indicators	Progress and Achievements April 2020 - March 2021	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>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>And a summary presentation on the Gold Standards is available on the CITES website, which provides the link to the EPI website. 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 Discussions on the Gold Standard have had to be remotely undertaken in Year 3, and have been discussed with 7 interested countries Governments or NGO partners.</p> <p>1.1.3. 7 countries have expressed interest in the tools, in particular the governments of Mozambique, Gabon, Cameroon, DRC 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, 2020 and 2021</p>	
<p>Activity 1.1 Consultations with country wildlife departments and supporting NGOs</p>		<p>Completed.</p> <p>Government partners, NGOs and technical experts have provided feedback into the tools which have been adapted based on this.</p>	<p>We welcome further input at any stage to further refine the tools for effective use.</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 English, French and Portuguese, and the CITES website.</p>	<p>NA</p>

Project summary	Measurable Indicators	Progress and Achievements April 2020 - March 2021	Actions required/planned for next period
		The guidelines are currently being field tested.	
Activity 1.4 Technical meetings between the experts end-users and other key stakeholders, with preliminary validation of draft guidelines before field testing		Completed A technical workshop was held in Nairobi in February 2019. Workshop report available on request.	NA
Activity 1.5 Tools are field tested in three countries		The SOPs have been developed for each country and being implemented.	NA
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)		The Guidelines and Standards for ivory management have been finalised.	Publish the updated version on the website by project end.
1.7 Promotion by EPI Foundation of tools to EPI member states as a means to meet EPI commitments.		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.	We will continue to promote the tools to EPI and non EPI countries.
Output 2. Improved Ivory storeroom management and security in three partner countries (Uganda, Malawi and Ethiopia).	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 Chain of Custody are operational, by end of project. 2.2 Storeroom keepers across the CoC have received training in	2.1: First Assessments 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. 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.	

Project summary	Measurable Indicators	Progress and Achievements April 2020 - March 2021	Actions required/planned for next period
	<p>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>2.1.2 Follow up Assessments to assess progress on the action plans will be conducted in year 3/4.</p> <p>2.2 Personnel from each wildlife department have been trained on the Assessment process (2 from DNPW, 2 from UWA and 2 from EWCA). Further personnel will be trained in Year 3/4 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.</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>	
<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>		<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 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>NA.</p>

Project summary	Measurable Indicators	Progress and Achievements April 2020 - March 2021	Actions required/planned for next period
<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 SOPs will be conducted in Year 4.</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 4.</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 progress, on average every 2 months. Minutes and correspondence have all been recorded.</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 with the technical teams in the partner countries.</p>

Project summary	Measurable Indicators	Progress and Achievements April 2020 - March 2021	Actions required/planned for next period
Activity 2.5 An independent expert will provide guidance for follow up audits carried out by department agents to assess changes and improvements		Audit conducted in Malawi.	Conduct the audits in Year 4 for Ethiopia and Uganda.

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</p>

Project summary	Measurable Indicators	Means of verification	Important Assumptions
	0.2 100% of known seized ivory added to government stockpiles over project period (Sept 2018-March 2021) is effectively recorded to SMS.	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.	are adopting all the tools available with full commitment.
	0.3 Minimum of 1,482,774 km ² (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.	0.3 Number of countries who 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.	

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Output 1</p> <p>2. 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. Post project end, a review of guidelines and template model SOPs uptake and use based on the specified means of verification, will be conducted every year (included in EPI annual report).</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. 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>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>

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>

Project summary	Measurable Indicators	Means of verification	Important Assumptions
	<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>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> <p>Government departments have a given number of female personnel in roles to which the training is relevant.</p>
	<p>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.</p>	<p>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.</p>	
	<p>2.4 Gender equality and equity promoted within government departments through implementation of tools in partner countries</p>	<p>2.4 Number of female personnel included in training and capacity building- relative to the number of female personnel in the department</p>	
<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>			

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<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

Please expand and complete Table 1: new projects should complete the Y1 column and also indicate the number planned during the project lifetime. Continuing project should cut and past the information from previous years and add in data for the most recent reporting period. Quantify project standard measures over the last year using the coding and format from the IWT Standard Measures (see website for details <https://iwt.challengefund.org.uk/resources/reporting-forms-change-request-forms-and-terms-and-conditions/>) and give a brief description. Please list and report on relevant Code Numbers only. The level of detail required is specified in the Standard Measures Guidance notes under 'definitions and reporting requirements' column. Please devise and add any measures that are not captured in the current list. Please note that these measures may not be a substitute for output level objectively verifiable indicators in the project logframe.

Table 1 Project Standard Output Measures

Code No.	Description	Gender of people (if relevant)	Nationality of people (if relevant)	Year 1 Total	Year 2 Total	Year 3 Total	Total to date	Total planned during the project
6a	GS Assessment training SMS training SOP Training	M + F	Uganda Malawi Ethiopian			NA		+30 more
6b	Number of training weeks provided			0.5	0.5	NA	1	2
7	Gold Standard Document SOPs template GS Videos Aide memoire posters	NA	NA	1		2	3	4

Table 2 Publications

Title	Type (e.g. journals,)	Detail (author s, year)	Gender of Lead Author	Nationality of Lead Author	Publishers (name, city)	Available from (e.g. weblink or publisher if not available online)

	manual , CDs)					
Gold Standards for the management of ivory and other wildlife products	Technical report	Phil Stewart, 2019	Male	British	NA	www.elephantprotectioninitiative.org
Template SOP for ivory management	Technical report	NA	NA	NA		

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.	Y
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.	Y for MoV
Have you included means of verification? You should not submit every project document, but the main outputs and a selection of the others would strengthen the report.	Y
Do you have hard copies of material you need 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.	N
Have you involved your partners in preparation of the report and named the main contributors	Y
Have you completed the Project Expenditure table fully?	Y
Do not include claim forms or other communications with this report.	