

Submit by 2359 GMT on Tuesday 20 February 2018

Department for Environment, Food and Rural Affairs

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

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

1. Name and address of lead organisation

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

Applicant Organisation Name:	Lancaster University, Lancaster Environment Centre (LEC)
Address:	
City and Postcode:	
Country:	
Project Leader name:	Jacob Phelps
Project Leader email:	
Project Leader phone:	

2. Stage 1 reference and project title

Stage 1 Ref: 420	Title: Wildlife in Indonesia, Loss, Damage, & Sanctions (WILDS)
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3. Project dates and budget summary

Start date: 01/10/2018	End date: 30/09/2020	Duration: 2 years	
2018/19 £ 95,727	2019/20 £ 140,074	2020/21 £ 61,437	Total request £ 297,237
Proposed (confirmed and unconfirmed) co-financing as % of total Project cost			

4. Summary of Project

Please provide a brief summary of your project, its aims, and the key activities you plan on undertaking. Please note that if you are successful, this wording may be used by Defra in communications e.g. as a short description of the project on GOV.UK. Please bear this in mind, and write this summary for a non-technical audience. (Max 80 words)

The project challenges impunity among IWT perpetrators through innovations to increase sanctions, so they better reflect the injuries to society (e.g., on livelihoods, biodiversity, culture). It compares international [sanctions](#) to IWT, and initiates international “best practices” standards. In Indonesia, it engages experts and government officials to review sanctions, and provides expertise to quantify the costs of IWT on society, and applies these to a first-of-a-kind civil liability suit to hold IWT perpetrators financially responsible for environmental harm.

5. What will be the Outcome of the project?

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

This should be an action orientated statement e.g. training provided to the judiciary results in increased successful prosecutions of poaching. **This should be the same as the Outcome statement given in Question 25.** (Max 30 words)

Innovations and review of IWT sanctions result in reduced IWT in Indonesia and new international standards for IWT sanctions, which improve accountability and protect natural capital critical to human wellbeing.

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

6.a. Put an X in all that apply (See Guidance Note 3.1)

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

6b. Which of the commitments made in the London Conference Declaration, the Kasane Statement and/or the Hanoi Conference does this project support? Please provide the number(s) of the relevant commitments: there is no need to include the text from the relevant commitment. See Guidance Notes 4.1 and Annex A)

London Declaration XI, XII
Kasane Statement #5
Hanoi Conference Action B.

6c. Global Goals for Sustainable Development (SDGs)

Please detail how your project will contribute to the Global Goals for Sustainable Development (SDGs). (Max 250 words)

The project will contribute to Goal 14: Life Below Water and Goal 16: Life on Land by:

- Protecting terrestrial and marine biodiversity by helping to ensure that IWT sanctions (fines, imprisonment) are robust and meet global standards, and by innovating new forms of IWT sanctions via civil liability suits for environmental harm that results from IWT. Both actions will help to deter future IWT perpetrators to protect biodiversity;
- Articulating and quantifying the nature of harm caused by IWT in ways that will increase public understanding of the scale of damage that IWT causes society, and
- Enabling restoration of marine and terrestrial systems via its pioneering work on civil liability suits for environmental harm. These suits will seek to recover funds from IWT perpetrators to enable the restoration of injured species and habitats, which is an innovation that has not been previously applied to IWT.

The project also contributes to Goal 16: Peace, Justice and Strong Institutions by:

- Engaging Indonesian judges and prosecutors in critical review of how existing sanctions are applied, to ensure that these are consistently and justly applied, helping to strengthen legal institutions and judicial process;
- Establishing initial discussions about international “best practices” in IWT sanctions to help establish new standards that are consistent and just, and
- Explore ways in which existing civil liability legislation can be applied to IWT cases, to help ensure that judicial processes yield outcomes that are more just to society and the victims of IWT.

7. Country(ies)

(See Guidance Notes 3.3 and 4.5)

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

Country 1: Indonesia (primary)	Country 2: Cambodia*
Country 3: Vietnam*	Country 4: Mexico*
Country 5: Brazil*	Country 6: Angola*
Country 7: Kenya*	Country 8: Argentina*
* Selected for the comparative legal analysis by Legal Atlas to inform a “best practices” standard and specifically selected because they have existing provisions that allow for civil liability suits due to environmental damages, and also have legislation related to the loss of wildlife.	

8. a. About the lead organisation:

What year was your organisation established/ incorporated/ registered?	1965
What is the legal status of your organisation?	NGO No Government No University Yes Other (explain)
How is your organisation currently funded? (Max 100 words)	Lancaster University operates as an Exempt Charity incorporated by Royal Charter. The University's income is funded from a wide range of sources including <ul style="list-style-type: none"> - Research Councils (RCUK), - Industry and commerce, - Charities, - UK, EU and overseas government funding, - UK Local and Health authorities and Student fees paid either privately or by government or other sponsors including the UK government funded Student Loan Company.
Have you provided the requested signed audited/independently examined accounts?	Yes, see attached documents

8b. Provide detail of 3 contracts/projects previously undertaken by the lead organisation that demonstrate your credibility as an organisation and provide track record relevant to the project proposed. These contacts should have been held in the last 5 years and be of a similar size to the grant requested in your IWT Challenge Fund application. They can include IWT Challenge Fund and Darwin Initiative projects

Project 1 Title	Linking research and environmental education to reduce Amazonian wildfires
Contract Value/ Project budget	£ (Lancaster University awarded)
Duration	Start Date: 01/09/2009 End Date: 28/02/2013
Role of organisation in project	Lead Institution
Brief summary of the aims, objectives and outcomes of the project.	To reduce the prevalence of Amazonian wildfires by linking earth observation, biodiversity data, and social and ethnographic research with environmental education, training, and capacity building.
Client contact details (Name, e-mail, address, phone number).	Eilidh Young Pentlands Science Park, Bush Loan, Penicuik, EH26 0PL Tel: 0131 440 5181 Email: Darwin-finance@ltsi.co.uk
Project 2 Title	Predicting Urban food Insecurity under Climate Change in Brazilian Amazonia
Contract Value/ Project budget	£

Duration	3 years
Role of organisation in project	Hosted this ESRC Future Research Leaders Fellowship project.
Brief summary of the aims, objectives and outcomes of the project.	<p>Objectives:</p> <p>(1) Contribute to the advancement of quantitative methods in social sciences in the UK, using hierarchical spatiotemporal modelling applied to the climate change adaptation and food insecurity.</p> <p>(2) Become established as a future research leader by pioneering advanced quantitative techniques to improve understanding of climate change adaptation and urban food insecurity.</p> <p>(3) Develop a model for predicting urban food insecurity in regions with high vulnerability to extreme climatic events by combining data-streams on hazard exposure and adaptive capacity to predict vulnerability.</p> <p>(4) Contribute to important academic and policy debates currently lacking evidence, particularly how to increase urban adaptation to climate change, reducing impacts of global environmental change on food insecurity, and cost-benefits of transport infrastructure and agricultural expansion in tropical regions</p> <p>(5) Facilitate improved governance to reduce climate impacts by generating a Food Insecurity Risk Index that can unite top-down (hazard exposure) and bottom-up (adaptive capacity) perspectives.</p> <p>(6) Develop an early warning system for the Brazilian Amazon to improve the effectiveness of government intervention during droughts, based on the Index, linked to real-time river flow information and visualised using digital Vulnerability Maps.</p> <p>(7) Improve the ability of Federal and State governments to make evidence-based investments to improve adaptive capacity to climate change using Vulnerability Maps as a prioritization tool.</p> <p>Outcomes:</p> <ul style="list-style-type: none"> • Collation of data on food prices, river levels and poverty distribution in Brazil's Amazonia region into an integrated evidence base. • Mapping of available information into an online early warning system that highlights food insecurity hotspots during periods of drought. • Dissemination of research through conferences, publications, academic partnerships, media outreach and engagement of Brazilian government officials.
Client contact details (Name, e-mail, address, phone number).	Economic and Social Research Council (ESRC)

Project 3 Title	Remote Sensing for Sustainable Intensifications in China through Improved Farm Decision Making
Contract Value/ Project budget	£
Duration	1 year
Role of organisation in project	Project partner
Brief summary of the aims, objectives and outcomes of the project.	<p>Extension services such as China's Science and Technology Backyard programme provide information and support to local farmers, but with very high resource requirements and very limited spatial coverage. Presently, there is little scope of extending such services across the vast area of China. However, there exists a strong opportunity to connect reliable remotely sensed products or proxies to farmers using (i) fusion of remotely sensed data to create fine resolution datasets for crop and soil monitoring and (ii) the production of AgriTech-relevant data at fine resolution through extension services such as the Backyard programme to ensure complete information communication. This project co-designed with stakeholders an innovative system to use existing and new sources of remotely sensed data such as from the NASA's MODIS and Landsat, China's HJ (10 m) and ESA Sentinel-2 sensors.</p> <p>Outcomes:</p> <ul style="list-style-type: none"> • Produce a novel 30 m space-time cube of surface reflectance and vegetation indices • Undertake time-series analysis to estimate both crop specific and soil parameters across selected sites as a demonstrator of the potential for nationwide monitoring at the national scale. • Provide specific outputs and advice for farmers using the China Science and Technology Backyard Programme as an example of the extension services that could be provided to farmers across China.
Client contact details (Name, e-mail, address, phone number).	John Crawford - Rothamsted Research Ltd (Lead Partner)

9. Project partners

Please list all the partners involved (including the Lead Organisation) and explain their roles and responsibilities in the project. Describe the involvement at all stages, including project development. This section should illustrate the capacity of partners to be involved in the project, and how local institutions, local communities, and technical specialists are involved as appropriate. Please provide written evidence of partnerships.

Please copy/delete boxes for more or fewer partnerships.

Lead Organisation:	Lancaster University, Lancaster Environment Centre (LEC)
Website address:	www.lancaster.ac.uk/lec
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Role: Provide leadership and coordination of the project. This will include specific contributions to the design and delivery of the applied research, conceptualizing and coordinating the expert workshops, and producing publications and training materials. Moreover, LEC will play a central translational role; it will mediate across diverse contexts, languages, legal regimes, and disciplines required to make the project successful. It will also serve to link academics to practitioners, translate lessons from other jurisdictions into Indonesia-relevant material, and translate research into policy-relevant resources.</p> <p>Capacity: LEC is a leader in environmental research, with recognized excellence during the 2014 Research Excellent Framework translating its research into impact. It hosts over 80 faculty and offers excellent institutional and administrative support. It includes the Tropical Environmental Change and Policy Lab, led by Dr. Jacob Phelps, which has specific experience with IWT, including fieldwork in SE Asia and policy contributions. Dr. Phelps has been involved in the preliminary comparative legal research that is informing the developing of this proposal, and has both policy-facing research experience and networks in Indonesia. Importantly, his cross-disciplinary portfolio is instrumental to bringing together the unique group of stakeholder needed to operationalise this project.</p>
Have you included a Letter of Support from this organisation?	Yes

Partner Name:	Auriga (Indonesia)
Website address:	http://www.auriga.or.id/
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Role: Provide legal inputs and convening power within Indonesia's legal community, including engaging key government agencies and coordinating the expert workshops. They will also aid with analysis, oversight of fieldwork in Indonesia (including via the Research Assistant hired by this project). They have been actively involved in developing the project concepts, and will have a leading role in producing resource outputs and helping to mainstream these. This includes leading the civil liability IWT "test case" that demonstrates how project outputs can be applied.</p> <p>Capacity: Auriga (formerly Silvagama) is a civil society group with a history of legal advocacy for the environment. It is currently evaluating legal-regulatory and enforcement gaps responsible for persistent IWT in Indonesia. Auriga has recently worked closely with Corruption Eradication Commission and Ministry of Environmental and Forestry to develop National Actions for Saving Natural Resources through the harmonization of laws and regulations on environmental and natural resources management. Auriga has collaborated with the Wildlife Conservation Society on legal analysis to enable reform of Indonesia's outdated wildlife exploitation regulations. It draws on legal expertise of Grahat Nagata and Rony Saputra, lawyers with a range of , analytic, facilitation, managerial and government-facing experience.</p>
Have you included a Letter of Support from this organisation?	Yes

Partner Name:	Environmental Law Institute (ELI) (Washington, DC)
Website address:	https://www.eli.org
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Role: ELI is involved in project development, contributing economic and legal expertise, specifically related to the economic expertise needed to prepare damage claims for IWT harm. ELI will also be involved in producing project resources and publications. Drawing on their network, ELI will engage legal associations in the 7 target countries and the</p>

words)	<p>international legal community with our results.</p> <p>Capacity: ELI is a global authority on environmental law, including judicial training (>2,000, 25 countries) and advising on enforcement programs globally. In 2017, it evaluated the Global Environment Facility's Wildlife Program, and it is currently conducting legislative review of domestic ivory trade in 9 African countries for the CITES Secretariat. ELI draws on the specific expertise of Dr. Carol Adaire Jones. Former lead environmental economist for liability cases at the National Oceanic and Atmospheric Administration, she oversaw valuation of the natural resource damage claims for 36 cases As lead economist on the Oil Pollution Act regulations-writing team, she was an architect of the innovative restoration-based framework to value ecosystem services in damage claims, and coordinated the US's Blue Ribbon Panel on "Use of Contingent Valuation in Natural Resource Damages".</p>
Have you included a Letter of Support from this organisation?	Yes

Partner Name:	Legal Atlas
Website address:	http://www.legal-atlas.net
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Role: Will provide comparative legal analysis coupled with graphic representations and "best practices" examination to demonstrate how different countries address criminal, civil and administrative sanctions in the context of IWT. This will serve as an international online comparative tool that informs a new global standard, which will be published through Legal Atlas' Intelligent Platform.</p> <p>Capacity: Provides expertise and experience in the compilation, assessment and harmonization of legal frameworks, as well consulting and training in the implementation, enforcement and prosecution of legal mandates. Our consulting work is supported by an award winning legal intelligence platform that – through a variety of digital technologies – aggregates, maps, compares, and visually renders national laws and legal content, including international agreements and case law. Maribel Rodriguez is Senior Legal Analyst at Legal Atlas, leading global comparative research for their wildlife trade database.</p>

Have you included a Letter of Support from this organisation?	Yes
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Partner Name:	Indonesian Supreme Court
Website address:	https://www.mahkamahagung.go.id/en
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Role: The Court will be central in helping to recruit judges to participate in the workshops and will integrate project outcomes into the curriculum for the Environmental Law Certification Program for Judges. In addition, the Court issues guidelines, including on hearing environmental cases, that expect will be informed by this project.</p> <p>Capacity: The Supreme Court leads the Environmental Law Certification Program for Judges, which has prepared judges to adjudicate on environmental cases since 2012. Wildlife trade issues are already included in the curriculum, but not in detail. Training includes a small component on civil liability in the context of other environmental harms, but this remains underdeveloped.</p>
Have you included a Letter of Support from this organisation?	Yes

Partner Name:	Indonesian Ministry of Environment and Forests
Website address:	http://www.menlh.go.id/
Details (including roles and responsibilities and capacity to engage with the project): (max 200 words)	<p>Role: The Ministry, and specifically its Directorate of Prevention and Forest Security, within the Directorate General of Law Enforcement, will lend expertise related to use of civil liability to date, participate in the expert workshops, and help to envision how these lessons translate to case implementation. They are also a likely user of the project outputs as they prepare future IWT cases, as there is an explicit need for resources that help to quantify environmental harm. They will further embed 2 of their own researchers in this project, for capacity building and collaboration.</p> <p>Capacity: The Ministry has served as plaintiff in a number of criminal IWT cases, and uses limited forms of civil liability in the context of peatland fires. They have also collaborated with IWT Challenge Grant recipients on other aspects of IWT enforcement.</p>

Have you included a Letter of Support from this organisation?	No. However, we have firm email confirmation that a letter is currently being prepared. That email is included as an attachment.
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10. Project staff

Please identify the core staff on this project, their role and what % of their time they will be working on the project. Please provide 1 page CVs for these staff or a 1 page job description or Terms of Reference for roles yet to be filled. Please include more rows where necessary. These should match the names and roles in the budget spreadsheet.

Please include more rows where necessary.

Name (First name, Surname)	Role	% time on project	1 page CV attached?
Jacob Phelps	Project Leader	25% (Y1,2,3)	Yes
Grahat Nagara	Indonesian legal and environmental governance expert	30% (Y1,2,3)	Yes
Rony Saputra (replacing Syahrul Fitrah)	Indonesian legal expert, project management	60% (Y1,2,3)	Yes
Carol Jones	Technical expert on quantifying natural resource damage	17% (Y1,2,3)	Yes
James Wingard	Partner and Legal Director	8% (Y1)	Yes
Maria Pasucal	Partner and Legal Director	8% (Y1)	Yes
Maribel Rodriguez	Global legal expert and coordinator	8% (Y1)	Yes
Naila Bathri	Legal researcher	8 (Y1)	No
Alyona Ryder	Legal researcher	8 (Y1)	No
Allie Russo	Legal researcher	8 (Y1)	NO
Research Assistant	Research and project manager, based in Indonesia	100% (Y1,2,3)	TOR attached
Economics consultant	Indonesian expert consultant to support economic valuation	25% (Y2)	TOR attached
Ecological consultant	Indonesia expert consultant to support environmental impact and restoration assessment	25% (Y2)	TOR attached
Field Research Assistant	Indonesian assistant to support field-based research at the case study site	100% (Y2)	TOR attached

11. Species project is focusing on

(See Guidance Note 4.2)

Where there are more than 4 species that will benefit from the project's work, please add more boxes.

1. Rhinoceros Hornbill (<i>Buceros rhinoceros</i>)	2. Patagonian Toothfish (<i>Dissostichus eleginoides</i>)
3 Manta Ray (<i>Manta</i> spp.)	4. Sumatran Tiger (<i>Panthera tigris sumatrae</i>)
5. Sunda Pangolin (<i>Manis javanica</i>)	6. <i>Ramin</i> hardwood (<i>Gonystylis</i> spp.)

12. Problem the project is trying to address

What specific aspect(s) of the illegal trade in wildlife will your project address? Please describe the level of threat to the species concerned. Please also explain which communities are affected by this issue, and how this aspect of the illegal trade in wildlife relates to poverty or efforts of people and/or states to alleviate poverty. (Max 300 words)

Indonesia is a priority IWT country, where trade threatens a growing range of marine and terrestrial species. Usually thought of narrowly in terms of biodiversity loss, IWT affects society in diverse ways: IWT impacts livelihoods, where it affects local harvests (e.g., reduced fish stocks), restricts local access (e.g., tightened forest regulations), or presents physical risks. It yields lost taxes (e.g., from legal timber and fisheries trade); cascading ecological impacts; non-economic impacts (e.g., cultural, scientific, historical impacts of species loss), and the costs of increased public investments (e.g., additional monitoring, reintroductions).

The magnitude of these impacts—on the public and private citizens—is rarely reflected in the weak sanctions perpetrators receive. This fails to send clear deterrence signals to future perpetrators, recover money for conservation, or compensate victims. This impacts the livelihoods of people who live alongside wildlife and often bare the greatest costs of IWT.

However, to date, there are no robust global standards for IWT sanctions. Moreover, there is uncertainty over how to identify, measure and account for the actual scales of IWT harm. We also have weak understanding of how judges and prosecutors perceive IWT harm, although these fundamentally shapes the ways in which they apply the law (e.g., data that are used in court, type of sanctions judges apply). The current gaps fundamentally limit scope for justice through the courts, including for communities affected by IWT.

Nevertheless, judicial responses to IWT are strengthening—including through support from previous IWT Challenge Grant awards—and there is a need for forward-thinking initiatives to make sure sanctions reflect the on-the-ground realities of IWT harm. Notably, Indonesia is a global pioneer in the application of [civil liability for environmental harm](#) (in the context of peatland fires), and there is a clear, unrealised opportunity for this to now be pioneered for wildlife.

13. Methodology

Describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on:

- How you have analysed historical and existing initiatives and are building on or taking work already done into account in project design
- How you will undertake the work (materials and methods)
- How you will manage the work (roles and responsibilities, project management tools etc.).

Please make sure you read the Guidance Notes, particularly Section 3, before answering this question. (Max 750 words - this may be a repeat of some information from Stage 1, updated or refined as necessary. Tracked changes are **not** required.)

Methods

The project includes global, national Indonesian, and community-based local analysis, resources and engagement to identify novel ways of quantify IWT harm and strengthening IWT sanctions (see Fig. 1).

- 1. Identify IWT sanctions “best practices”:** Sanctions vary across countries, with no established standards.
 - a. Compare civil, administrative and criminal IWT sanctions across 8 countries (including Indonesia) via Legal Atlas platform.
 - b. Establish initial global “best practice” sanctions standard for IWT.
- 2. Conduct technical groundwork for IWT civil liability suits:** Beyond criminal and administrative sanctions, many countries have civil liability statutes. We will provide economic and legal technical expertise so these can be applied to IWT.
 - a. Convene interdisciplinary expert workshop (Lancaster) to identifying approaches to quantifying IWT harm and applying civil liability.
 - b. Engage economic and legal experts on methods to quantify IWT harm in Indonesia, to inform civil liability suits.
 - c. Review Indonesia’s historic IWT cases, which used criminal/administrative law, to evaluate how civil liability statutes might have applied.
 - d. Develop economic and legal guidelines and recommendations for evaluating IWT-related damages (e.g., on livelihoods, cultural impacts, restoration), including appropriate methods and data with government and academic technical experts and based on insights from the workshops, interviews and test case (described below).
- 3. Develop a legal “test case”**
 - a.
 - b. Conduct fieldwork to map diverse IWT local impacts (on environment, wellbeing, livelihoods).
 - c. Support a “test case”, in which Auriga will draw on project guidance and data to pursue the first IWT civil liability suit, as a global proof-of-concept.
- 4. Identify needs of Indonesian judges, experts & prosecutors:** Application of the law relies on the people who implement it.
 - a. Evaluate judge, expert and prosecutors’ perceptions of existing criminal and administrative sanctions.

- b. Evaluate how they define IWT damage (e.g., impacts on livelihoods) and its application to civil liability suits.
- c. Evaluate the data required to inform IWT cases.

5. **Build Indonesian awareness about IWT harm and civil liability:**

- a. Integrate project resources into existing IWT enforcement trainings (e.g., Environmental Law Certification Program for Judges).
- b. Engage Indonesian government agencies and civil society via short articles in agency newsletters, workshops and domestic conferences.
- c. Engage broader public via editorials (highlighting the case study) that illustrate the nature and scale of IWT harm.

6. **Engage for international impact:** The project will engage end-users by:

- a. Share the Indonesian proof-of-concept for international consideration (e.g., via journal articles, ELI network, IUCN, International Network on Environmental Compliance, INTERPOL).
- b. Disseminate results and resources via our existing network of law associations and conservation groups in the 7 other jurisdictions (beyond Indonesia) and broader international community.
- c. Initiate an international discussion on “best practices” in IWT sanctions via international fora, judges’ and legal associations, media and journals.

Historical Initiatives

Priority historical initiatives include:

- WCS’ “Strengthening institutional frameworks to combat wildlife trafficking in Indonesia” supports IWT investigations that contribute to criminal IWT cases.
- The Indonesian Supreme Court’s Environmental Law Certification Program for Judges prepares judges to hear environment cases and is undergoing expansion. The proposed project will contribute resources to improve the curriculum.
- The ASEAN [Judge’s Network on Environment](#) enables knowledge- during their annual Roundtable, where we will present our approach and resources.

Work Management Plan

Roles and responsibilities:

- Lancaster will oversee project management, M&E, coordination, workshop design, design and analysis of the field-work data and needs assessments, and production of resources.
- Auriga will provide Indonesian legal expertise, co-coordinate domestic workshops, disseminate results with policy-makers, co-develop resources, and lead the “test case”. They will oversee day-to-day management of the Research Associate, who will lead M&E, manage consultants, and conduct fieldwork, interviews and workshops.
- Legal Atlas will be responsible for the comparative review on IWT sanctions.
- Environmental Law Institute will lead on economic valuation of IWT harm, reviewing workshop and interview questions and co-developing the resources.

Management tools: We will use [Slack](#), a project management and messaging application, integrated with GoogleDrive, to coordinate work internationally. This will include a shared

folder and “live” documents to track outputs and timelines, indicating who is responsible for each (see M&E). We will have monthly team Skype call, and bi-weekly Lancaster-Auriga calls.

14. Beneficiaries

Who will benefit from the work outlined above, and in what ways? How will this contribute to sustainable development for the reduction of poverty? How many people are likely to benefit from this intervention e.g. number of households, and how do you intend to monitor the benefits they accrue?

If your project is working in an Upper Middle Income Country, please explain how benefits will be delivered to people living in poverty in Low and/or Low Middle Income countries.

Include, where possible, information on whether and how there are ways to support the most vulnerable communities, including women.

Demand reduction projects should clearly demonstrate their indirect links to poverty reduction, for example, by identifying impacts in the source countries for the products concerned. (Max 750 words)

Target beneficiaries: The project benefits several overlapping communities:

- Indonesian communities that depend on IWT-affected species (e.g., fish, timber) or related tourism (e.g., charismatic terrestrial and marine wildlife) as main sources of income; have cultural ties to wildlife, and are directly affected by IWT;
- Indonesian society at large, which is indirectly affected by IWT, through degradation of natural capital, cultural heritage and lost tax revenues, and
- Broader global community who suffer from IWT and are looking to identify legal innovations to curb IWT.
- Moreover, while the focused on IWT, the principles addressed can be applied to a wider range of environmental harms (pollution, mining, deforestation, forest fires), which also have links to poverty and wellbeing globally.

Impact pathways: The proposal contributes to these communities, and specifically poverty alleviation, via three pathways:

1. **Quantify scale of IWT harm on society.** The project will improve our understanding of how IWT impacts society, including its poorest members. This involves clarifying how to conceptualise and measure these diverse impacts, including economic impacts on rural livelihoods and taxes, as well as non-economic and downstream impacts of IWT that are often overlooked but are integral to human being. This includes impacts on ecosystem services (e.g., from loss of top predators, erosion) and on cultural and sense-of-place, all of which affect wellbeing. These innovations are important to public and legal recognition of the links between IWT, livelihoods, identities, and society.
2. **Direct impacts through compensation:** Civil liability suits are premised on the “polluter pays” principle and aim to recover compensation from perpetrators of environmental harm for the public and for individual victims. Civil liability thus has scope to provide compensation for victims of IWT. This can include private losses

(e.g., for lost income as a result of IWT), as well as restoration of lost resources for public injuries (e.g., restoration, reintroduction). Where civil liability cases enable compensation, the proposed project will yield direct impacts on poverty alleviation, for which we will be able to identify and quantify the specific implications for beneficiaries.

- 3. Indirect impacts of improved long-term judicial responses to IWT:** The project enables systemic changes in how enforcement bodies, the judicial system, and society conceive and respond to IWT. This includes indirect improvements to wellbeing by:
- Developing the tools for the judicial processes to formally acknowledge and quantify the diverse impacts of IWT on society. While the focus is on Indonesia, the project will introduce these ideas internationally, to establish new best practices for how IWT cases are litigated, with social impacts beyond Indonesia;
 - Shifting mainstream discourses about how IWT impacts society, to recognize its diverse and far-reaching impacts, and promote policies that reflect these true costs;
 - Targeting organised IWT crime that compromises local resident safety. Larger sanctions via civil liability will weaken criminal groups, with downstream implications for safety, and
 - Strengthening overall environmental governance and cultural of accountability, to improve long-term management of natural capital upon which many rural livelihoods depend

Overall, the project will have significant and tangible—but mostly indirect and long-term—benefits to poor people who live alongside and use wildlife, many of which are challenging to quantify during the project period. The notable exception is with the “test case” that can generate clear tangible benefits.

15. Gender

(See Guidance Note 4.6)

All applicants must consider whether and how their project will contribute to reducing inequality between persons of different gender. Explain how your project will collect gender disaggregated data and what impact your project will have in promoting gender equality. (Max 300 words)

The project will promote gender equality in 3 main ways across the project:

1. We will actively facilitate women's participation across the national-level workshops, meetings, expert elicitation and interviews. This will include capturing gender disaggregated data, as well as tracking successful engagements and challenges encountered. Where we note that women's voices are not clearly heard within these activities, we will organise separate engagement opportunities (e.g., focus group of female lawyers). We anticipate this may be particularly necessarily within Indonesia's male-dominated legal profession. These types of discussions will be facilitated via our M&E approach, described below.
2. In considering the impacts of IWT on society at the local-level, i.e. within our field case study, we will design our data collection to explicitly account for diverse

communities' perceptions and relationships to environmental harm. This will include efforts to account for different socio-economic groups' experiences, and to specifically account for women and children's experiences of environmental harm (e.g. specific impacts on resource access, non-economic impacts). Once different types of harm are identified by the research, we will adopt a range of economic tools that are most appropriate for a reflecting this harm. In addition, however, we will also consider non-economic approaches to measuring and representing harm. This will help to ensure that environmental harm is not just narrowly conceptualised in terms of men's livelihoods or economic metrics.

The project will actively recruit, and highlight the roles of women in environmental research, law and activism. The existing team already includes notable women in the field, and we will highlight their leading roles via our project materials and public communications (e.g., editorials recognizing women judges who are strong environmental advocates).

16. Impact on species in focus

How will the species named in Question 11 above benefit from the work outlined above? What do you expect the long-term impact on the species concerned to be? (Max 200 words)

These species are under intense IWT pressure, represent high-value products, and were already involved in criminal IWT suits. As such, they are important to evaluating existing sanctions and future civil liability cases that will generate benefits via four pathways:

1. Create stronger deterrence signals to curb future IWT in these species. Particularly for high-value species, where trade often involves criminal groups, larger sanctions can disrupt operations, compared to small criminal and administrative sanctions that have limited impacts on resilient criminal networks.
2. Recover funds to re-invest into conservation (e.g., restoration, reintroduction, improved monitoring and enforcement). Such reinvestments can further reduce poaching, and have positive impacts for other sympatric species.
3. Create new incentives for pursuing IWT legal cases, by enabling compensation to individuals, civil society groups and agencies, who then have the resources and motivations to more actively pursue their roles.
4. Increase public appreciation of the importance of these species, by publicizing the scale of impacts that IWT in these species causes to society.

Importantly, the five target species are emblematic, and increased sanctions (civil, administrative, criminal) engaged by this project can be applied to a broader range of species and country contexts.

17. Exit strategy

State how the project will reach a stable and sustainable end point, and explain how the outcomes will be sustained, either through a continuation of activities, funding and support from other sources or because the activities will be mainstreamed in to "business as usual". Where individuals receive advanced training, for example, what will happen should that individual leave? (Max 200 words)

Our Indonesia strategy involves mainstreaming resources (guidelines, recommendations,

case study) into existing, long-term training initiatives. For example, The Supreme Court's Judicial Certification Programme on the Environment, which is currently being expanded, and has an existing, small unit on civil liability. The WCS Wildlife Crimes Unit has provided judicial and enforcement support and training since 2003. We are also strengthening relationships directly with the Ministry of Environment and Forests, including hosting 2 of their researchers as collaborators on this project.

Throughout the course of the project we will also engage other groups (e.g., police, civil society) via engagement in our workshops, and seeking integration opportunities, conscious of the promulgation of conservation enforcement training (e.g., FreeLand Foundation, UNDP, INTERPOL, ASEAN Judge's Network on the Environment).

The project also seeks to introduce its lessons into international fora, to initiate a long-term discussion about judicial responses to IWT. This will occur via existing professional networks (via Legal Atlas, ELI) in the 7 target countries, and via international fora (UN Environment Assembly, International Network on Environmental Compliance, INTERPOL, conservation conferences). This is important to promoting civil liability internationally, and establishing emergent "best practice" standards for sanctions and judicial responses to IWT.

Funding and budget

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

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

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

18. Funding

18a) Is this a new initiative or a development of existing work (funded through any source)? Please give details. (Max 200 words):

A project like the one proposed has never been funded, although it builds on scoping work by:

- Environmental Liability in the Tropics (Lead: Center for International Forestry Research, Donor: DFID KnowFor, 2014). Desk-based scoping study on the status for civil liability form harm provisions in 6 tropical developing countries. It was the impetus for pursuing this project.
- Reducing Deforestation and Building Sustainable Development Through Judicial Training in Indonesia (Lead: Environmental Law Institute, Donor: Swedish Postal Foundation, 2017-2018). This 1-year project identified experience with, and barriers to the application of civil liability statutes for peatland fires in Indonesia. It has provided a first-step into understanding the practicalities of civil liability suits in Indonesia, as a basis for their expanded application to IWT.
- Legal frameworks and Great Apes Trade (Lead: Legal Atlas, Donor: Arcus Foundation, 2018). This project is reviewing legislation on IWT of great apes and provides some of the baseline data required for this study.
- Standards for Valuing Wildlife Penalties (Lead: Legal Atlas, Donor: Asian Development Bank, Ended 2016) Began compilation of national legislation on IWT, and piloted the legal analysis approach that will be used in this project.

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

No

If yes, please give details explaining similarities and differences, and explaining how your work will be additional to this work and what attempts have been/will be made to co-operate with and learn lessons from such work for mutual benefits:

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

No

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

19. Co-financing

19a) Secured

Provide details of all funding successfully levered (and identified in the Budget) towards the costs of the project, including any income from other public bodies, private sponsorship, donations, trusts, fees or trading activity, as well as any your own organisation(s) will be committing. (See "[Finance for Darwin & IWT Challenge Fund](#)" and Guidance Note 3.3 and 8.1)

Confirmed:

Each of these contributions is confirmed and detailed in the attached letters of support:

- **Lancaster University:** £ in kind contributions:
Project Leader time: £
Estates:
Indirect:
- **Environmental Law Institute:** £ in kind contributions:
Foregone overhead contribution for Carol Jones – £
Foregone overhead contribution for John Pendergrass – £
Labour of intern and/or legal clerk – £
- **Legal Atlas:** £ in kind contributions:
Overhead contribution – £
Staff time Standards for Valuing Wildlife Penalties - £
Staff time, Research Methods - £
Content Development (ARCUS Foundation Sponsored) - £

19b) Unsecured

Provide details of any co-financing where an application has been submitted, or that you intend applying for during the course of the project. This could include co-financing from the private sector, charitable organisations or other public sector schemes.

Date applied for	Donor organisation	Amount	Comments
20/02/2019	Lancaster University Faculty of Science and Technology	£	This studentship, which is currently undergoing internal competition within the university, would support a Ph.D. student who will directly contribute research and public engagement to this specific project—much of which can be achieved during the timeline of the project. The value here represents value for

			2 years of a Ph.D. studentship for a UK/EU student.
NA	Indonesia Ministry of Environment and Forestry	Unspecified	The Ministry plans to embed 2 of their researchers on this project, as part of our collaboration and to build capacity among their staff. They will cover staff costs and expenses associated with this, although the exact amount of time and value has yet to be determined. This is listed on the budget spreadsheet, but without a value
Open	Auriga relationship with the Environmental Defender Law Centre, USA.	US\$ (approx. £)	Accessing this funding is contingent on sending in the request details, so it is effectively confirmed.

19c) None

If you are not proposing co-financing, please explain why. (Max 150 words)

NA

20. Financial Risk Management

Explain how you have considered the risks and threats that may be relevant to the success of this project, including the risks of fraud or bribery. (Max 200 words)

All of our partners are established organisations with strong reputations in the field, experience working on internationally-funded programmes, and with whom we have previously worked. All of formally audited organisations, according to the laws of their own jurisdictions. The risks associated with corruption and financial mismanagement, while generally high in Indonesia, are not anticipated to present a challenge for this project given the track-record of the partners. Our main government partners, Ministry of Environment and Forestry and the Supreme Court, have considerable experience with overseas-funded projects, including the IWT Challenge Grant.

21. Capital items

If you plan to purchase capital items with IWT funding, please indicate what you anticipate will happen to the items following project end. If you are requesting more than 10% capital costs, please provide your justification here.

NA

22. Value for money

Please describe why you consider your application to be good value for money including justification of why the measures you will adopt will secure value for money. (Max 250 words)

The proposal represents a pioneering initiative. While numerous, important efforts support traditional IWT enforcement efforts, this project is globally unique in its application of civil liability to IWT cases, and for its leadership initiating a global “best practice” standard for IWT civil, criminal and administrative sanctions.

These new approaches to addressing IWT have the potential to shift how people think about IWT damages and judicial responses. This has profound implications for both conservation and livelihoods, as it increases sanctions, while opening new opportunities for people to seek compensation for IWT-related harms. Moreover, its implications and the project dissemination are focused on Indonesia, but are globally relevant. Thus, and somewhat uniquely, this proposal not only has direct implementation dimensions, but also contributes necessary “thought leadership” that will shape how we approach and respond to IWT globally.

The project is complementary, but additional to historical initiatives. For example, it builds on Indonesian efforts to prosecute IWT cases, adds civil liability dimensions to IWT sanctions. It also builds on efforts to strengthen IWT sanctions in a number of countries, with the addition of a clear comparative dimension.

Most cost are for specialized staff, due to need for specialised legal and economic expertise and the multiple scales of engagement (local, national, global comparative). Resources, however, are concentrated to our Indonesian partner, hiring domestic expertise and

engaging key government agents (via workshops, joint research with the Ministry, guidelines, editorials) to promote long-term uptake.

23. Ethics and human rights

(See Guidance Notes 5.4 and 6.1)

Outline your approach to meeting the IWT's key principles for ethics as outlined in the guidance notes. Additionally, if there are any human rights and/or international humanitarian law risks in relation to your project? If there are, have you carried out an assessment of the impact of those risks, and of measures that may be taken in order to mitigate them? (Max 250 words)

All research components of the project (e.g., interviews, expert workshops, field-based work with communities to evaluate the local impacts of IWT) will be evaluated by the Faculty of Science and Technology Ethics Review Board at Lancaster University. This will include Free Prior and Informed Consent, anonymity and confidentiality considerations. Based on our evaluation to date, there are no specific ethics or safety concerns.

The project will be done with close collaboration of Indonesian colleagues, including joint research with the Ministry of Environment and Forests and Auriga, and joint publication. It also actively recognizes, and seeks to give voice to other ways of viewing and valuing wildlife resources, including traditional knowledge and the views of women, integrating these with more mainstream economic and legal approaches that have often overlooked marginalised community views.

Risk assessments will be conducted for all field-work, to identify actions to mitigate safety concerns facing staff and partners working in the field. This will follow Lancaster University standard practices for international fieldwork.

24. Outputs of the project and Open Access

(See Guidance Note 5.5)

Please describe the project's open access plan and detail any specific costs you are seeking from the IWT Challenge Fund to fund this. (Max 250 words)

All outputs from the project will be made publically available, although most without additional costs. This includes journal publications, which will be published in open access journals and/or made available via free pre-prints online (instead of incurring journal fees). In addition, datasets will be stored and made publically available in accordance with Lancaster University's data management requirements.

Our legal data and global comparisons will be freely accessible via the Legal Atlas [online platform](#), which will also feature resources related to the "best practice" standards. Costs are included related to that online platform.

Project resources (i.e. guidelines and training materials) will be made available online, including the partner websites (ELI, Auriga), made available for posting on the sites of related governance agencies, and will be shared by the [Wildlife Consumer Behaviour Change Toolkit](#).

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Project monitoring and evaluation

25. Logical framework

IWT Challenge Fund projects will be required to monitor (and report against) their progress towards their expected outputs and outcomes. This section sets out the expected Outputs and Outcome of your project, how you expect to measure progress against these and how we can verify this.

Annex B and Annex C in the Guidance provides helpful advice on completing a logical framework

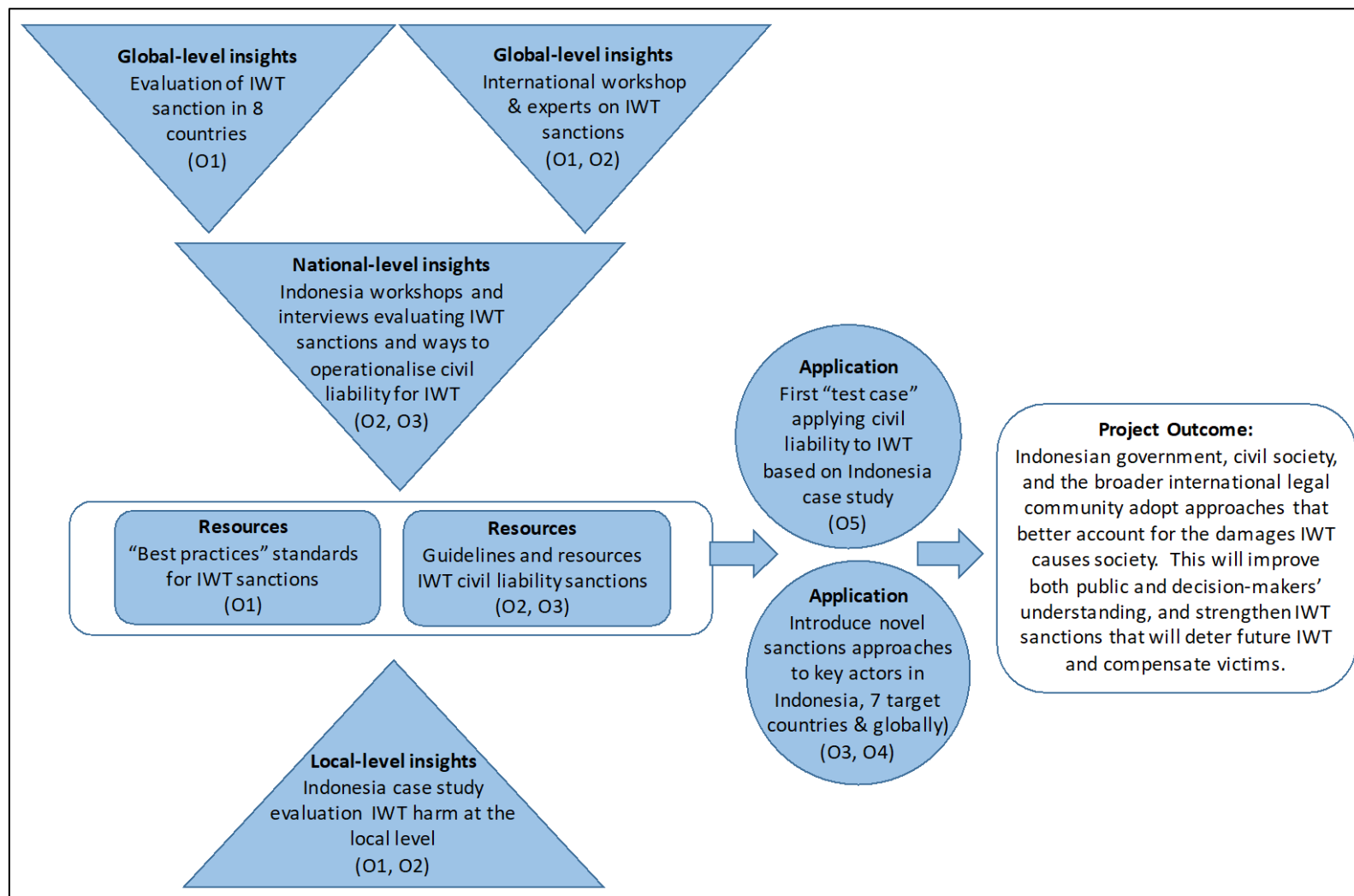


Figure 1. Diagram of how the project components integrate across global, national and local-level scales, to deliver both new resources and novel applications, linked to 5 outputs and the project-level outcome.

Project summary	Measurable Indicators	Means of Verification	Important assumptions
<p>Impact: Reduction in the commercial illegal wildlife trade in Indonesia, to improve judicial accountability and protect natural capital stocks that support biodiversity, rural livelihoods and wellbeing.</p>			
<p>Outcome 0.1. Indonesian government, civil society, and the broader international legal community adopt approaches that better account for the damages IWT causes society. This will improve both public and decision-makers' understanding, and strengthen IWT sanctions that will deter future IWT and compensate victims.</p>	<p>0.1.1 First IWT civil liability case prepared by project completion (Y3, baseline=zero)</p> <p>0.1.2 Guidelines on establishing legal IWT damage claims are adopted by government by the project completion (Y3)</p>	<p>0.1.1 Reports from the key government agencies (Task Force on IUU Fishing, Ministry of Environment and Forests).</p> <p>0.1.2 Copies of subsidiary legislation (e.g., related to Law #5, Treasury Dept. guidelines) make reference to quantification. 0.1.2 Reports from the key government agencies that guidelines are being discussed</p>	<ul style="list-style-type: none"> • Gaps within existing Indonesian regulations may limit civil liability (e.g., restrict the application of some types of liability, failure to collect awarded monies, failure to allocate money to conservation reinvestment). <ul style="list-style-type: none"> ○ Mitigation: Project specifically works to identify these types of barriers and makes them the focus of expert workshops, guidelines and training. • The Indonesian judicial system is limited by many factors (e.g., corruption). <ul style="list-style-type: none"> ○ Mitigation: Even a small number of civil liability cases can make important impacts for governance and social signalling. • Indonesian legal reform is often slow and unpredictable <ul style="list-style-type: none"> ○ Mitigation: Auriga have long-term (beyond project duration) engagement in monitoring and informing environmental legislation, including Law #5. • Agencies have the capacity and resources to conduct this additional work <ul style="list-style-type: none"> ○ Mitigation: Training and guideline resources seek to make this as accessible as possible. Currently,

	<p>0.1.3 Three civil society groups apply new approaches to communicating IWT damages in their public communication strategies by project completion (Y2, Y3)</p>	<p>and used (e.g., Task Force on IUU Fishing, Ministry of Environment and Forests).</p> <p>0.1.3 Copies of online communication products from civil society groups in Indonesia and internationally</p> <p>0.1.3 Meetings with and reports from civil society groups</p>	<p>valuation/quantification are mentioned in several pieces of legislation but without any support or guidance.</p> <ul style="list-style-type: none"> • Groups have the capacity and resources to conduct this additional work <ul style="list-style-type: none"> ○ Mitigation: We have existing expressions of interest from several civil society groups.
<p>Output 1. There is a “best practice” standard available for IWT sanctions (civil, administrative and criminal)</p>	<p>1.1 New resource with the country comparison and “best practice” standard recommendations (Y1)</p> <p>1.2 Journal publication on IWT sanctions across jurisdictions (Y2)</p> <p>1.3 Presentation at >3 international conferences (Y2, Y3)</p> <p>1.4 Dissemination in >3 non-academic publications (e.g., newsletters, popular articles) (Y3)</p>	<p>1.1 Resource openly available on Legal Atlas website</p> <p>1.2 Publication copy</p> <p>1.3 Registration, copy of presentation</p> <p>1.4 Publication copies</p>	<ul style="list-style-type: none"> • Legislation needed to conduct the review is available <ul style="list-style-type: none"> ○ Mitigation: Legal Atlas has established networks and experience needed to collect this type of data. Local expertise in legal systems will be provided.
<p>Output 2. The legal and technical clarity and resources are available to facilitate development of IWT civil liability damage claims.</p>	<p>2.1 >50 Indonesian participants engaged in the expert workshops, focus groups and interviews from across sectors, prioritising gender equity (Y1/Y2)</p>	<p>2.1 Participant lists</p> <p>2.1 Gender disaggregated data on participation</p> <p>2.1 Internal documentation on successful engagements and challenges, focused on gender equity</p>	<ul style="list-style-type: none"> • There is scope and receptiveness to innovations in the ways people think about and deal with IWT cases <ul style="list-style-type: none"> ○ Mitigation: Current developments suggest a receptive audience within government, notably related to the current revision of Law #5 on Biodiversity, which includes reference to quantification of environmental harm.

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	<p>2.2 Guidelines for quantification IWT damage claims developed (end Y2)</p> <p>2.3 Training resource on IWT sanctions, summarising application of the civil liability guidelines and sanctions standards, in English and Indonesian</p>	<p>2.2 Guidelines published</p> <p>2.3 Resources published in English and Indonesian</p>	<ul style="list-style-type: none"> ○ Mitigation: Project also engages with existing administrative and criminal sanctions, so that focus is not exclusively on novel pathways linked to civil liability. ● There may be resistance to the valuation of some types of ecosystem goods and services, which can be complex and can be contested (e.g., contingent valuation), particularly in the context of courtroom application <ul style="list-style-type: none"> ○ Mitigation: Specific barriers will be evaluated via the interviews with judges, and is why training and broad engagement with relevant bodies and the public is needed. ○ Mitigation: Project also looks at the value of quantifying harm from IWT <i>beyond</i> its courtroom applications, so it will yield benefits in terms of communication to the public and government agencies even outside the courtroom.
<p>Output 3. There is a body of Indonesian prosecutors, experts and judges able to operationalise civil liability cases for IWT.</p>	<p>3.1 Training materials developed (Y2)</p> <p>3.2 >30 Indonesian prosecutors and judges engaged via expert workshops and interviews (Y1, Y2)</p> <p>3.3 2 research collaborators from Ministry of Environment and Forests are actively involved throughout project design and implementation (Y1, Y2, Y3)</p> <p>3.4 Project resources integrated into 3 existing environmental training programmes for government officials (e.g., Supreme Court Environmental Certification)</p>	<p>3.1 Project outputs</p> <p>3.2 Participant lists</p> <p>3.2 Gender disaggregated data</p> <p>3.2 Internal documentation on successful engagements and challenges, focused on gender equity</p> <p>3.3. Hours logged participating in the project</p> <p>3.3 Key informant interviews post-engagement</p> <p>3.4 Input from boundary partners on their training materials</p>	<ul style="list-style-type: none"> ● Relies on the continued buy-in from the legal community and specific government agencies and successful engagement with partners. <ul style="list-style-type: none"> ○ Mitigation: Partners, Auriga and WCS Indonesia have existing, long-term relationships with key agencies. ○ Mitigation: We have existing communication with several government agencies and have received confirmation of their interest in these new resources. ● Relies on individuals to take-up these new resources and ideas <ul style="list-style-type: none"> ○ Mitigation: Project focuses not only on institutional mandates but on individuals' specific understanding and engagement with these concepts. This deeper and longer-term engagement is important to recruiting buy-in. ○ Mitigation: Project includes participation of researchers from Ministry of Environment and Forests ○ Mitigation: Project works with existing partnerships with government agents via WCS, Auriga and Lancaster

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	<p>Programme, WCS, IUU Task Force, UNDP SUSTAIN initiative, UNODC, Corruption Eradication Commission) (Y3)</p> <p>3.5 Reports from individual judges, experts and prosecutors themselves (Y3)</p>	<p>3.5 Key informant interviews post-engagement</p>	
<p>Output 4. Indonesian and international legal and environmental communities are aware of emerging standards for IWT sanctions and the potential to quantify environmental harm from IWT, including for use in civil liability suits.</p>	<p>4.1 >6 newspaper reports/editorials that discuss economic costs of IWT and related liabilities internationally (Y2, Y3)</p> <p>4.2 >20 Indonesian non-governmental participants involved in the expert workshops (Y2)</p> <p>4.3 >10 Indonesian civil society groups engaged via courtesy calls to present result and encourage uptake (Y3)</p> <p>4.4 Results presented at >3 international conferences (Y2, Y3)</p> <p>4.5 Two journal publications on project findings (Y3)</p> <p>4.6 Civil liability for IWT “under discussion” within >2 independent platforms that demonstrate outside uptake (Y3)</p>	<p>4.1 Media searches and article copies</p> <p>4.2 Participant lists</p> <p>4.3 Meeting reports</p> <p>4.4 Conference documentation</p> <p>4.5 Copies of publications freely available online</p> <p>4.6 Online search results</p> <p>4.6 Reports from international colleagues of external engagement</p> <p>4.7 Email trails</p>	<ul style="list-style-type: none"> The broader community continues to recognize the importance of IWT and related prosecutions.

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	4.7 >14 Legal and environmental groups in 7 target countries (beyond Indonesia) are actively engaged with project outputs.	4.7 Impact log documenting "relationship status"	
Output 5. A pioneering civil liability for IWT harm "test case" is developed using the project resources.	<p>5.1 Engagement with local civil society partner (Auriga) about how to develop this case (Y1, Y2, Y3)</p> <p>5.2 Report proposing approach to developing a damage claim harm tailored to the selected case study (Y2)</p>	<p>5.1 MOU between Auriga and partner group.</p> <p>5.1 Meeting records</p> <p>5.2 Internal report</p>	<ul style="list-style-type: none"> • Support if externally available to enable the proposed test case. <ul style="list-style-type: none"> ○ Mitigation: Direct legal support will not be provided by this project, which will be exclusively pursued Auriga with external funding of their own. • There is a viable legal case and plaintiff that can be identified <ul style="list-style-type: none"> ○ Mitigation: Auriga has considerable experience with investigative research and the legal expertise to pioneer this type of case. ○ Mitigation: Our networks include Indonesian Center for Environmental Law, which have experience pursuing environmental cases in Indonesia, including civil liability suits (related to peatland fires), and can provide legal advice.

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

Complete the following table as appropriate to describe the intended workplan for your project (starting from Q2 July 2018). Please add/remove columns to reflect the length of your project. For each activity (add/remove rows as appropriate) indicate the number of months it will last, and fill/shade only the quarters in which an activity will be carried out. The workplan can span multiple pages if necessary

Activity	No. of months	Year 1		Year 2				Year 3	
		Q3 Oct- Dec. 2018	Q4 Jan- Mar. 2019	Q1 Apr- Jun. 2019	Q2 July- Sept. 2019	Q3 Oct.- Dec. 2019	Q4 Jan- Mar. 2020	Q1 Apr- Jun 2020	Q2 July- Sept. 2020
Output 1 There is a “best practice” standard available for IWT sanctions (civil, administrative and criminal)									
1.1 Extract civil, criminal and administrative IWT legislation for the 8 countries	4								
1.2 Establish the “best practices” standard for IWT sanctions	2								
Output 2 The legal and technical clarity and resources are available to facilitate development of IWT civil liability damage claims.									
2.1 Convene workshop in Lancaster with partners and key informants to conceptualise overall approach for calculating IWT damage claims and applying them in civil liability suits.	1								
2.2 Convene series of stakeholder and expert workshops and interviews with economists, legal experts and civil society in Indonesia to establish consensus on existing IWT sanctions, and on the key technical and legal challenges to operationalising civil liability suits for IWT.	8								
2.3 Analyse existing IWT cases in Indonesia to evaluate how damage (economic and non-economic impacts) can be conceptualized and how these compare to existing sanction regimes.	6								
2.4 Develop guidelines for quantification of IWT harm for civil liability cases, cases to help guide legal practitioners,	9								
2.5 Develop technical resources, i.e. slides for training material in English and Indonesian and <i>opini juris</i> (form of academic guidance to legal practitioners) that help to communicate the guidelines to practitioners.	4								

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2.6	Data collected at case study field site, identifying different types of harm experienced at the local level that need to be included within an IWT damage claim. (more below, activity 5.2)	3								
Output 3 There is a body of Indonesian prosecutors, experts and judges able to operationalise civil liability cases for IWT.										
3.1	Engage partner and boundary organisations in Indonesia to integrate guidelines into existing training schemes	24								
3.2	Collaborate with researchers from Ministry of Environment and Forests, ensuring they are meaningfully engaged in project design and implementation.	24								
3.2	Distribute findings and "proof-of-concept" via short articles in Indonesian government agency newsletters, editorials	9								
Output 4 Indonesian and international legal and environmental communities are aware of emerging standards for IWT sanctions and the potential to quantify environmental harm from IWT, including for use in civil liability suits.										
4.1	Distribute findings and "proof-of-concept" via short articles in Indonesian government agency newsletters.	6								
4.2	Engage Indonesian public via contribution of editorials and newspaper articles.	6								
4.3	Engage targeted Indonesian civil society groups via courtesy calls.	9								
4.4	Prepare journal publication on international sanctions regimes for IWT and proposing a "best practices standard"	12								
4.5	Prepare journal article on economic valuation of IWT harm and its use in civil liability suits for IWT cases.	15								
4.6	Engage environmental law community in remaining 7 countries in the comparative study, via direct engagement via ELI, Auriga and LA professional networks	15								
4.7	Engage international environmental law community via environmental law and conservation conferences	9								
Output 5 A pioneering civil liability for IWT harm "test case" is developed using the project resources.										
5.1	In collaboration with Wildlife Conservation Society, confirm an appropriate site for the test	1								
5.2		2								

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5.3	Data collected at case study field site, identifying different types of harm experienced at the local level that need to included within an IWT damage claim (Same as activity 2.5)	3								
5.4	Conduct economic and environmental assessments of IWT damages at field site	6								
5.5	Prepare summary damage claim for the case	6								
56	Provide continued technical expertise to Auriga on the damage claim	6								

27. Monitoring and evaluation plan (M&E)

Describe, referring to the indicators above, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the projects M&E.

IWT Challenge Fund projects will need to be adaptive and you should detail how the monitoring and evaluation will feed into the delivery of the project including its management. M&E is expected to be built into the project and not an 'add' on. It is as important to measure for negative impacts as it is for positive impact. Additionally, please indicate an approximate budget and level of effort (person days) to be spent on M&E (see ["Finance for Darwin and IWT Challenge Fund"](#)) (Max 500 words)

M&E will be managed day-to-day by Auriga and, particularly the Research Assistant, with LEC providing oversight throughout.

M&E will be based around three, shared "live" online documents:

- **Indicator tracking:** One document with track the project indicators (above), identifying the partner leading that activity, and related timelines. These will be updated monthly and allow partners to enter their "status" and updates online. This will allow us to track outputs, but also anticipate and manage any delays or shortcomings, with indicators tracked using a colour coding system (completed, on-track, anticipated delay or problem). Related issues themselves will be addressed through monthly team meetings.
- **Group communication about progress & challenges:** Monitoring of these indicators will be streamlined into our approach to communication. Notably, international communication will be facilitated by using the online platform, [Slack.com](#), which allows for "themed" discussion among participants. Discussion "themes" will be organised to match each Out and allow for related discussion among all of the partners regarding their status, related challenge, suggestions, etc. This will include, for example, discussions on whether our approach to gender needs to be amended in relation to our related indicators (e.g., 2.1, 3.2).
- **Impact log:** The project will use an impact log that tracks its engagement with stakeholders, including the type of engagement, status of the relationship, whether the actors is receptive, whether the actor is a likely "influencer", and whether there is evidence of related impact. This detailed approach is important because many of the outputs and related indicators (e.g., 3.4, 4.2, 4.6), are heavily based on the quality and management of relationships with Indonesian government agencies, individuals (e.g., judges), Indonesian civil society groups, and conservation and legal and civil society groups internationally, including across the 7 countries in the comparative legal review. This approach will allow tracking of engagements and identification of priority relationships.

In addition, a final evaluation will be led by Lancaster, with inputs from other partners to prepare a final evaluation. This will include support from Research Associated, who will lead follow-up M&E activities, including contacting partners and end-of-project key informant interviews. Given the limitations to quantifying some of the key outputs, we will rely on a largely qualitative, reflexive final evaluation whose primary objective will be to describe contributions towards the longer-term impact of the project, challenges faced and how they were mitigated, and necessary next-steps.

Related cost are thus included within the time for the Indonesian Research Assistant (approx. 1day/week [94 days] for monitoring, managing impact logs and tracking deliverables, 14 days for final evaluation), Rony Saputra and Jacob Phelps (approx. 1day/month, 5 days for final evaluation) and Jacob Phelps. In addition, M&E related discussion via Slack.com will be mainstreamed into the project itself.	
Total project budget for M&E (this may include Staff and Travel and Subsistence Costs)	£, although M&E is fully integrated across the project.
Number of days planned for M&E	166
Percentage of total project budget set aside for M&E	

FCO notifications

Please put an X in the box if you think that there are sensitivities that the Foreign and Commonwealth Office will need to be aware of should they want to publicise the project's success in the IWT Fund in the host country.

Please indicate whether you have contacted your Foreign Ministry or the local embassy or High Commission (or equivalent) directly to discuss security issues (see Guidance Notes) and attach details of any advice you have received from them.

Yes (no written advice)

Yes, advice attached

No

Certification

On behalf of the company of
Lancaster University

I apply for a grant of £297,237 in respect of **all expenditure** to be incurred during the lifetime of this project based on the activities and dates specified in the above application.

I certify that, to the best of our knowledge and belief, the statements made by us in this application are true and the information provided is correct. I am aware that this application form will form the basis of the project schedule should this application be successful.

(This form should be signed by an individual authorised by the applicant institution to submit applications and sign contracts on their behalf.)

- I enclose CVs for project principals and letters of support.
- Our last two sets of signed audited/independently verified accounts and annual report are also enclosed.

Name (block capitals)	YVONNE FOX
Position in the organisation	Head of Research Services

Signed

Date:

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Date logged:

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Application ID:

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

Checklist for submission

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

Once you have answered the questions above, please submit the application, not later than 2359 GMT on Tuesday 20 February 2018 to IWT-Fund@LTSI.co.uk using the first few words of the project title **as the subject of your email**. If you are e-mailing supporting documentation separately please include in the subject line an indication of the number of e-mails you are sending (e.g. whether the e-mail is 1 of 2, 2 of 3 etc.). You are not required to send a hard copy.

Data Protection Act 1998 - Fair Processing Notice

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

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

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

A completed application form signifies agreement to place certain details of successful applications (i.e. name, title, total grant value, project summary, lead organisation and location of project work) on the Illegal Wildlife Trade (IWT) Challenge Fund website listed below. A completed application

form also signifies agreement to send data on the project proposals during the application process to British Embassies and High Commissions outside the UK, including those outside the European Economic Area.

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

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

Defra may be required to release information, including personal data and commercial information, on request under the Environmental Information Regulations 2004 or the Freedom of Information Act 2000. However, Defra will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the Data Protection Act 1998. The Grantee shall assist and co-operate with the Department (at the Grantee's expense) to enable the Department to comply with its disclosure obligations under these enactments.

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

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



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Any enquiries regarding this publication should be sent to us at

IllegalWildlifeTrade@defra.gsi.gov.uk

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