

IWTR7S2\1015

Disrupting the financing of Andean IWT networks through asset recovery

This project aims to disrupt IWT networks in Bolivia and Peru by embedding financial investigation and asset recovery into IWT enforcement practice, building on the successful application of asset recovery techniques to combat organised crime and corruption in Latin America.

Activities:

1. Mentor environmental crime prosecutors to use a follow-the-money approach.
2. Galvanise peer-based training for specialised prosecutors and investigators.
3. Facilitate cross-border and public-private information flows to disrupt trans-national environmental criminals.

Section 1 - Contact Details

PRIMARY APPLICANT DETAILS

Name Gretta
Surname Fenner
Organisation Basel Institute on Governance
Website (Work) www.baselgovernance.org
Tel (Work) [REDACTED]
Email (Work) [REDACTED]
Address [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

GMS ORGANISATION

Type	Organisation
Name	Basel Institute on Governance
Phone	[REDACTED]
Email	[REDACTED]
Address	[REDACTED] [REDACTED] [REDACTED] [REDACTED]

Section 2 - Title, Dates & Budget Summary

Q3. Project title:

Disrupting the financing of Andean IWT networks through asset recovery

What was your Stage 1 reference number? e.g. IWTR7S1\100123

IWTR7S1\1194

Q4. Country(ies)

Which eligible country(ies) will your project be working in? Where there are more than 4 countries that your project will be working in, please add more boxes using the selection option below.

Country 1	Bolivia	Country 2	Peru
Country 3	No Response	Country 4	No Response

Do you require more fields?

No

Q5. Project dates

Start date:

01 April 2021

End date:

31 December 2022

Duration (e.g. 2 years, 3 months):

1 year, 9 months

Q6. Budget summary

Year:	2021/22	2022/23	2023/24	Total request
Amount:	£232,434.00	£191,427.00	£0.00	£ 423,861.00

Q6a. Do you have proposed matched funding arrangements?

Yes

What matched funding arrangements are proposed?

The Bolivian Fiscalía General del Estado (Public Prosecutor’s Office) and the Peruvian Ministerio Público (Public Prosecutor’s Office) in charge of environmental crimes will provide in-kind support to the programme as needed (premises, staff, training facilities, etc.).

The Green Corruption Team Leader is co-financed through a grant from PMI Impact and the Institute’s own core funding.

The Senior Asset Recovery Specialist is funded through the Basel Institute’s core funding.

Research on blockages in Peru’s IWT investigations, including integrity issues, and political influence on investigative processes is being funded by USAID.

Q6b. Proposed (confirmed and unconfirmed) matched funding as % of total Project cost (total cost is the IWT Challenge Fund request plus other funding required to run the project).

Section 3 - Project Summary & Objectives

Q7. 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](https://www.gov.uk).

Please write this summary for a non-technical audience.

This project aims to disrupt IWT networks in Bolivia and Peru by embedding financial investigation and asset recovery into IWT enforcement practice, building on the successful application of asset recovery techniques to combat organised crime and corruption in Latin America.

Activities:

1. Mentor environmental crime prosecutors to use a follow-the-money approach.
2. Galvanise peer-based training for specialised prosecutors and investigators.
3. Facilitate cross-border and public-private information flows to disrupt trans-national environmental criminals.

Q8. What will be the Outcome of the project?

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 in the logframe uploaded at Question 34.

Enhanced use of financial investigation and asset recovery techniques in IWT investigations and prosecutions helps disrupt environmental crime networks in Peru and Bolivia, thus protecting natural resources from criminal exploitation.

Q9. Which of the four key IWT Challenge Fund objectives will your project address?

Please tick all that apply.

- Strengthening law enforcement

Q10. Which of the commitments made in the London Conference Declarations, the Kasane Statement and/or the Hanoi Conference does this project support?

Please provide the number(s) of the relevant commitments and some brief information on how your project will contribute to them. There is no need to include the text from the relevant commitment.

2014 London declaration:

- Action A - Item I: The project targets supply by disrupting criminal networks undertaking IWT.
- Action B - All items: The project outcome is to enhance financial investigation and asset recovery tools, strengthening environmental crime investigations and prosecutions to disrupt IWT networks and protect natural resources from criminal exploitation in target countries. The project applies tools (financial investigation, asset recovery) successfully tested to counter other forms of organised crime. This leads to more effective criminal investigations and prosecutions and IWT network disruption.

- Action C - Items XIII, XV and XVI: Our project will generate capacity through peer-based training and mentoring in applying asset recovery and financial investigation tools to IWT. Regional co-operation through information sharing and collaboration will be strengthened.

2018 London Declaration:

- Item 10: Our project directly supports the enhanced use of financial investigation techniques applied to wildlife trafficking.
- Item 18: The project promotes cross-border actions and investigations between Peru and Bolivia.

Q11. Global Goals for Sustainable Development (SDGs)

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

SDG 1: No Poverty – Target 1.4: The project improves communities' effective control over and access to natural resources by denying criminal organisations the opportunity to exploit natural resources and profit from their trafficking.

SDG 11: Sustainable cities and communities - Target 11.4: The project contributes to protecting and safeguarding natural heritage, in particular in impoverished rural communities in biodiverse areas which often lack the capacity to effectively protect natural resources. Our project directly impacts the target indicator as it contributes and can be counted as expenditure to safeguard natural heritage.

SDG 14: Life below water -Target 14.4: Amphibian species and fish are among the species targeted by illegal wildlife trade in the project focus countries. As such, the project's intended outcome directly contributes to SDG 14.

SDG 15: Life on Land – Target 15.7: Both Bolivia and Peru are home to many endangered species, the extinction of which would negatively affect SDG 15. The project improves protections for these endangered species, leading to a reduction in the proportion of wildlife, endangered and otherwise, that is poached and trafficked.

Section 4 - Lead Organisation Summary

Q12. Lead organisation summary

Has your organisation been awarded an IWT Challenge Fund or Darwin Initiative award before (for the purposes of this question, being a partner does not count)?

No

If no, please provide the below information on the lead organisation.

What year was your organisation established/ incorporated/ registered? 01 January 2003

What is the legal status of your organisation?

Other (if selected, please explain below)

Other explained

Legally registered as a foundation under Swiss law, with the full characteristics of a non-governmental organisation.

How is your organisation currently funded?

The Institute receives core funding from five countries (Jersey, Liechtenstein, Norway, Switzerland and the United Kingdom (FCDO)) for the implementation of the programme of work on asset recovery.

Several dedicated country programmes receive additional earmarked support from our core donors' country offices, e.g. in Peru, Kosovo, Malawi, Mozambique, Kenya, Tanzania and Ukraine.

Other direct income comes from a variety of corporate foundations and initiatives, development agencies and research grant facilities, as well as through the provision of advisory services to private-sector entities.

Describe briefly the aims, activities and achievements of your organisation. Large organisations please note that this should describe your unit or department.

Aims

Our core mission is to help public and private partners around the world to prevent and combat corruption and related financial crimes, including those associated with organised crimes such as IWT. Programmes focus on strengthening governance structures, enabling a solid law enforcement response and promoting public-private partnerships.

Activities

Hands-on mentoring and capacity building in investigating financial crimes; facilitation of international judicial cooperation and intelligence sharing; analysis of and development of systems to counter financial crime-, behavioural and community-level root causes of crime; facilitation of private-public partnerships to raise standards and reduce bribery and related financial crimes.

Achievements

We helped return tens of millions of dollars in stolen assets to victim countries. We broke new grounds in implementing tailor-made interventions built on the analysis of informality and behavioural norms as drivers of corruption. We drive pioneering private-sector initiatives that level the playing field in major sectors and economies.

Provide details 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.

Contract/Project 1 Title	Strengthening Public Finance Management at the Sub-national Level in Peru (2015-19, 2019-2023)
Contract Value/Project budget (include currency)	[REDACTED]
Duration (e.g. 2 years 3 months)	2 x 4 years
Role of organisation in project	Assist and strengthen the capacity of 11 sub-national governments in Peru to increase revenue collection, manage public finances more transparently and efficiently, and investigate corruption at the sub-national level with the aim of recovering stolen assets, thereby ensuring better allocation and implementation of public resources to basic services.
Brief summary of the aims, objectives and outcomes of the project	Better resource management means that public bodies can provide better goods and services in a timely and transparent manner and public revenue is not stolen or lost. This second phase of the Programme builds on the successes of the first phase by seeking to strengthen: a) processes for managing capital expenditure and prioritised basic services; b) property tax collection processes; c) internal controls and levels of integrity in sub-national governments; the system for recovering misappropriated public assets through conviction and non-conviction based methods. As a result, the system for recovering misappropriated public assets is strengthened.
Client/independent reference contact details (Name, e-mail)	Alain Buehlmann, Head SECO Peru, [REDACTED]
Contract/Project 2 Title	These relationships in turn allow case access and the building of confidence in investigators, crucial pre-requisites for sustainability.

Contract Value/Project budget (include currency)	████████ USD
Duration (e.g. 2 years, 3 months)	2 years
Role of organisation in project	The Basel Institute is leading the implementation of the programme.
Brief summary of the aims, objectives and outcomes of the project	<p>The programme addresses IWT through a three-pronged integrated approach: financial investigation; analysis of corruption and other behavioural/contextual drivers of IWT; and strengthening private-sector preventive efforts to detect and reduce misuse of financial and transport infrastructure by traffickers.</p> <p>This ongoing programme has so far resulted in the integration of financial analysis in over a dozen live cases; the facilitation of targeted information sharing between finance and transport companies and enforcement agencies; the creation of a regional public-private taskforce for East Africa; guidance for anti-corruption interventions in IWT-affected communities; and three customised online training modules for finance and transport sector compliance officers.</p>
Client/independent reference contact details (Name, e-mail)	Tatiana Stratila, Manager PMI Impact, ██████████

Contract/Project 3 Title	Latin America asset recovery engagement - International Centre for Asset Recovery (ICAR)
Contract Value/Project budget (include currency)	Approximately CHF ██████████ / year
Duration (e.g. 2 years, 3 months)	6 years (2014-present)
Role of organisation in project	The Basel Institute's embedded asset recovery specialists focus on a) improving the skills of Peruvian and Ecuadorian government counterparts to recover assets; b) advising on cases; and c) strengthening institutions for anti-corruption and asset recovery.

Brief summary of the aims, objectives and outcomes of the project.

The aim of this hands-on, practical support, which is core funded by ICAR, is to increase the volume of stolen assets recovered. Achievements so far include securing a USD 20 million settlement agreement for Peruvian public funds that had been frozen in Europe since 2005; securing a confiscation order for over USD 1.5 million frozen in Luxembourg in a case from the Fujimori/Montesinos era, and enabling the confiscation of numerous further bank accounts in Switzerland and Luxembourg. Our support to Peru's Specialised Prosecutor for Corruption was key to recover over USD 19.5 million in the Odebrecht case.

Client/independent reference contact details (Name, e-mail)


Sylvia Bluck, Governance Advisor, Anti-Corruption Team, FCDO


Have you provided the requested signed audited/independently examined accounts? If you select "yes" you will be able to upload these. Note that this is not required from Government Agencies.

Yes


Please attach the requested signed audited/independently examined accounts.


 [Basel Institute Annual Report 2019](#)


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 [Annual Financial Audit 2019 B Notes to Financial Statement](#)


 10/11/2020


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 [Basel Institute Annual Report 2018 BW](#)


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 [Annual Financial Audit 2019 A](#)


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Section 5 - Project Partners

Q13. Project partners

Please list all the partners involved (including the lead organisation) and explain their roles and responsibilities in the project. Describe the extent of their involvement at all stages, including project development.

This section should illustrate the capacity of partners to be involved in the project, and how local institutions, local communities, and technical specialists are involved as appropriate. Please provide Letters of Support for the lead organisation and each partner or explain why this has not been included.

N.B: There is a file upload button at the bottom of this page for the upload of a cover letter (if applicable) and all letters of support.

Lead Organisation name:	Basel Institute on Governance
Website address:	www.baselgovernance.org
Details (including roles and responsibilities and capacity to engage with the project):	The Basel Institute will lead the project implementation in collaboration with partners, with basic responsibilities including: - Provide technical assistance to local institutions through embedded technical specialists/mentors. - Support ongoing investigations through intelligence, IWT expertise, high-level financial investigation and asset recovery expertise, international cooperation, and the facilitation of information from private-sector partners and civil society organisations. - Conduct ongoing performance evaluation and M&E. - Prepare narrative and financial reporting, and ensure compliance with applicable rules and regulations.
Have you included a Letter of Support from this organisation? (Note: this can be uploaded at the bottom of the page)	<input checked="" type="radio"/> Yes
Have you provided a cover letter to address your Stage 1 feedback? (Note: this can be uploaded at the bottom of the page)	<input checked="" type="radio"/> Yes
Do you have partners involved in the Project?	<input checked="" type="radio"/> Yes
1. Partner Name:	Bolivia Public Prosecutor's Office (Fiscalía General del Estado Plurinacional de Bolivia)
Website address:	https://www.fiscalia.gob.bo/

Details (including roles and responsibilities and capacity to engage with the project):

Bolivia's Fiscalía General del Estado is mandated to defend the legality and general interests of society, to exercise public criminal action and to bring other actions, within the framework established by the Political Constitution of the State, international treaties and conventions on human rights and the law. It directs investigation and conducts prosecutions of all crimes, including those of an environmental nature.

The Fiscalía General is a main beneficiary of the project. As such, it designates teams and individual prosecutors to receive support from and apply advice received from the experts of the main implementing partner, the Basel Institute, with a view to effectively applying financial investigation and asset recovery tools to their investigations into environmental crimes.

To this end, it will also provide access to criminal IWT investigations and operationally relevant lead data for criminal analysis and case advisory support. It will also provide adequate working space for the Basel Institute experts and facilities for group meetings and trainings. The Office is legally mandated to implement activities under this project and has confirmed itself to be sufficiently resourced to implement the project jointly with the lead partner and counterparts in Peru.

Have you included a Letter of Support from this organisation? Yes

Do you have more than one partner involved in the Project?

Yes

2. Partner Name: Peru Public Prosecutor's Office (Ministerio Público – Fiscalía de la Nación)

Website address: <https://www.gob.pe/mpfn>

Details (including roles and responsibilities and capacity to engage with the project):

Peru's Public Prosecutor's Office is a main beneficiary of the programme in Peru as well as being actively involved in its delivery. It will designate teams and individual prosecutors to work closely with our technical specialists and benefit from their advice and support with a view to effectively applying asset recovery tools to investigations into environmental crimes. To this end, it will also provide access to criminal IWT investigations and operationally relevant data for criminal analysis and case advisory support. It will also provide working space for the Basel Institute experts and facilities for group meetings and trainings.

The Public Prosecutor's Office conducts investigations from the outset of the process, the criminal act, having both investigative and prosecutorial functions. It is legally mandated to implement activities as foreseen under this project and has both proven in the past and confirmed itself to be sufficiently resourced to implement the project jointly with the lead partner and counterparts in Bolivia.

The Public Prosecutor's office in Peru is relatively more advanced in financial investigations than Bolivia and has agreed to share its experience with its Bolivian counterparts during the programme's implementation.

Have you included a Letter of Support from this organisation?

Yes

3. Partner Name:

No Response

Website address:

No Response

Details (including roles and responsibilities and capacity to engage with the project):

No Response

Have you included a Letter of Support from this organisation?

Yes
 No

4. Partner Name:

No Response

Website address:

No Response

Details (including roles and responsibilities and capacity to engage with the project):

No Response

Have you included a Letter of Support from this organisation? Yes
 No

5. Partner Name: *No Response*

Website address: *No Response*

Details (including roles and responsibilities and capacity to engage with the project): *No Response*

Have you included a Letter of Support from this organisation? Yes
 No

6. Partner Name: *No Response*

Website address: *No Response*





Details (including roles and responsibilities and capacity to engage with the project): *No Response*

Have you included a Letter of Support from this organisation? Yes
 No

If you require more space to enter details regarding Partners involved in the Project, please use the text field below.

No Response

Please provide a cover letter responding to feedback received at Stage 1 if applicable and a combined PDF of all letters of support.

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-  [Merged Support letters Basel IWTCF LatAm 10 Nov20](#)
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 -  19:18:37
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Section 6 - Project Staff

Q14. Project staff

Please identify the core staff on this project, their role and what % of their time they will be working on the project. Further information on who should be classified as core staff can be found in the guidance.

Please provide 1 page CVs for these staff or a 1 page job description or Terms of Reference for roles yet to be filled. These should match the names and roles in the budget spreadsheet. If your team is larger than 12 people please review if they are core staff, or whether you can merge roles (e.g. 'admin and finance support') below, but provide a full table based on this template in the PDF of CVs you provide.

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Juhani Grossmann	Project Leader	30	Checked
Gretta Fenner	Managing Director	5	Checked
Joel Segura	Asset Recovery Specialist	100	Checked
Angelica Ramirez	Investigations Specialist	100	Checked





Do you require more fields?

Yes

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Manuel Medina	Intelligence Analyst (Investigations)	50	Checked
Tricia Raxter	Intelligence Analyst (IWT)	40	Checked
Monica Guy	Programme Officer	20	Checked
Sergio Jimenez	Sub-national Asset Recovery Advisor	10	Checked
Steve Ratcliffe	Senior Investigation Supervision	10	Checked
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>	Unchecked
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>	Unchecked
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>	Unchecked

Please provide 1 page CVs (or job description if yet to be recruited) for the project staff listed above as a combined PDF.

Ensure the file is named clearly, consistent with the named individual and role above.

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 pdf 166.62 KB

Have you attached all project staff CVs?

Yes

Section 7 - Species & Project Statement

Q15. Species project is focusing on

Where there are more than 4 species that will benefit from the project's work, please add more fields using the selection option below.

Large and small wild cats (e.g. Panthera onca and Leopardus colocolo)

Bears (e.g. Tremarctos ornatus)

Parrots, macaws, finches (e.g. Sicalis flaveola)

Primates (e.g. Lagothrix lagotricha)

Do you require more fields?

Yes

Amphibians (e.g. Gastrotheca excubitor)

Reptiles (e.g. Chelonoidis denticulata)

Timber (e.g. Prosopis pallida)

No Response

No Response

No Response

No Response

No Response

Q16. 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. Please cite the evidence you are using to support your assessment of the problem (references can be listed in your additional attached PDF document which can be uploaded at the bottom of the next page).

Recent reports indicate that IWT is increasing significantly in the Andean region. Threats from organised trafficking syndicates to timber, jaguars, bears and a variety of reptiles and amphibian species overlap with high concentrations of infrastructure projects. While IWT is not new in the region, the recent increase has been linked to dubious business practices that are closely connected to criminal organisations. The illicit trade is facilitated by the ease and impunity with which the traffickers launder the profits and stash them abroad, bribing public officials to evade both detection and prosecution.

These enterprise-level criminal organisations monopolise and deplete natural resources that belong to the state, and therefore to the people of Bolivia and Peru, and generate imbalances in the ecosystems on which sustainable livelihoods are dependent. This threatens the very existence of rural communities whose access to natural resources is affected, driving them deeper into poverty. The human impact is in addition to the potentially irreversible damage to biodiversity and the species themselves.

For example, as much as 80% of timber exports from Peru may involve illegal activity. Regionally, jaguar seizures increased 200 times in the last five years, with this problem affecting Bolivia in particular. The trade is increasingly sophisticated and international: as evidenced by recent seizures, pet trade in Latin American birds and reptiles stretches from the region to Africa, Europe and Asia, and Andean bears are increasingly found in traditional medicine markets. Unregulated and illegal domestic markets amplify threats to wildlife.

The existence of sophisticated drug trafficking networks across the region, already active in the timber trafficking sector and enjoying access to a network of corrupt officials enabling them to act with impunity, heighten the likelihood that wildlife crime will further organise at the domestic and international level. At the same time, threats from mass forest fires related to land grabbing, magnified by climate change, mean wildlife in the region is under assault from all quarters, requiring immediate and focused attention.

Given that the end game of organised crime is economic benefit and that the trafficking is facilitated by corruption and money laundering, financial investigations and asset recovery are widely acknowledged to bear great potential to fight such networks. They have proven successful in fighting other forms of organised crime and illicit trade already. The Bolivian and Peruvian authorities are looking to fight back by investigating environmental crimes from all angles and to sanction those responsible. However, the follow-the-money approach is still too rare in this type of investigation, and prosecutors need targeted support to advance their skills, experience and cooperation possibilities in these fields.

Section 8 - Method, Beneficiaries & Exit Strategy

Q17. Methodology

Describe the methods and approach you will use to achieve your intended Outcome 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 (either by your organisation or others). Please cite evidence where appropriate.
- The rationale for carrying out this work and a justification of your proposed methodology.
- 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.

We will assist specialised public prosecutors in Peru and Bolivia to apply financial investigation and asset

recovery tools to IWT cases in order to disrupt criminal networks benefiting from environmental crimes.

This project builds on our track record in asset recovery in Latin America. Over the last eight years, our team has supported judicial authorities in introducing a structured follow-the-money approach in their investigations and thereby to recover tens of millions of dollars from abroad in major corruption cases that had been stuck for years. This success continues in the Peru-based team's current mentoring of prosecutors in more recent cases, such as the Odebrecht complex.

Second, it builds on our two-year pilot in Africa, in which dedicated IWT financial investigation mentors have helped partner enforcement agencies deploy intelligence-driven financial investigation tools in over a dozen cross-border IWT cases. This has supported a significant expansion of investigations with financial elements and led to important arrests. The project also builds on our track record in fostering public-private intelligence sharing to counter financial crime, including in the context of the United for Wildlife (UfW) Taskforces.

In implementing this project, we will take into account the activities and experiences of other IWT Challenge Fund projects, in particular IWT029, IWT038, IWT068 and IWT076. We will partner with ongoing UK-funded programmes and coordinate with planned US-funded efforts to support criminal investigations into IWT in Peru.

To ensure a strategic approach, our team will be informed by a parallel in-depth study that the Institute is commencing (with separate funding) about blockages to IWT investigations in Peru, arising from the country's political economy and informal governance structures as well as corruption risks in IWT enforcement.

Finally, there is a significant South-South learning effect by combining Peru and Bolivia in one project. While both countries are not yet systematically applying the follow-the-money approach to environmental crime, Peru's overall expertise in this domain is significantly higher than Bolivia's. Partnership between the two countries holds great potential for peer-based learning and strong regional cooperation.

In both countries, the project will work at both federal and sub-national levels where IWT is particularly prevalent. This is illustrated by a request for support in IWT financial investigations from provincial prosecutors in Piura in the north-western region of Peru, a source and transit hub for IWT.

Concretely, we will:

- 1) Build capacity in applying financial investigation and asset recovery tools to IWT investigations. This includes adapting existing training materials and case studies to legislative and institutional frameworks in Peru and Bolivia, as per the proven methodology behind our widely respected financial investigations and asset recovery training programmes.
- 2) Promote the systematic inclusion of the follow-the-money approach to environmental crime in Peru and Bolivia – including systematic efforts to confiscate and recover assets – through mentoring on active cases. As has proven successful in our asset recovery programmes across Latin America and Africa, this case-based mentoring approach will help prosecutors to systematically identify, secure and confiscate the instrumentalities and proceeds of crime with the intent of recovering assets. Through our existing Case Consultancy Agreement with Peru's Public Prosecutor's Office, we have the necessary legal mandate and access to case files. A similar agreement is under negotiation with authorities in Bolivia (see support letter).
- 3) Facilitate cross-border and public-private information flows to advance cooperation, trigger fresh cases and ensure long-term sustainability. This includes using case-based advice to prosecutors on how to make use of the relevant but currently under-used information-sharing systems of Interpol and UfW. The Basel Institute has a long-standing MOU with Interpol and an agreement with UfW on using the information sharing system, which facilitates critical information flows between IWT law enforcement and 150+ global transport and financial firms. In addition, the project will work with authorities in Bolivia and Peru to

strengthen existing bilateral information-sharing systems.

The Green Corruption Team Leader, who has 17 years' experience managing complex development programmes through an adaptive management approach, will ensure the programme achieves full benefits of being part of the above mentioned larger ecosystem of engagements in both asset recovery and IWT. This includes adapting proven asset recovery approaches to both environmental crimes and Peru and Bolivia's legal contexts, as well as adjusting existing open-source intelligence training programmes for local use. Our strong presence in the region (with a team of around 30 staff in our Lima office in Peru) helps us to be sensitive to engagements that may face high corruption obstacles and require particularly careful and sensitive handling.

Q18. 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?
- 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.

This project will ultimately benefit communities in Peru and Bolivia located in areas of high biodiversity and dependent upon functioning ecosystems and the integrity of their natural environment. These are highly vulnerable to direct exploitation by organised crime groups for trafficking, as well as indirect negative impacts through the unsustainable, illegal and inequitable exploitation of natural resources. Improved investigative capacity will help to uncover and expose criminal organisations and their links to corrupt officials and unscrupulous businesses, which will strengthen rule of law for these communities and help protect their natural environments. Functioning ecosystems will improve their access to food and opportunities for sustainable livelihoods.

Improving the ability of officials in Bolivia and Peru to apply follow-the-money tools to organised wildlife trafficking syndicates will reduce the criminality and corruption that hinder productive economic development and growth and thereby increase poverty.

Disrupting wildlife trafficking networks will decrease risks of zoonotic disease emergence for local communities and reduce pandemic disease threats globally. This is a serious threat in biodiverse regions with a high IWT prevalence.

We seek to safeguard natural heritage at both the national level and within rural poor communities that are rich in biodiversity but lack enforcement capacities.

Finally, the project will aid in recovering assets, which can bolster state budgets devastated by covid-19-related losses and expenditures. There are already encouraging precedents in which recovered assets have been earmarked for critical medical infrastructure projects.

Peru is an upper middle-income country with comparably good experience in financial investigation and asset recovery. However, it suffers significantly at a social and economic level from environmental degradation, and is not yet able to mobilise by itself the necessary knowledge and resources to tackle this problem more effectively. In addition, the programme is designed in a way that allows Peru's more advanced experience with financial investigations and asset recovery to benefit a lesser developed jurisdiction, Bolivia, which will build capacity through South-South learning to achieve a similar level of expertise. We also expect the two-country dynamic to ultimately generate a wider regional change in enforcement practice.

Q19. Gender Equality

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 sex disaggregated data and what impact your project will have in promoting gender equality.

Recent studies show that poaching, illegal trafficking and selling of wildlife is dominated by men, and the patriarchal structures observed in IWT networks reproduce gendered roles. For instance, while men perform management and support roles, women are disproportionately assigned frontline roles (e.g. smuggling), though this is not only caused by internal gender norms but also because women are less likely to be associated with wildlife trafficking and, in consequence, are more likely than men to evade security checks. This is particularly the case in Latin America where such gender stereotypes are still common. The corrosive impact of drug gangs on gender equality is also noteworthy as these gangs increasingly engage in other contraband, including wildlife.

Prosecutions of kingpins are rare, and dominant groups, which reproduce such negative masculinities and violence, go unpunished. By enabling investigations and prosecutions to target and expose organisers, who are mostly men, and disrupt IWT networks through the follow-the-money approach, we can tackle this perpetuating effect on gender equality. The effective prosecution of these organizers will also contribute to preventing the further exploitation of vulnerable groups like women and girls.

As women remain severely under-represented in law enforcement, the programme will work through a gender-balanced team of mentors in the expectation that a female investigator can not only break through masculinities inherently present in current law enforcement practice but also serve as role model for other aspiring female law enforcers. The Basel Institute itself is a leader in gender equality: 5 out of 7 members of the management team are women. Overall, 44% of the Institute's staff are women. The programme will also benefit from the Institute-wide effort to consider new approaches to promoting gender balance in its law enforcement approaches, including its new strategic plan which features gender-related indicators.

Q20. Impact on species in focus

How will the species named in Question 15 benefit from the work outlined above? What do you expect the long-term impact on the species concerned to be?

Protecting the targeted species from poaching and trafficking by organised criminals will not only allow populations of these species to return to sustainable level. Their protection, through enhanced law enforcement, will preserve the integrity and natural functioning of the wider Andean ecosystem.

The most relevant and evident positive effects will arise from the protection of apex predators in the region such as jaguars. Their disappearance would likely result in an invasion of foreign species such as coyotes, which are spreading from North America into Central and eventually South America. The programme will also protect the seeding dispersal function that Andean bears provide for the Amazon ecosystem. The protection of forests will contribute to securing healthy habitats, decreasing the extent to which wild

species come into contact with humans, as well as protecting key healthy ecosystem indicators such as amphibians and birds.

Collectively, these efforts will contribute to keeping Latin America the world's most biologically diverse region.

Q21. Pathway to change

Please outline your project's expected pathway to change. This should be an overview of the overall project logic and outline how you expect your Outputs to contribute towards your overall Outcome and, longer term, your expected Impact.

Biodiversity loss as result of IWT exacerbates poverty. Law enforcement is failing to keep up with the increasing enterprise-level professionalisation of IWT criminal networks, and as a consequence IWT is a low-risk, high-profit business. Law enforcement tools used in Bolivia and Peru are not commensurate with the complexity of the criminal networks, the leaders of which all commit various forms of financial crime to sustain their operations. They continue to operate with impunity while law enforcement focuses mostly on low-level criminals. This is ineffective in disrupting criminal organisations. Law enforcement needs to focus on the networks' leadership, which can only be achieved with a follow-the-money approach, a practice that is not currently applied in IWT cases in either Bolivia or Peru.

Based on our discussions and experience, we believe this can change with a) increased know-how, b) greater experience with these tools and c) wider access to information both domestically and cross-border.

The project will embed advisors in Bolivia and Peru to a) train prosecutors in the follow-the-money approach, b) mentor them on real-life cases, and c) assist in information sharing with other agencies. As a result, each agency will be able to drive such cases forward independently.

Q22. 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?


This project builds on the core approach of the Basel Institute's International Centre for Asset Recovery in using case mentoring to build trust-based, lasting relationships with partners. This approach has been confirmed as sustainable in numerous external reviews and by our core donors, including the UK FCDO.


The support offered consists of showcasing in practice the potential of combining financial and environmental investigations within existing legal frameworks. It also entails connecting partner agencies with relevant international networks and showcasing how to make use of these networks. Our experience has shown that this hands-on approach is considerably more effective than formal training alone, as it creates legal precedents and builds confidence and experience among prosecutors in this novel practice. While we expect to initially be closely involved in each case, over time experts can typically pull out from daily mentoring to dedicate time to coaching additional prosecutors and/or supervise a larger number of cases. This leads to a gradual move to operational independence among concerned agencies.

The project will also document – jointly with beneficiaries – any new operational practices so that the knowledge is preserved beyond the current teams and can be translated into standard operating procedures.

If necessary, please provide supporting documentation e.g. maps, diagrams, references etc., as a single PDF using the file upload below:

 [Reference List \(LatAm\)](#)

 10/11/2020

 15:40:53

 pdf 106.45 KB

Section 9 - Funding and Budget

Q23. Budget

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


Note that there are different budget templates for grant requests under £100,000 and over £100,000.


- [Budget form for projects under £100,000](#)
- [Budget form for projects over £100,000](#)


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

N.B: 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.

Please upload your completed IWT Budget Form Excel spreadsheet using the field below.

 [FINAL LatAm IWT CF Budget Basel 09Nov20 JG
VALUES](#)

 09/11/2020

 23:17:32

 xlsx 68.67 KB

Q24. Funding

Q24a. Is this a new initiative or a development of existing work (funded through any source)?

New Initiative

Please provide details:

While we have done similar work with other law enforcement agencies, this is the first time we are tackling financial investigations/asset recovery in IWT in Latin America. As evidenced by the substantial cost share, this is a high priority for us. The Partners are also very excited as this kind of advanced technical support is rarely given to environmental prosecutors.

Q24b. Are you aware of any other individuals/organisations/projects carrying out or applying for funding for similar work?

No

Q25. Co-financing

Are you proposing co-financing?

Yes

Q25a. 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.

Donor Organisation	Amount	Currency code	Comments
Basel Institute Core Funding	██████	GBP	This is the Institute's core funding which comes from the following donors: Jersey, Lichtenstein, the UK and Switzerland. It will pay for the salaries of senior advisors, including cost share for the Team Leader's time and associated travel.
PMI Round 2	██████	GBP	This grant will contribute to the initial training of prosecutors in financial investigations and open-source intelligence.
TNRC/USAID	██████	GBP	This grant supports the conduct of Political Economy Analysis on IWT in Peru, mapping of investigative and prosecutorial processes and corruption risk assessments of the key decision points, which will be very helpful to guide ongoing support under the IWT Challenge Fund grant.
Peru Public Prosecutor's Office	██████	GBP	The Public Prosecutor's Office in Peru will provide office space.

Do you require more fields?

No

Q25b. 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. This should also include any additional funds required where a donor has not yet been identified.

Date applied for	Donor Organisation	Amount	Currency code	Comments
No Response	No Response	0	No Response	No Response
No Response	No Response	0	No Response	No Response
No Response	No Response	0	No Response	No Response
No Response	No Response	0	No Response	No Response

Do you require more fields?

No

Section 10 - Capital Costs, Value for Money & Ethics

Q26. Outputs of the project and Open Access

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

We publish all relevant findings freely on our website, often in the form of working papers or policy briefs (which are listed in the ROAD Directory of Open Access Scholarly Resources). The nature of law enforcement and intelligence means exact details cannot be shared publicly, but we regularly use case studies and lessons learned from our on-the-ground experience to contribute to global forums and dialogue of best practices. We do not seek any funding from the IWT Challenge Fund for this.

Q27. Financial Risk Management

This question considers the financial risks to the project. Explain how you have considered the risks and threats that may be relevant to the successful financial delivery of this project. This includes risks such as fraud or bribery, but may also include the risk of fluctuating foreign exchange and internal financial processes such as storage of financial data.

The financial risks associated with this project have been assessed to be low and in line with the majority of

projects managed by the Basel Institute. Minimal procurement and sub-contracting of third parties or handling of cash is expected, if any; currency exchange rate related risks are moderate to high, but again in line with the majority of other projects handled by the Basel Institute. As a consequence, the standard financial controls apply and are deemed sufficient. These are implemented under the oversight of the Basel Institute Board Audit Committee, and include the following: Cost centre accounting and quarterly review of books and records in the context of financial reporting; annual voluntary external review of internal control system; annual audit in line with Swiss GAP FEER 21; monthly review and documentation of cash flow; monthly review and documentation of compliance with hedging policy; quarterly financial risk review in the context of the Basel Institute's overall risk management procedure; application of Basel Institute procurement policy. The Basel Institute has passed all annual external audits in full compliance with the law and without any note of concern or reservation by the auditor.

Q28. 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.

We anticipate purchasing 2 laptops and peripherals.

Q29. 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.

Economy:

- The programme will employ local and regional experts, thus facilitating communication and bridging cultural divides to quickly build trust between participants.
- We will not incur office rental costs because we will be hosted by our partners.
- Both HQ and consultant salaries have been found to be appropriate by external advisers as compared to peer organisations.
- Access to additional Basel Institute trainings at no cost to this programme.
- The pandemic-necessitated move of many cooperative, management, and monitoring functions online decreases the needs for frequent travel from Basel.

Efficiency:

- We already have connections, country expertise, and training materials in Peru, substantially compressing the start-up period and eliminating associated costs.
- Basel and Lima-based senior financial investigators, IWT, intelligence, and asset recovery experts will be on call from day one to support the field-based staff. This expertise is largely provided as cost share.

Effectiveness:

- The programme will adopt an adaptive management approach: We will initially engage on a wide number of cases with different agencies, evaluate progress and allocate resources towards those interventions that are effectively converting inputs into outputs, moving them through the investigative-prosecutorial chain.
- We will monitor the extent to which the outputs for our interventions are achieving the intended effect through our logframe.

Equity:

- By focusing on the higher end of the IWT value chain (mid and senior criminals), we will make everyone involved in wildlife crime pay, not just the low-level poachers.

Q30. Ethics and human rights

Outline your approach to meeting the IWT's key principles for ethics as outlined in the Guidance Notes.

Additionally, are there 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?

The Basel Institute's Code of Ethics is premised on the general respect for human rights it upholds our staff and consultants to strict ethical standards as stipulated in the Code of Ethics approved by the Foundation Board on 16-Oct-2019. This code of ethics applies to and guides all aspects of the Basel Institute's operational work, including project-specific work as presented in our proposal, it is continuously reviewed to meet Swiss and international standards assuring the Basel Institute is eligible for EU and US government funding. All present and future staff around the world must accept explicitly the Code of Ethics prior to initiating a working relationship with the Basel Institute.

Additionally, the project will be developed in close consultation with law enforcement agencies ensuring that local legal and functional needs are met.

Since the project is intended to be executed only in close partnership with governmental agencies with clear constitutional mandate to prosecute upon a court of law crimes in their respective jurisdictions, we are confident that data and activities during the project will conform with national law, international standards and internal ethical guidelines. In all cases, confidentiality and the safety of people involved in the project or in the criminal investigations supported through the project, will be paramount to our staff members.

In addition, the proposed project does not contemplate presence on the field where an armed conflict is taking place, guaranteeing that there are no risks associated to International Humanitarian Law.

Q31. Corruption

This question specifically considers corruption. Explain how you have considered any risk of corruption that may affect the success of this project, and how you plan to manage this. This may include financial corruption, but may also deal with gifts or inducements, or other types of dishonesty or deceit.

The Basel Institute's Code of Ethics (dated 16 October 2019) applies to and guides all aspects of the Basel Institute's operational work, including project-specific work as presented in our proposal. Any form of corruption in the context of the Basel Institute's work is inadmissible and immediate and commensurate action will be enacted in line with the Basel Institute's Code of Ethics, including the Code's Reporting procedures (see section 'Implementation of the Code of Ethics').

The Basel Institute's staff, including consultants, are, by virtue of their professional occupation, highly alert to such risks and fully understand our strict zero tolerance policy. Regardless of the clarity of our rules and the high level of awareness of such matters among staff of a dedicated anti-corruption organisation, it is clear that regular integrity training is important to continuously sharpen staff's awareness, especially about instances of potential corruption which are less easily discernable. As a consequence, we regularly discuss such matters in the context of staff retreats and similar other staff events under the guidance of the Basel Institute's Head of Compliance, and in particular encourage the discussion of scenarios which are

potentially controversial or unclear.

Q32. Use of data

If your project involves data collection and/or analysis which identifies individuals (e.g. biometric data, intelligence data), please explain the measures which are in place and/or will be taken to ensure the proper control and use of the data. Please explain the experience of the organisations involved in managing this information in your project.

If any aspect of your project relates to informant network data please also explain what measures are in place to ensure it is properly controlled.

Where such data is collected in the context of law enforcement, collection, storing and analysis is done by the partner institutions. Whilst the Basel Institute will advise on the analysis of data, it will not itself store or collect data. Law enforcement-specific regulations of the concerned jurisdictions apply. In the context of intelligence sharing with private-sector entities, minimal data is expected to be collected, stored and disseminated by the Basel Institute as a facilitator of intelligence-sharing. In these cases, the Basel Institute is applying a data privacy and storage procedure which is in compliance with Swiss law and the GDPR. This procedure is regularly reviewed in light of new projects and activities, and any necessary amendments or new processes are documented in a centrally held data processing registry.

Q33. Safeguarding





Projects funded through the IWT Challenge Fund must fully protect vulnerable people all of the time, wherever they work. In order to provide assurance of this, projects are required to have appropriate safeguarding policies in place. Please confirm the lead organisation has the following policies and processes in place and that these can be available on request:

We have a safeguarding policy, which includes a statement of our commitment to safeguarding and a zero tolerance statement on bullying, harassment and sexual exploitation and abuse	Checked
We have attached a copy of our safeguarding policy to this application (file upload below)	Checked
We keep a detailed register of safeguarding issues raised and how they were dealt with	Checked
We have clear investigation and disciplinary procedures to use when allegations and complaints are made, and have clear processes in place for when a disclosure is made	Checked
We share our safeguarding policy with downstream partners	Checked
We have a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised	Checked
We have a Code of Conduct for staff and volunteers that sets out clear expectations of behaviours - inside and outside the work place - and make clear what will happen in the event of non-compliance or breach of these standards	Checked

Please outline how you will implement your policies in practice and ensure that downstream partners apply the same standards as the lead organisation.

The Basel Institute’s exposure to groups of vulnerable people in the implementation of the proposed projects is minimal. That said, as for any project implemented by the Basel Institute, the policy concerning Safeguarding applies to all staff and all downstream partners, if any. The Code of Ethics, and with it the provisions for safeguarding, form an integral part of the contractual agreement with any staff member and downstream partner. All safeguarding issues are covered in the Basel Institute’s Code of Ethics, which also contains the necessary protections and procedures for whistleblowers.

Please upload the lead organisation's Safeguarding Policy as a PDF

-  [safeguarding and ethics code](#)
-  09/11/2020
-  22:55:31
-  pdf 302 KB

Section 11 - Logical Framework





Q34. Logical Framework

IWT Challenge Fund projects will be required to monitor (and report against) their progress towards their expected Outputs and Outcome. 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.

- [Stage 2 Logframe Template](#)

Please complete your full logframe in the separate Word template and upload as a pdf using the file upload below. Copy your Impact and Output statements and your activities below - these should be the same as in your uploaded logframe.

Please upload your logframe as a PDF document.

-
-  [V6 IWT R7 St2 LATAM Logical Framework Basel Governance LatAm 09Nov20 JG](#)
 -  10/11/2020
 -  19:26:11
 -  pdf 48.51 KB

Impact:

Reduce poverty in natural resource-dependent communities by protecting natural resources and heritage of Bolivia and Peru from criminal exploitation

Outcome:

Please ensure that your Outcome statement has been copied from your logframe into Q8.

Project Outputs

Output 1:

Criminal investigators and prosecutors trained and mentored to understand and use financial investigation tools and asset recovery related to environmental crime.

Output 2:

Asset recovery and financial investigation techniques are used by prosecutors within criminal proceedings in cases related to wildlife trafficking through active mentoring and advisory.

Output 3:

Cross-border information sharing mechanisms are used within environmental crime investigations.

Output 4:

No Response

Output 5:

No Response

Do you require more Output fields?

It is advised to have less than 6 Outputs since this level of detail can be provided at the Activity level.

No

Activities

Each activity is numbered according to the Output that it will contribute towards, for example, 1.1, 1.2, 1.3 are contributing to Output 1.

Each activity should start on a new line and be no more than approximately 25 words.

- 1.1 Deliver training in follow-the-money techniques and asset recovery to 10 prosecutors and investigators in Bolivia.
- 1.2 Deliver training in follow-the-money techniques and asset recovery to 10 prosecutors and investigators in Peru.
- 2.1 Provide technical assistance to prosecutors and investigators directly through the dissemination of operational criminal analysis products.
- 2.2 Provide technical assistance to prosecutors and investigators directly through the dissemination of expert advisory in asset recovery.
- 3.1 Provide technical assistance to prosecutors and investigators directly by delivering expert advisory in international cooperation mechanisms and pathways.
- 3.2 Listing of available information sharing mechanisms and international cooperation tools available to prosecutors applying a follow-the-money approach in environmental crime.
- 3.3 Provide technical assistance in cross-border information sharing/requests actions.





Section 12 - Implementation Timetable

Q35. Provide a project implementation timetable that shows the key milestones in project activities

Provide a project implementation timetable that shows the key milestones in project activities. Complete the Excel spreadsheet template as appropriate to describe the intended workplan for your project.

- [Implementation Timetable Template](#)

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.

 [IWT R7 St2 Implementation Timetable LatAm_09-11-2020 FINAL'](#)
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 xlsx 15.3 KB

Section 13 - M&E and FCDO notification

Q36. Monitoring and evaluation (M&E) plan

Describe, referring to the indicators in your logframe, how the progress of the project will be monitored and evaluated, making reference to who is responsible for the project's 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/IWT](#)).

The Project Leader has 17 years' experience managing multi-million GBP development programs with rigorous M&E frameworks. While the present project is smaller in size, the same rigour will apply:

- At the outset of the project, an all-team workshop will take place to develop internal performance metric breakdowns from the overall logframe for each team member. This collective effort will ensure universal buy-in into the M&E system.
- We have learned that financial investigations are rarely straightforward. There are always complications, inaccessible data, administrative blocks, political factors, jurisdictional or capacity issues, etc. This multitude requires a diverse team with different backgrounds (accounting, audit, investigations, open source and IWT intelligence, resource management, etc).
- To avoid silos, there will be weekly calls between the different team members to highlight progress or obstacles, discuss challenges and address them from the team's multiple viewpoints.
- Based on our experience handling complex corruption cases, on a monthly basis, an in-depth case status meeting will be held to determine progress on cases and jointly allocated investigative resources in the upcoming month. This will also be an opportunity to identify administrative bottlenecks such as case file access and to elevate these to the Institute's leadership for resolution,
- These frequent feedback loops will serve as the basis for an adaptive learning approach, where team members feel comfortable experimenting with novel approaches, which are then evaluated for success/failure and quickly built up or discarded. This approach is especially relevant in what promises to

be a complicated mobility environment, at least during the initial year of the project.

- In regards to case progress, the team will adopt the Basel Institute's cloud-based case monitoring tool, which is designed to transparently and systematically track step-by-step progress in cases of financial crime and asset recovery in which our experts are mentoring their counterparts at the local partner institution. The tool is being continuously improved in line with the specifications of the Institute's core donors, including the UK FCDO, and enables us to measure case progress quantitatively as well as qualitatively, - While the entire team will be aware of and engaged in M&E, a HQ-based project officer will coordinate the monitoring of the project's progress towards agreed indicators. The project manager works across the Basel Institute's various divisions, including Green Corruption, Compliance and the International Centre for Asset Recovery, making it easier for us to quickly identify and address failings or negative impacts as well as opportunities for improvement.

Total project budget for M&E in GBP (this may include Staff, Travel and Subsistence costs) £ [REDACTED]

Number of days planned for M&E 121

Percentage of total project budget set aside for M&E (%) [REDACTED]

Q37. FCDO Notifications

Please state whether there are sensitivities that the Foreign Commonwealth and Development Office will need to be aware of should they want to publicise the project's success in the IWT Challenge Fund competition in the host country.


No


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 (click to attach)

Please attach details of any advice you have received.


 [UK Embassy Peru Exchange 09Nov20](#)


 09/11/2020

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 pdf 267.14 KB


 [UK Embassy Peru Exchange 09Nov20 2](#)


 09/11/2020

 23:06:33

 pdf 252.68 KB

 [UK Embassy Bolivia Exchange 09Nov20](#)

 09/11/2020

 23:01:20

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Section 14 - Certification

Q38. Certification

On behalf of the

trustees

of

Basel Institute on Governance

I apply for a grant of





£423,861.00

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 have enclosed CVs for key project personnel, letters of support, budget and project implementation timetable (uploaded at appropriate points in application).
- Our last two sets of signed audited/independently verified accounts and annual report are also enclosed.

Checked

Name	Gretta Fenner
Position in the organisation	Managing Director
Signature (please upload e-signature)	 grettasignature (1)  09/11/2020  23:09:10  jpg 5.42 KB
Date	10 November 2020

Section 15 - Submission Checklist

Checklist for submission

	Check
I have read the Guidance, including Guidance Notes for Applicants and Finance for Darwin/IWT	Checked
I have read, and can meet, the current Terms and Conditions for this fund.	Checked

I have provided actual start and end dates for my project.	Checked
I have provided my budget based on UK government financial years i.e. 1 April – 31 March and in GBP.	Checked
I have checked that the budget is complete, correctly adds up and I have included the correct final total at the start page of the application.	Checked
The application has been signed by a suitably authorised individual (clear electronic or scanned signatures are acceptable).	Checked
I have attached my completed logframe as a PDF using the template provided.	Checked
(If copying and pasting into Flexi-Grant) I have checked that all my responses have been successfully copied into the online application form.	Checked
I have included a 1 page CV or job description for all key project personnel identified at Question 14, including the Project Leader, or provided an explanation of why not.	Checked
I have included a letter of support from the Lead Organisation and main partner organisation(s) identified at Question 13, or an explanation as to why not.	Checked
I have included a cover letter from the Lead Organisation, outlining how any feedback received at Stage 1 has been addressed where relevant.	Checked
I have included a copy of the lead organisation’s safeguarding policy, which covers the criteria listed in Question 33.	Checked
I have been in contact with the FCDO in the project country/ies and have included any evidence of this. If not, I have provided an explanation of why not.	Checked
I have included a signed copy of the last 2 annual report and accounts for the Lead Organisation.	Checked
I have checked the IWT website on GOV.UK immediately prior to submission to ensure there are no late updates.	Checked
I have read and understood the Privacy Notice on GOV.UK	Checked

We would like to keep in touch!

Please check this box if you would be happy for the lead applicant and project leader (if different) to be added to our mailing list. Through our mailing list we share updates on upcoming and current application rounds under the IWT Challenge Fund and our sister grant scheme, the Darwin Initiative. We also provide occasional updates on other UK Government activities related to the illegal wildlife trade and share our quarterly project newsletter. You are free to unsubscribe at any time.

Checked

Data protection and use of personal data

Information supplied in this application form, including personal data, will be used by Defra as set out in the latest copy of the Privacy Notice for Darwin, Darwin Plus and the Illegal Wildlife Trade Challenge Fund available [here](#). This Privacy Notice must be provided to all individuals whose personal data is supplied in the application form. Some information, but not personal data, may be used when publicising the Darwin Initiative including project details (usually title, lead organisation, location, and total grant value) on the GOV.UK and other websites.

Information relating to the project or its results may also be released on request, including under the 2004 Environmental Information Regulations and the Freedom of Information Act 2000. However, Defra will not permit any unwarranted breach of confidentiality nor will we act in contravention of our obligations under the General Data Protection Regulation (Regulation (EU) 2016/679).

Project Title: Disrupting the financing of Andean IWT networks through asset recovery

Project Summary	Measurable Indicators	Means of Verification	Important Assumptions
<p>Impact: Reduce poverty in natural resource-dependent communities by protecting natural resources and heritage of Bolivia and Peru from criminal exploitation</p>			
<p>Outcome: Enhanced use of financial investigation and asset recovery techniques in IWT investigations and prosecutions helps disrupt environmental crime networks in Peru and Bolivia, thus protecting natural resources from criminal exploitation.</p>	<p>0.1 30% increase of total monetary value of targeted assets in financial investigation and asset recovery for IWT criminal cases per year [Baseline 2020= TBD in early 2021]. 0.2 Five additional IWT cases where financial investigation and asset recovery actions are initiated during project lifetime. [Baseline 2020 = TBD in early 2021]. 0.3 20 cross-border information sharing/requests actions initiated by program end.</p>	<p>0.1 Narrative report by the beneficiary agencies, including anonymized case information. 0.2 Narrative report by the beneficiary agencies, including anonymized case information. 0.3 Narrative report by the beneficiary agencies mentioning number, type, crime and date of information sharing/request initiated.</p>	<p>Partner law enforcement agencies provide the necessary data. Political will to conduct asset recovery / financial investigations. Available resources Operativity of the Judicial system</p>
<p>Outputs: 1. Criminal investigators and prosecutors trained and mentored to understand and use financial investigation tools and asset recovery related to environmental crime.</p>	<p>1.1 Ten gender balanced prosecutors and investigators per country over the life of the project trained in criminal analysis, financial investigations and asset recovery [Baseline = 0]. 1.2 Six gender balanced prosecutors and investigators per country over the life of the project mentored in criminal</p>	<p>1.1 Progress reports for training events attendance lists, course programme and photographic evidence reflecting course completion and gender balance. 1.3 Documented evidence of gender balanced mentoring through attendance lists, or contact logs with partners. 1.3 Survey conducted by the Basel Institute.</p>	<p>Partner law enforcement agencies assign personnel and allocate time for their training. Partner institution management or human resources decisions do not prevent trained staff from using their skills in this way.</p>

Project Title: Disrupting the financing of Andean IWT networks through asset recovery

	<p>analysis, financial investigations and asset recovery [Baseline = 0].</p> <p>1.2 60% of recipients who indicate the use of the newly acquired skills six months after going through the mentorship programme. [Baseline = 0%].</p>		
<p>2. Asset recovery and financial investigation techniques are used by prosecutors within criminal proceedings in cases related to wildlife trafficking through active mentoring and advisory.</p>	<p>2.1 10 analytical products (investigation-oriented) delivered by embedded advisors within IWT criminal cases, per year. [Baseline = 0].</p> <p>2.2 10 advisory products for judicial proceedings (prosecution-oriented) supported by embedded advisors within IWT criminal cases, per year. [Baseline = 0].</p>	<p>2.1 Written documents of analytical products delivered.</p> <p>2.1 Written documents of advisory products delivered.</p>	<p>Partner institution provides sufficient data to build useful analytical and advisory products.</p>
<p>3. Cross-border information sharing mechanisms are used within environmental crime investigations.</p>	<p>3.1 Listing of available information-sharing mechanisms and models available to prosecutors within partner agencies.</p> <p>3.2 Ten information-sharing actions between Bolivia and Peru during life of project. [Baseline=0].</p> <p>3.3 Ten financial investigation and asset recovery international (outside of Bolivia/Peru) information sharing/requests initiated per year [Baseline = 0].</p>	<p>3.1 Written document setting out information-sharing mechanisms and models available for prosecutors and investigators.</p> <p>3.2 Narrative report by partner agency regarding the use of the information-sharing mechanisms.</p> <p>3.3 Log of information elements shared/requested during the program duration. (Respecting legal provisions regarding classified information).</p>	<p>Partner institutions provide sufficient data to build workable information-sharing mechanisms and are willing to adopt them.</p> <p>Law enforcement is sufficiently comfortable to share non-classified information with private partners.</p>

Project Title: Disrupting the financing of Andean IWT networks through asset recovery

Activities (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)

1.1 Deliver training in follow-the-money techniques and asset recovery to 10 prosecutors and investigators in Bolivia.

1.2 Deliver training in follow-the-money techniques and asset recovery to 10 prosecutors and investigators in Peru.

2.1. Provide technical assistance to prosecutors and investigators directly through the dissemination of operational criminal analysis products.

2.2 Provide technical assistance to prosecutors and investigators directly through the dissemination of expert advisory in asset recovery.

3.1 Provide technical assistance to prosecutors and investigators directly by delivering expert advisory in international cooperation mechanisms and pathways.

3.2 Listing of available information sharing mechanisms and international cooperation tools available to prosecutors applying a follow-the-money approach in environmental crime.

3.3 Provide technical assistance in cross-border information sharing/requests actions.