

Applicant: **Gallop, Carolyn**
Organisation: **Royal United Services Institute for Defence and Security Studies**
Funding Sought: **£282,484.00**

IWTR7S2\1023

Case closed? Using historic cases to enable new financial investigations

IWT is conducted for profit, yet financial investigations are rarely used. This results in missed opportunities to investigate high-level actors and confiscate criminal gain. In 2020, the Financial Action Task Force recommended closed IWT cases be revisited to develop financial intelligence. This project supports Malawi, Mozambique, Zambia and Uganda in conducting multi-agency IWT closed-case reviews to generate new financial intelligence and improve investigative capacity. Activities will involve financial analysis of cases, delivery of 'train-the-trainer' workshops, best practice and operational support.

Section 1 - Contact Details

PRIMARY APPLICANT DETAILS

Title Mrs
Name Carolyn
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Organisation Royal United Services Institute
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Website (Work) www.rusi.org
Tel (Work) [REDACTED]
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Name Alexandria
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CONTACT DETAILS

Title Mrs
Name Catherine
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GMS ORGANISATION

Type	Charity/ trusts
Name	Royal United Services Institute for Defence and Security Studies
Phone (Work)	[REDACTED]
Email (Work)	[REDACTED]
Website (Work)	[REDACTED]
Address	[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]

Section 2 - Title, Dates & Budget Summary

Q3. Project title:

Case closed? Using historic cases to enable new financial investigations

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

IWTR7S1\1171

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	Malawi	Country 2	Mozambique
Country 3	Uganda	Country 4	Zambia

Do you require more fields?

No

Q5. Project dates

Start date:

01 April 2021

End date:

31 March 2023

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

2 years

Q6. Budget summary

Year:	2021/22	2022/23	2023/24	Total request
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Amount:	£188,770.00	£93,714.00	£0.00	£
				282,484.00

Q6a. Do you have proposed matched funding arrangements?

Yes

What matched funding arrangements are proposed?

The project benefits from significant co-financing support from the private sector, namely Refinitiv and Western Union, and the United for Wildlife Financial and Transport Taskforces run by the Royal Foundation. They will contribute expert staff time to support activities under this project that would not otherwise be performed. RUSI is also a co-partner in a 5-year USAID-funded IWT project in Uganda and will seek to leverage economies of scale for activities planned under that project. The Environmental Investigation Agency will match-fund their participation in Output 2 activities in Mozambique from internal funds.

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.

Please write this summary for a non-technical audience.

IWT is conducted for profit, yet financial investigations are rarely used. This results in missed opportunities to investigate high-level actors and confiscate criminal gain. In 2020, the Financial Action Task Force recommended closed IWT cases be revisited to develop financial intelligence. This project supports Malawi, Mozambique, Zambia and Uganda in conducting multi-agency IWT closed-case reviews to generate new financial intelligence and improve investigative capacity. Activities will involve financial analysis of cases, delivery of 'train-the-trainer' workshops, best practice and operational support.

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.

Multi-agency case reviews and globally-influential best-practice research increases enforcement capacity, creating new financial intelligence and generating train-the-trainer financial-investigation skills, improving

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

Please tick all that apply.

- Strengthening law enforcement
- Ensuring effective legal frameworks

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.

This project supports commitments under the London Conference Declarations (2014 and 2018), Kasane (2015) and Hanoi (2016) Statements.

On the London Conference Declarations, the project equips law enforcement to respond to IWT as 'highly organised, sophisticated criminal activity' (2018 - paragraph 3) and a threat to regional and national security (2018 - paragraph 4). The project also improves capacity to recognise and address corruption as a driver (2018 - paragraph 5; 2014 - Action IX), address illicit financial flows (VI), and increase the use of financial investigations to identify IWT networks (2018 - paragraph 6, 10, 12; 2014 - Actions IX, X). Greater asset forfeiture opportunities will increase public resources to combat IWT (2014 - Action X). A mix of public/private-sector partners will be enabled to 'deploy the full range of public and private tools' against IWT (2018 - paragraphs 9-10). The project will also 'share experiences and best practice' in strengthening anti-money laundering systems at the national, regional and global level (2018 - paragraph 12).

The project also supports Actions 2, 3, 4, 5, 8 and 9 of the Kasane Statement by targeting profit as a driver; working regionally across the supply chain; partnering with financial intelligence units and law enforcement; implementing Financial Action Task Force (FATF)/FATF-Style Regional Body recommendations; and working with prosecution and regional wildlife enforcement networks. In line with the Hanoi Statement, by supporting an illicit finance approach, the project supports the use of 'the tools and techniques used against other domestic and transnational organised crimes.'

Q11. Global Goals for Sustainable Development (SDGs)

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

This project will contribute to Peace, Justice and Strong Institutions (SDG 16) through improved financial investigation and anti-money laundering capacity, resulting in strengthened enforcement and criminal justice processes. At the macro-level, illicit financial flows generated by IWT damage poverty-alleviation efforts, hollow out national institutions and impede the state's ability to provide public services. By increasing capacity to combat these flows, the project will contribute to SDG 16, as well as SDGs aimed at ending poverty (SDG 1), enhancing food security (SDG 2), and promoting inclusive and sustainable economic growth and employment (SDG 8).

In parallel, by reducing IWT through increased enforcement capacity, the project will contribute to improving natural resource-based livelihood opportunities and creating a more conducive political, financial and ecological climate for sustainable development – further supporting SDGs 1, 2 and 8. Alongside greater investigation capacity, the scope for recovery of criminal assets has the potential to reinforce poverty reduction and livelihood opportunities under SDGs 1, 2 and 8. The project also contributes to reducing inequalities (SDG 10), enabling law enforcement to better target high-level criminal and corrupt actors, reducing the current, disproportionate focus on low-level, often rural, poor poachers. Gender equality (SDG 5) will be mainstreamed throughout the project, including in outcome and output indicators (see Q19 for details).

Ultimately, a decrease in IWT as a result of the project will contribute to Life on Land (SDG 15) by supporting species recovery, and Climate Action (SDG 13) by helping protect ecosystems of crucial importance to biodiversity and resilience.

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)?

Yes

If yes, please provide details of the most recent awards (up to 6 examples).

Reference No	Project Leader	Title
IWT021	Thomas Keatinge	Following the Money: Disrupting Wildlife-Linked Illicit Financial Flows in Kenya/Tanzania/Uganda
IWT043	Thomas Keatinge	Following the Money II: IWT capacity-building, East and Southern Africa
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	<i>No Response</i>

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.

-
- [RUSI 2019 Final audited accounts](#)
 - 03/11/2020
 - 14:34:43
 - pdf 529.96 KB

-
- [RUSI 2020 Final \(002\)](#)
 - 03/11/2020
 - 14:34:28
 - pdf 1.44 MB

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: Royal United Services Institute for Defence and Security Studies (RUSI)

Website address: www.rusi.org

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

RUSI is the UK's leading independent, not-for-profit research institute for national-security studies. Its mission is to improve security-related decision-making and practice through evidence-based research and implementation. RUSI's Nairobi office, for example, trains Kenyan law-enforcement agencies under multi-year multi-million-euro EU programmes.

This project will be run by RUSI's Centre for Financial Crime and Security Studies and Organised Crime and Policing departments, comprised of academics, former policy-makers and practitioners with multi-disciplinary expertise in illicit finance, corruption, governance and development globally and in East and Southern Africa. 80% of this project's RUSI team have direct experience leading IWT research and capacity building in Malawi, Mozambique, Uganda and Zambia, including through RUSI's previous Challenge Fund grants (IWT021/043). All in-country partners have worked with this team before.

With significant input from in-country partners, RUSI will manage all aspects of the project including: co-creation of case-selection criteria and expert analysis of case materials; design and delivery of all train-the-trainer multi-agency case-review workshops, including co-creation of workshop materials and case briefings; drafting and publishing a 7,000-word open-access best-practice report and 1,000-word IWT/gender report; execution of an impactful dissemination strategy; organisation of the 1-day operational-level lessons-learned forum and 2-hour public/private-sector webinar.

Have you included a Letter of Support from this organisation? (Note: this can be uploaded at the bottom of the page)

Yes

Have you provided a cover letter to address your Stage 1 feedback? (Note: this can be uploaded at the bottom of the page)

Yes

Do you have partners involved in the Project?

Yes

1. Partner Name:

Wildlife Crime Prevention (WCP)

Website address:

<https://www.wildlifecrimeprevention.com>

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

WCP is a Zambian NGO supporting the Department of National Parks and Wildlife (DNPW) to reduce IWT in Zambia. It supports DNPW's cooperation with Malawi, Uganda, Tanzania, Zimbabwe and Namibia. WCP provides capacity-building assistance to the DNPW's Intelligence and Investigations Units (IIUs) and criminal justice assistance - including high-level IWT case work - to the National Prosecution Authority (NPA). WCP supports 17 IIUs nationwide and coordinates 8 conservation NGOs working across Zambia's 9 protected areas and national parks. WCP's funders include USAID and the Bureau of International Narcotics and Law Enforcement Affairs. WCP were partners in RUSI's Challenge Fund project IWT043.

WCP will: co-create the case-selection criteria and secure access to case materials through their MOUs with DNPW and the NPA (Output 1); co-create the Zambia workshop materials, including case briefings and agenda (Output 2-3); support the processing of new financial intelligence is disseminated across the NPA and DNPW (Output 2); peer review the 7,000-word best-practice report and 1,000-word IWT/gender report and support transfer to government partners (Output 3); participate in dissemination activities and attend the 1-day lessons-learned forum and 2-hour webinar (Output 4). They will also monitor new/reopened cases; and supervise nominated 'champions'.

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: Lilongwe Wildlife Trust (LWT)

Website address: <https://www.lilongwewildlife.org>

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

LWT is an NGO working to protect Malawi's wildlife and habitats, including from IWT. It has an exclusive agreement with the Malawi Police Service to support intelligence-led IWT investigations and is the only NGO authorised to privately litigate IWT cases on behalf of the Directorate of Public Prosecution (DPP). LWT supports the tactical investigation unit within the Department of National Parks and Wildlife (DNPW). It is a member of the Inter-Agency Committee on Combating Wildlife Crime and working partner of the Malawi Parliamentary Conservation Caucus. Funders include the IWT Challenge Fund and UKAID. LWT were local partners in RUSI's Challenge Fund project IWT043.

LWT will: co-create the case-selection criteria and secure access to case materials through MOUs with DNPW and DPP (Output 1); co-create the Malawi workshop materials, including case briefings and agenda (Outputs 2-3); support the processing of new financial intelligence across the Financial Intelligence Authority, DNPW and DPP (Output 2); peer review the 7,000-word best-practice guide and 1,000-word IWT/gender report (Output 3); coordinate local dissemination activities and attend the 1-day lessons-learned forum and 2-hour webinar (Output 4). LWT will also monitor new/reopened cases; and supervise nominated 'champions'. LWT's private prosecutor will participate throughout.

Have you included a Letter of Support from this organisation?

Yes

3. Partner Name:

Wildlife Conservation Society (WCS) - Mozambique Office

Website address:

<https://mozambique.wcs.org>

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

WCS established its Mozambique country programme in 2016 to co-manage and increase the protection of Niassa National Reserve and strengthen national-level protected area management through capacity building and strategic engagement with government agencies and ministries in Maputo. WCS also works to combat IWT, with ANAC (wildlife authority), SERNIC (criminal investigations police), and the Prosecutor General's Office (PGR). It supports Mozambique's CITES actions and policies through data collection, research and implementation. WCS also funds vetted members of ANAC's anti-poaching unit (confidential information). WCS Mozambique were in-country partners in RUSI's Challenge Fund project IWT043.

WCS Mozambique will: co-create the case-selection criteria and secure access to case materials through MOUs with ANAC and PGR (Output 1); co-create the Mozambique workshop materials, including case briefings and agenda (Outputs 2-3); support the processing of new financial intelligence across the GIFiM (financial intelligence unit), ANAC, SERNIC and PGR (Output 2); peer review the 7,000-word best-practice guide and 1,000-word IWT/gender report (Output 3); coordinate local dissemination activities and attend the 1-day lessons learned forum and 2-hour webinar (Output 4). WCS will also monitor new/reopened cases; and supervise the nominated 'champions'. They will quality control Portuguese translations of all materials.

Have you included a Letter of Support from this organisation?

Yes

4. Partner Name:

Environmental Investigation Agency (EIA)

Website address:

<https://eia-international.org>

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

EIA is a UK/US NGO established in 1984 to expose and combat environmental crime. EIA has extensive experience disseminating actionable intelligence and investigating IWT, with a regional focus on East and Southern Africa and end-markets in Asia. EIA has unrivalled knowledge of smuggling routes, methods, channels and the identities of key networks and corrupt actors. EIA assists law-enforcement agencies by providing actionable intelligence, tailored training materials and research. EIA has worked in Uganda, Malawi, Zambia and Mozambique for 20+ years and has extensive expertise, direct knowledge and historic intelligence about high-level cases to potentially be reviewed by the project, including insight into corruption as an enabler of IWT.

EIA will: contribute to case selection and review case briefing materials (Output 1); co-create workshop materials and attend all four workshops (Output 2); use their expertise in intelligence collection, analysis and dissemination to provide a direct financial intelligence-sharing pathway with the public and private sectors via MOUs with the United for Wildlife Financial and Transport Taskforces (comprised of the private sector), US Fish and Wildlife Service, and multiple law-enforcement agencies globally, among others (Output 3).

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

5. Partner Name: Royal Foundation's United for Wildlife (UfW) Financial and Transport Taskforces

Website address: <https://unitedforwildlife.org/category/project/taskforces/>

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

UfW brings conservation organisations, governments and the private sector together to share intelligence and take action against IWT. Led by The Duke of Cambridge and the Royal Foundation, UfW runs two public-private partnerships: The Financial and Transport Taskforces. Established in 2014, the Transport Taskforce disseminates IWT intelligence to 100+ transport companies which have pledged to monitor, report and enforce against IWT. Established with RUSI's assistance in 2018, the Financial Taskforce unites 40+ global financial institutions, which receive financial intelligence and typologies directly and report IWT-related criminal and corrupt activity. RUSI will work with newly established Taskforce chapters in East and Southern Africa and sit on the steering committee of each chapter. EIA is an NGO-member of both Taskforces.

UfW will contribute £[REDACTED] in co-financed funding in staff time devoted to: receiving and processing intelligence produced by the historic case reviews (Outputs 2-3); issuing alerts based on this intelligence via their intelligence-sharing system (Outputs 2-3); using case-review materials to create actionable case studies and typologies for members (Outputs 2-3); participating in global dissemination and co-convening the 2-hour public/private webinar (Output 4). In this way, intelligence and 'lessons learned' will reach a minimum of 40 financial institutions.

Have you included a Letter of Support from this organisation?

Yes

6. Partner Name:

Refinitiv

Website address:

<https://www.refinitiv.com>

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

Refinitiv is a private company that provides information, data analysis and technology for over 40,000 private sector institutions in 190 countries to help them comply with anti-money laundering regulations and best corporate practice standards. They conduct data collection and analysis using cutting-edge technologies that enable the regulated financial sector and non-financial businesses and professions (such as lawyers, accountants, auditors) to comply with local and global regulations and overcome compliance challenges (including a lack of data about 'non-traditional' financial crime issues such as IWT). Refinitiv has a growing programme of work on IWT and convergence with other organised crime types. In 2020, Refinitiv signed a partnership with the United for Wildlife Finance and Transport Taskforces to provide data-driven insights into environmental crime cases to be used to identify suspicious financial activity related to IWT.

Refinitiv will contribute £[REDACTED] in co-financed funding in the form of staff time devoted to: processing intelligence produced by the historic case reviews (Outputs 2-3); peer reviewing the 7,000-word best-practice report to provide private-sector insight (Output 3); creating actionable case studies and typologies for the United for Wildlife Finance and Transport Taskforces (Outputs 2-3); and participating in global dissemination and 2-hour public/private-sector webinar (Output 4).

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

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

Our additional co-financing partner is Western Union. WU an American worldwide financial services and communications company, headquartered in Denver, Colorado. They provide money-transfer services including person-to-person transfer, business payments, cash orders and commercial services. They operate worldwide, including in Malawi, Mozambique, Uganda and Zambia. They are a committed founding member of the United for Wildlife Finance Taskforce and have conducted several investigations into IWT, including reptile and ivory trafficking (confidential information). This project will work with Nick Mays, UK manager of global security at Western Union, and Henri Schromper, head of Western Union's Southern Africa financial intelligence unit based in Pretoria.

Western Union will contribute £[REDACTED] in co-financed funding in the form of staff time devoted to: processing intelligence produced by the historic case reviews through their global internal systems and filing relevant suspicious transaction reports (Outputs 2-3); conducting internal investigations based on intelligence provided (as relevant); creating actionable case studies and typologies for other members of the United for Wildlife Finance and Transport Taskforces (Outputs 2-3); and participating in the 2-hour public/private-sector webinar (Output 4).

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

- [All Letters of Support Collated](#)
- 09/11/2020
- 21:48:16
- pdf 2.54 MB

- [CF7 cover letter with signature\[final\]](#)
- 09/11/2020
- 21:04:50
- pdf 198.06 KB

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?
Cathy Haenlein	Project Leader	15	Checked
Alexandria Reid	Project Manager	36	Checked
Tom Keatinge	Illicit Finance Expert	4	Checked
Mark Williams	Research Analyst	19	Checked

Do you require more fields?

- Yes

Name (First name, Surname)	Role	% time on project	1 page CV or job description attached?
Chris Goodenough	Project Officer	6	Checked
Dr Andrew Edward Yaw Tchie	Monitoring and Evaluation Specialist	13	Checked
No Response	No Response	0	Unchecked
No Response	No Response	0	Unchecked
No Response	No Response	No Response	Unchecked

No Response	No Response	No Response	Unchecked
No Response	No Response	No Response	Unchecked
No Response	No Response	No Response	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.

- CF7 All Core Staff Project CVs Collated includes
M&E
- 09/11/2020
- 22:08:50
- pdf 130.23 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.

African elephant (<i>Loxodonta africana</i>)	Black rhino (<i>Diceros bicornis</i>) and white rhino (<i>Ceratotherium simum</i>)
Temminck's pangolin (<i>Smutsia temminckii</i>) and white-bellied pangolin (<i>Phataginus tricuspis</i>)	High-value flora including rosewood species (mukula, <i>Pterocarpus tinctorius</i>)

Do you require more fields?

- Yes

Lion (<i>Panthera leo</i>)	Bushmeat - varies by country, but regionally relevant species include: impala (<i>Aepyceros melampus</i>), common duiker (<i>Sylvicapra grimmia</i>), warthog (<i>Phacochoerus africanus</i>), African buffalo (<i>Syncerus caffer</i>), harnessed bushbuck (<i>Tragelaphus scriptus</i>), red river hog (<i>Potamochoerus porcus</i>) and plains zebra (<i>Equus quagga</i>)
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No Response

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).

This project addresses the drivers of the low-risk environment that allows mid-and-high-level criminal actors to profit from IWT. There is global consensus that financial investigations should be applied to IWT (London Declarations, UNGA Assembly Resolution 73/343/2019, FATF 2020), but this is undermined by a lack of financial-investigation capacity in the public sector and a lack of high-quality financial intelligence to aid the private sector in detecting suspicious activity (RUSI, 2017/2020).

IWT generates \$7–23billion a year, yet the Financial Action Task Force’s (FATF) 2020 global IWT review concluded that financial intelligence is not ‘regularly or proactively collected, developed, and disseminated to initiate or support financial investigations into wildlife crimes’. Only 13/45 responding countries had received any IWT-related suspicious transaction reports since 2015 (FATF 2020). The Eastern and Southern Africa Anti-Money Laundering Group and Asia-Pacific Group have reported similar deficiencies in the application of financial tools to IWT (ESAAMLG 2016, APG/UNODC 2017).

Financial inaction makes East and Southern Africa a low-risk environment for wildlife criminals, evidenced by continued high levels of trafficking in elephants, rhinos, pangolins, big cats and high-value flora. Many wildlife populations are highly threatened; in 2008–2018, for example, Niassa National Reserve lost 72% of its elephants to poaching. IWT also dispossesses communities whose livelihoods rely on eco-tourism and natural resources, with the least-resilient members of society most heavily affected, and with women disproportionately represented amongst the global poor and reliant on natural subsistence resources (UN Women, 2020). At the macro level, Africa loses \$80-billion+ annually to illicit financial flows – dwarfing aid and foreign direct investment (UNTAD, 2020). This hollows out national institutions, feeds corruption and impedes provision of public services, jeopardising SDGs 1, 2, 8, 10, 13 and 16. Meanwhile, criminals and corrupt facilitators engaged in IWT are often involved in other organised crime types, amplifying these negative impacts (OECD, 2017).

Sustained capacity building in financial investigation and financial intelligence generation thus remains an urgent priority. This project will enhance public-sector capacity through multi-agency, train-the-trainer case review workshops to enable financial investigations and prosecutions using anti-money-laundering legislation in Malawi, Mozambique, Uganda and Zambia, thereby disrupting the ultimate beneficiaries of IWT. The project also seeks to develop new sources of financial intelligence for use by the public and private sector to better detect, report and investigate suspicious IWT-related financial activity. This intelligence is essential for private-sector institutions, who rely on typologies to identify and report ‘suspicious’ behaviour.

RUSI's previous Challenge Fund projects (IWT021/043) demonstrate that tailored capacity building increases the use of financial approaches. In this project, the four focus countries have been selected in light of expressed demand and need for further assistance in this regard. This assistance will build on previous progress: in 2017, Ugandan agencies charged an ivory-trafficking ring for money laundering; in 2020, Malawi successfully pursued a money-laundering charge in an IWT case (EIA, 2020). In all countries, support is required to generate new financial intelligence and initiate new investigations, with the closed-case review train-the-trainer format established in close consultation with all relevant agencies.

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.

In designing this project, we have closely analysed IWT-related financial-investigation initiatives in Malawi, Mozambique, Uganda and Zambia, including trainings and legally-tailored resources delivered by RUSI (IWT021/043), financial-investigation mentorship provided by the Basel Institute and intelligence-sharing support provided by UNODC, among others.

This project builds on these initiatives, none of which have analysed historic cases to provide new financial intelligence and support financial-investigation skills. Such cases are often prematurely closed due to a lack of knowledge on how and when to initiate financial investigations. This project's objective is therefore two-fold – first, to consolidate and advance financial-investigation skills within key agencies; and second, to generate new financial intelligence that can have tangible, present-day operational outcomes. Building on previous initiatives, the capacity-building workshops will assume a train-the-trainer format, allowing direct beneficiaries to upskill others within their agencies.

The methodology has been co-designed with government agencies in each country (see letters of support), and in-country NGOs supporting these agencies on a day-to-day operational basis, demonstrating political will and commitment within each country from the outset.

The project will be undertaken as follows:

Work Package 0 – Project Management

The project will be managed by RUSI and implemented in partnership with EIA, as well as in-country partners LWT (Malawi), WCP (Zambia) and WCS (Mozambique, Uganda), each of which has formalised long-term operational relationships across the key government agencies. In Uganda, RUSI will cooperate with WCS and NRCN, with whom we have an ongoing 5-year USAID IWT project. Support will also be provided by Refinitiv, Western Union and United for Wildlife. The Project Leader will be responsible for strategic direction, financial management and supervision of all partners, with PRINCE2 project-management principles and a defined M&E plan applied throughout.

Work Package 1 (Output 1) – Closed-Case Selection and Analysis

Case-selection criteria will be co-created with government agencies and in-country NGO partners to ensure cases are mid/high-level in terms of proceeds and volume of IWT products; have relevant missed financial opportunities; and links to active cases and criminal operators, among other factors. Record logs will be created; two cases per country selected; and case files securely transferred in line with defined data-sharing protocols. Each case will be analysed from a financial and gendered perspective, identifying missed sources of financial intelligence and opportunities for further investigation. Pre-workshop case briefings will then be produced and transferred to attendees.

Work Package 2 (Output 2) – Multi-Agency ‘Train-the-Trainer’ Closed Case Workshop Delivery

Based on the case briefings produced in Work Package 1, tailored 4-day ‘train-the-trainer’ workshops will be organised and delivered to at least 40 selected participants (10 per country) from relevant government agencies. Workshops will review the 2 cases per country, with capacity building focused on conducting the initial financial analysis and use of existing multi-agency taskforces to generate new financial intelligence. Modules will cover collection, sharing and reporting on financial intelligence, initiation of financial investigations, and facilitation of case reviews in future. All agencies will assign a dedicated ‘champion’ to upskill other actors in their agency. New financial intelligence will be shared with the private sector via secure, established intelligence-sharing pathways managed by EIA, the United for Wildlife Finance and Transport Taskforces and US Fish and Wildlife Service.

Work Package 3 (Output 3) – Publication of Best Practice in Reviewing Closed Cases and Publication of Gender/IWT Analysis

Best practice in using historic case reviews as a capacity-building and financial intelligence-generating exercise will be produced based on Work Packages 1 and 2. This will be transferred to at least 3 agencies per country (12 total) and published for global use as a 7,000-word report. Partner agencies will be involved in drafting and peer review, ensuring direct uptake and applicability to other LEDCs. This report will be accompanied by a 1,000-word open-access report on gender roles, offender profiles and gendered IWT impacts, based on findings from the gendered case review under Output 1, advancing the gender-IWT knowledge base. Both reports will be widely disseminated under Work Package 4 to improve financial investigation of IWT globally.

Work Package 4 (Output 4) – Delivery of Operational ‘Lessons Learned’ Forum, Public/Private-Sector Webinar and Dissemination of Findings

Best practice, case studies and findings will be dissected at a 1-day operational-level regional ‘lessons learned’ forum with public-sector participants from all focus countries. They will also be discussed at a separate 2-hour public/private-sector webinar, attended by key institutions across finance and logistics sectors in each country and internationally. The project will use a high-impact dissemination strategy, incorporating a dedicated local media and social-media component.

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.

Direct beneficiaries include a minimum of 40 participants in train-the-trainer workshops; 20 attendees of the 'lessons learned' forum; and 50 attendees of the public/private-sector webinar. All will benefit from improved capacity to conduct financial investigations, and generate and use financial intelligence to combat IWT. The number of direct beneficiaries and their increased capacity will be recorded through the M&E plan, with gender mainstreaming and inclusion of gender in measurable indicators ensuring these direct benefits accrue equally to female participants.

In all focus countries, multi-agency workshops will be attended by key officers in wildlife authorities, financial intelligence units, police, prosecution and anti-corruption authorities (and further locally specific agencies as requested). Participants will benefit from a comprehensive understanding of the local, regional and global financial-crime architecture; inter-agency roles in financial investigations; case selection criteria for financial investigations; and knowledge of how to initiate a financial investigation, generate financial intelligence and improve and benefit from private-sector reporting related to IWT.

Further beneficiaries will be reached through the regional 'lessons learned' forum, published best-practice outputs and public/private-sector webinar. Working with Refinitiv and the United for Wildlife Financial and Transport Taskforces, the project's findings will benefit money-laundering reporting officers in a minimum of 40 financial institutions. Specifically, participants in these activities will benefit from the sharing of best practice and strategies to overcome common challenges, dissemination of financial intelligence and strengthening of information-sharing mechanisms. These impacts will have wider benefits in terms of effective disruption of high-level IWT actors, since a low level of knowledge about IWT across the private sector currently impedes effective monitoring and reporting of suspicious activity to government agencies charged with investigation and prosecution.

Beyond this, increased capacity to generate and use high-quality financial intelligence will benefit a wide range of indirect beneficiaries, by strengthening the disruption of IWT and reduction of poverty through improved high-level investigations and prosecutions, redressing the disproportionate focus on low-level, easily replaceable and often financially vulnerable local poachers. This will contribute to reversing the damage caused by IWT-linked illicit financial flows, benefiting citizens across the focus countries through the resulting positive impacts on governance, rule of law and public finances. The skills and capacity built through the project will also enhance the potential for asset forfeiture of criminal gains – which will benefit citizens by increasing resources to support further anti-IWT efforts – a crucial contribution in all four Least Economically Developed Countries. Disrupting IWT will also contribute to species recovery thereby bolstering climate resilience and sustainable development opportunities for those most dependent on natural resource-based livelihoods, eco-tourism and agriculture, and least resilient to the impacts of climate change. This is especially relevant due to the decline in wildlife tourism and increase in poaching due to Covid-19.

Finally, the dissemination strategy will ensure that open-access, practical guidance and best practice in conducting multi-agency case reviews reaches global audiences, allowing broader beneficiaries of this strengthened evidence base to implement similar intelligence-generation and capacity-building exercises elsewhere.

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.

In accordance with the UK Gender Equality Act and SDG 5, gender is mainstreamed project-wide, such that activities 'do no harm' and positively impact gender equality, with indicators measuring and monitoring these impacts.

Notably, the project will build the evidence-base needed for improved, gendered counter-IWT programming. During case review, cases will be analysed from a gendered perspective to generate both case-specific intelligence and new evidence on gender roles, offender profiles and gendered IWT impacts. Findings published open-access will advance the gender-IWT knowledge-base: Gore and Agu (2020) note that IWT roles are 'almost never' gender-disaggregated, while Flora & Fauna (2018) observe 'significant gaps in [gendered] knowledge, policy and practice'.

In terms of capacity building, while partner agency demographics are beyond project control, at least 20% of trained-trainers will be women, with all participants benefiting from the same (60% minimum) increase in financial-investigation capacity. This will support female agency in IWT investigations, supporting equality of opportunity and access. At least 25% of 'lessons learned' forum and public/private-sector webinar attendees will be women. Meanwhile, mixed-gender authorship and peer review of published deliverables will ensure all perspectives are represented.

At macro-level, project Outcome and contribution to Impact will support the Mozambique and Uganda National Action-Plans on Women, Peace and Security (NAP-WPS) (2018-2022/2019-2022), and the UK NAP-WPS (2018-2022), of which Zambia and Malawi are beneficiaries. We apply an intersectional approach that understands gender as combining with other social identities in the focus countries such that women are overrepresented among the 'extreme poor' (UN Women, 2020). Reducing IWT-linked illicit financial flows will bring significant gender-equality benefits, with these flows entrenching poverty and degrading natural subsistence resources disproportionately relied on by women.

RUSI is a signatory to the UN Global Compact for Gender Equality, with 40% of the project team (across all partners) identifying as women.

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?

Malawi, Mozambique, Uganda and Zambia are source and transit countries for animal and plant species experiencing major, sustained losses to IWT. High-value species under threat include elephants, rhinos, pangolins, lions and high-value flora such as rosewood species. These countries contain protected areas of critical regional importance including Niassa, Luangwa and Kafue. Many have suffered major losses: in 2008-2018, Niassa National Reserve lost 72% of its elephants to poaching. In Zambia and Malawi, rosewood species including *Pterocarpus tinctorius* (mukula) are illegally harvested at industrial-scale decimating forests and inducing further environmental and socio-economic impacts. Malawi has had 100-ivory trafficking incidents since 2016.

By increasing the risk of financial interception and addressing the impunity enjoyed by high-level traffickers, the project will deter and disrupt involvement in IWT. By reopening closed cases, the project will provide new financial intelligence, increase enforcement capacity, and improve investigation and prosecution - contributing to a drop in poaching in transboundary ecosystems. This will support long-term recovery of

species such as elephants, as Proportion of Illegally Killed Elephant rates decline relative to birth rates. Finally, all countries act as key transit hubs; the greater financial risk involved in IWT will thus positively impact wildlife populations across the broader 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.

An effective pathway to change is ensured through impactful activities that achieve specified Outputs; through Outputs crafted to collectively achieve the project Outcome; and an Outcome that meaningfully contributes to long-term Impact.

Activities, first, are designed to both build financial investigation skills and enhance the global evidence base, in the form of new intelligence generated, new information on gendered impacts, and best practice in conducting closed-case reviews.

Together, these activities will achieve the four Outputs, ensuring a measurable increase in investigative capacity amongst beneficiaries, and published findings that allow global access to new evidence, implementation experiences and lessons learned in conducting case reviews and generating new financial intelligence.

These mutually reinforcing Outputs collectively achieve the Outcome of increasing enforcement capacity, creating new financial intelligence and financial-investigation skills, thus improving investigation and prosecution. This will contribute to Impact, whereby both IWT and poverty are reduced through a strengthened global evidence-base, improved public-sector enforcement action and private-sector disruption, deterring and disrupting high-level criminals.

The external validity of the pathway to change is supported by past projects IWT021/043, which demonstrated that evidence-based implementation activities (research, training and investigative support) led to improved enforcement action and capacity across public and private sectors.

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?

The project pathway to change is designed to ensure sustainable, long-term contributions beyond project end. The use of a train-the-trainer workshop methodology, notably, will enable direct beneficiaries to teach the same techniques in future, while the assignment of dedicated ‘champions’ will establish focal points for ongoing inter-agency coordination on financial investigations beyond project end. All in-country NGO partners are dedicated to advancing financial investigations in their ongoing operational support to key agencies. Post-project, they will monitor new/reopened cases; assist ‘champions’ in future financial investigations; and support best practice at national level. The documented best-practice report will be directly transferred to and embedded in the training departments of participating agencies, allowing the transfer of tools to new officers and ensuring sustainable project legacy. Meanwhile, the publication of this content open-access will ensure the case-review and intelligence-generation exercises conducted can be independently replicated elsewhere. In parallel, the ‘lessons learned’ forums will allow widespread uptake

of the resources and best practice generated beyond the focus countries. Finally, the involvement of key private-sector partners and the sharing of new intelligence through established private-sector support fora such as the United for Wildlife Taskforces positions the private sector strongly to act on this and future intelligence.

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

-
- [CF7 Problem Statement with Referencing](#)
 - 09/11/2020
 - 21:21:23
 - pdf 181.52 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.

-
- [Submission RUSI CF7 Budget over 100K May 2020 Final](#)
 - 10/11/2020
 - 10:20:20
 - xlsx 66.74 KB

Q24. Funding

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

- Development of existing work

Please provide details:

This intervention will not occur without funding from the IWT Challenge Fund. This is a demand-driven initiative conceived in response to continued knowledge and capacity gaps at a global-level and specifically within the Malawian, Mozambican, Ugandan and Zambian public sector (including wildlife, law enforcement,

financial intelligence unit, customs, justice agencies) and private sector (including financial institutions and other regulated entities) (see also Q16). The project builds directly on IWT021/043, which established and advanced the existing baseline (see letters of support). The use of multi-agency case reviews to generate new financial intelligence and financial investigation skills is unique to RUSI, having been piloted in Lao PDR by RUSI in 2019, funded by WWF's Innovation Fund. The exercise achieved multiple tangible objectives, including new inter-agency resourcing and high-level political leadership on IWT in Lao PDR. The exercise was deemed best practice by the FATF and further case reviews in IWT source and transit countries were recommended in its June 2020 report. Compliance with this recommendation will be assessed in 2021. RUSI is a global thought-leader in the application of financial investigations and this project complements ongoing RUSI IWT-projects in West and Central Africa and Southeast Asia.

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

Yes

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:

The FATF's 2020 IWT report showed global endorsement of the need for increased IWT-related financial investigations. This has resulted in significant interest but little public -and -private-sector enforcement action to date (London Declarations, UNGA Assembly Resolution 73/343/2019, FATF 2020). RUSI's in-country partners and co-funding contributors are therefore strategically chosen for their complementary ongoing work, expertise and dedication to supporting financial investigations in IWT cases. EIA, WCP and WCS have begun in-house programmes on financial crime since IWT043, working with local Financial Intelligence Units. United for Wildlife's Financial Taskforce supports 40+ global financial institutions to conduct intelligence-based monitoring and reporting of IWT-related suspicious transaction reports. With Western Union and Refinitiv's data analysis assistance, this project will continue to equip these financial institutions with new financial intelligence and provide tailored support to the newly established (2020) East and Southern Africa "Chapters" of the Taskforce. RUSI has close working relationships with other organisations running counter-IWT/finance programmes in the wider region, including the UN Office on Drugs and Crime, Basel Institute, East and Southern Africa Anti-Money Laundering Group (ESAAMLG), and Asset Recovery Inter-Agency Network for Southern Africa (ARINSA). RUSI will engage at the outset and throughout the project to deconflict and cooperate as appropriate.

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
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Refinitiv	██████	GBP	Co-financing will be contributed as staff time in the form of 12 expert data analyst days at a rate of £██████ per day devoted to the analysis of financial typologies and private-sector dissemination, amongst other activities (see Q13).
Western Union	██████	GBP	Co-financing will be contributed as staff time in the form of 8 days split between two expert financial intelligence unit staff devoted to financial analysis of relevant typologies and private sector dissemination, amongst other activities (see Q13).
Royal Foundation United for Wildlife Financial and Transport Taskforces	██████	GBP	Co-financing will be contributed as staff time in the form of 15 IWT expert staff days devoted to private-sector dissemination and facilitation of the Output 4 public/private-sector webinar, amongst other activities (see Q13).
Environmental Investigation Agency	██████	GBP	Co-financing will be contributed as fieldwork costs for Output 2 in Mozambique in Year 1, provided through a separate EIA project funded by USAID.

Do you require more fields?

- Yes
- 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
<i>No Response</i>	<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>
<i>No Response</i>	<i>No Response</i>	0	<i>No Response</i>	<i>No Response</i>

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.

In line with the FCDO's Research Open and Enhanced Access Policy (formerly DfID), the project will ensure that outputs are freely available online via www.rusi.org. RUSI is a UK charity (Registration Number 210639) and all of its IWT research is independently peer reviewed, open-access and published in the public interest. The project's tailored Access and Data Management Plan will be managed by the Project Leader. The principal written products delivered will be a 7,000-word best-practice report and 1,000-word report on gender/IWT dynamics, published online under a Creative Commons licence. Materials such as workshop agendas and training materials will be provided directly in hard and soft copy to all those trained and in-country partners. All materials will be professionally produced by RUSI's Publications Department and in-house graphic designers to ensure clarity and accessibility of written communication for the benefit of government agencies, researchers, civil society and others seeking to access the findings worldwide. RUSI's in-house Communications Department will create a multidimensional promotion and dissemination strategy to be co-executed with local input from all project partners. The strategy will use search engine optimisation to increase discovery and global uptake of research. The written products delivered will be added to R4D, The British Library and other repositories as appropriate. All materials will be produced to be accessible to users with poor connectivity. All published materials will be translated and made available in Portuguese for Mozambican audiences.

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.

RUSI has multiple levels of control and responsibility for monitoring and managing financial risk. An institutional-level risk register (financial and other) is maintained and updated by RUSI's Chief Operating Office and reviewed by the Finance and Performance Committee, a subcommittee of RUSI's Council of Trustees. RUSI has Cyber Essentials Plus accreditation and all financial data is stored securely, and password protected according to stringent data protection policies. RUSI is audited on an annual basis and reports to the Charity Commission for England and Wales.

A project-level risk assessment (RA) is performed at the outset and revisited at regular intervals documented in the M&E plan to record and mitigate for changing operating contexts (internal or external). The RA includes fraud, corruption, bribery and foreign exchange risk, among other risk factors. Project finance is managed by the Project Leader who instructs the Project Manager (both trained in PRINCE 2) to issue requests for payment to the Finance Department. All claims, including staff timesheets, are reviewed and signed by the Project Leader. The Head of Finance approves all expenditure before release. Partners must abide by RUSI's financial risk procedures and cannot execute transactions without written permission. No payments are made without proof.

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.

Not applicable.

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.

This project offers excellent value for money (VfM) through the extent of its direct and indirect beneficiaries; ability to achieve its ambitious outcome; contribution to SDGs 1, 2, 8, 10, 13, 15 and 16; high-quality activities; staff experience and expertise; and contribution to long-term impact relative to cost inputs.

The project sustainably builds on the solid foundations of RUSI's two previous Challenge Fund projects (IWT021/043). RUSI has previously trained members of all agencies who will be part of this project, so has unique insight into baseline capacity levels. This is reflected in the high number of letters of support (n=11). We are well-placed to leverage trust, relationships and convening power across public and private sectors to generate political will and participation amongst local government agencies.

80% of project staff worked on IWT043 and have recent experience in Malawi, Zambia, Mozambique and Uganda. Project staff know the appropriate price of all 'operating cost' and 'travel and subsistence' items. Long-term partnerships with in-country NGOs, staff retention and IWT043's recent conclusion in 2020 mean we can begin implementation on day one of funding. RUSI achieved A*- and A-grade reviews in IWT021/043 final evaluations, with final report reviewers commending their 'good' and 'high' VfM.

VfM is further evidenced by co-financing contributions from Refinitiv, United for Wildlife and Western

Union, contributing 11% of the total budget. This represents significant in-kind staff time from high-level experts who would not otherwise focus on these activities. Nonetheless, this intervention could not happen without Challenge Fund resourcing.

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?

RUSI, its in-country partners, consultant and co-financing contributors (hereafter "team") will meet all expected principles of good, ethical development project implementation practice. All legal and ethical principles in Malawian, Mozambican, Zambian, Ugandan and UK law and international law will be obeyed. In-country NGO leadership will ensure the perspectives, interests and well-being of those affected by the project (directly and indirectly) are addressed at all times.

'Do no harm' principles will guide all implementation. Case-selection criteria will be co-developed with government agencies and partner NGOs to ensure cases selected are appropriate, relevant and do not pose any risks to beneficiaries or the project team. All partners' historic knowledge of the operating context is essential. Workshop materials will be co-developed with in-country partners to ensure cultural and ethical appropriateness. The project's expert financial investigator has over 30 years' experience in UK policing; materials taught will conform to human-rights standards expected of UK law-enforcement. All train-the-trainer beneficiaries will be reviewed by NGO partners and nominated by government agencies.

The project will respect the team and beneficiaries' rights, privacy and safety. All activities will be based on free, prior informed consent (FPIC). Beneficiary identity will be confidential, prioritising safety and free discussion, particularly regarding corruption. The Project Leader will be responsible for the health and safety of the team all staff and direct beneficiaries. Risk assessments must be signed-off before all travel and implementation. Staff will be required to adhere to RUSI's strict fieldwork-safety protocols. Research credibility is guaranteed by academic-level independent peer review.

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.

As a registered UK charity, RUSI is committed to fair, honest and open conduct in accordance with local and international law. RUSI has a 'zero-tolerance' approach to fraud, bribery and other forms of corrupt behaviour amongst staff, consultants and partners, including active bribery (offering, promising or giving a bribe) and passive bribery (requesting, agreeing to receive or accepting a bribe). RUSI derives significant income from public funds and considers anti-corruption capacity-building activities a public interest. Contracts with consultants and in-country partners include as-standard an agreement to abide by RUSI's ethics statement and clear procedures for monitoring and reporting all instances of corruption. The consultant to this project is a long-term partner of RUSI who worked on IWT021/043 and understands standards expected in UK development projects. RUSI's ethics statement is publicly available on

www.rusi.org. Institutional-level corruption risks are recorded in RUSI's risk register, managed by the Chief Operating Officer and reviewed by the Council of Trustees. A project-level corruption risk assessment is completed at inception by the Research Ethics Committee and mitigation strategies are implemented and monitored by the Project Leader. If fraud or bribery are shown to have occurred, RUSI will take action, which may include termination and legal action.

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.

RUSI has Cyber Essentials Plus accreditation and all personal, financial and other data is stored securely and password protected according to stringent internal data protection policies. A project-level data security plan is will be created at the outset by RUSI's Database and Membership Manager, an accredited GDPR advisor. The Project Leader is responsible for data usage and implements and monitors the data security plan. Additional data security measures may, without limitation, include: restricting functions of software pending compliance training; in-software lock-down functions; and auditable access logs. Data storage and usage procedures are always commensurate to the level of risk, including measures referred to in Article 32 of the GDPR. Any Personal Data relating to criminal or corrupt actors is processed in accordance with GDPR and securely transferred to national and/or international enforcement agencies (such as Interpol or ICCWC, with whom RUSI has established relationships) for storage.

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.

RUSI applies its internal standards and policies to all project partner and sub-contractor activities. Sub-contractors are selected using RUSI Procurement Principles. All partners and sub-contractors are issued with contracts complying with RUSI's and the funder's policies, accompanied by detailed Terms of Reference (ToRs) for each appointment. Funder contract conditions and donor policies supersede internal policies in all cases. The performance of partners and contractors is assessed and measured against ToRs and payment made on delivery of individual outputs. Explanatory guidance and training is provided in writing and communicated consistently via regular meetings. The Project Leader and the Project Manager are responsible for ensuring that the sub-contractors adhere to RUSI and funder standards. Professional conduct and integrity is monitored at all times. RUSI has a zero-tolerance policy for contractual breaches and potentially corrupt behaviour, including fraud, bribery or inappropriate data handling. Unsatisfactory performance is subject to a turn-around period to seek performance improvement. If, after a period, little or no improvement has been made, notice to end the contract is given. Where there is any breach of contract, especially with regards to any of the required data security and anti-corruption policies, RUSI will terminate contracts with immediate effect.

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

- | | |
|-----------------------------------------------------------------------------------|---------------------------------------------------------------|
| <input type="checkbox"/> rusi ethics policy for research projects | <input type="checkbox"/> RUSI Code of Conduct |
| <input type="checkbox"/> 08/11/2020 | <input type="checkbox"/> 06/11/2020 |
| <input type="checkbox"/> 14:10:04 | <input type="checkbox"/> 17:29:03 |
| <input type="checkbox"/> pdf 155.86 KB | <input type="checkbox"/> pdf 240.9 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.

-
- [IWT_R7_St2_Logical_Framework_Template \[RUSI\]](#)
 - 10/11/2020
 - 08:25:43
 - pdf 126.06 KB

Impact:

A reduction in IWT and poverty alleviation in Malawi, Mozambique, Uganda and Zambia through more effective public-sector investigation and prosecution, and private-sector disruption, of financial crimes linked to IWT.

Outcome:

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

Project Outputs**Output 1:**

Mid-and-high level IWT cases (at least n=2 per country, <5 years old) are selected using defined criteria co-created with partner NGOs and government agency partners; case files are obtained and expert analysis conducted, in preparation for use in the train-the-trainer workshops in Output 2.

Output 2:

Four 4-day in-country 'train-the-trainer' workshops are delivered to at least 40 selected officers (10 per country) from key government agencies in Malawi, Mozambique, Uganda and Zambia, with participants demonstrably better able to effectively collect and share on financial intelligence, initiate financial investigations, and facilitate future case reviews; and with new financial intelligence shared with the private sector via dedicated intelligence-sharing pathways.

Output 3:

Best-practice in using closed case reviews to create new financial intelligence and build capacity in the financial investigation of IWT is collaboratively produced and published open-access through one universal 7,000-word RUSI report, which is transferred directly to at least three local government agencies per country (12 total), and widely globally disseminated. This is accompanied by the publication of a 1,000-word open-access report on gender roles, offender profiles and gendered IWT impacts, based on findings from the gendered case review under Output 1, advancing the gender-IWT knowledge base.

Output 4:

The practical implications of the project's best practice, case studies and findings are discussed at a 1-day operational-level regional 'lessons learned' forum with public-sector participants from Malawi, Mozambique, Uganda and Zambia, as well as at a separate 2-hour public/private-sector webinar, attended by key institutions across finance and logistics sectors in each country and internationally - with these events and broader distribution activities guided by a high-impact public dissemination strategy drafted and coordinated across all project partners.

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 Co-creation, tailoring and definition of case selection criteria in collaboration with partner NGOs and government partners to identify mid-and-high level IWT cases suitable for financial analysis.

1.2 Selection of 2 cases per country in line with criteria defined in Activity 1.1, creation of record logs (1 per country) of all mid-and-high level IWT cases selected, and facilitation of secure transfer of cases for expert analysis.

1.3 Analysis of cases from a financial perspective, identifying missed sources of financial intelligence and avenues for further investigation – with a gendered perspective used to consider cases from the point of view of gender roles and offender profiles, as well as gendered impacts.

1.4 Production of 2x pre-workshop case briefings per country, complete with 5 discussion questions per case, and dissemination of briefings to government partners.

2.1 Collaborative design and elaboration of agenda and capacity-building content for ‘train-the-trainer’ workshops to be delivered in each country, and sharing of final agendas with all project partners and relevant agencies.

2.2 Selection and invitation of financial, field and other officers from law-enforcement agencies in each country for ‘train-the-trainer’ workshops, confirming exact participants, venues and all other logistics.

2.3 Delivery of ‘train-the-trainer’ workshops in each country, and identification of one dedicated “champion” per agency to guide ongoing collaboration and coordination.

2.4 Sharing of financial intelligence resulting from workshops with the private sector, as agreed with participating agencies during workshops, using dedicated, secure intelligence-sharing pathways.

3.1 Analysis of lessons learned and identification of best practice in using closed case reviews as a capacity-building and financial-intelligence generating exercise, on the basis of project reporting, monitoring and evaluation during previous activities, in collaboration with partner organisations and participants.

3.2 Drafting of 1 7,000-word open-access report, laying out lessons learned and best practice in conducting historic case reviews as a capacity-building and financial-intelligence generating exercise with practice case studies.

3.3 Drafting of 1 open-access analysis of gender roles, offender profiles and gendered IWT impacts, based on findings emerging during the gendered case review under Output 1.

3.4 Formal professional editing, production and publication of 7,000-word best-practice report as a RUSI

Occasional Paper, and of 1,000-word report on gender and IWT as a shorter rusi.org output.

4.1 Drafting and production of a high-impact, multi-dimensional inter-regional dissemination strategy for the project's results, including strategy for disseminating the 7,000-word best-practice report and 1,000-word report on gender and IWT.

4.2 In line with the dissemination strategy produced under Activity 4.1, planning and convening of a 1-day operational-level regional 'lessons learned' forum with public-sector participants from Malawi, Mozambique, Uganda and Zambia.

4.3 In line with the dissemination strategy produced under Activity 4.1, planning and convening of a 2-hour public/private-sector webinar for key public and private (finance and logistics sector) actors, as well as national, regional and international stakeholders and donors.

4.4 In line with the dissemination strategy produced under Activity 4.1, design and deployment of a tailored social-media campaign coordinated across all project partners.

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_Templ](#)
[ate \[RUSI\]](#)
- 09/11/2020
- 21:33:42
- xlsx 15.01 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](#)).

RUSI's M&E systems are robust, results-orientated and individually-tailored to each project's requirements. RUSI has a range of procedures to ensure that high-quality information is captured and used to refine delivery from pre-submission to project closure. This guides results management, ensuring that Activities, Outputs and Outcomes are monitored, evaluated and delivered to a high standard.

On this project, RUSI will monitor and evaluate implementation using a dedicated M&E plan, incorporating any adjustments requested by the IWT Challenge Fund. The plan is designed to provide the team (including partners) with regular input throughout the life of the project in order to adjust activities to respond to feedback gathered.

RUSI guarantees that a project can achieve high-quality outcomes by ensuring that M&E is integrated into project design from the outset. All RUSI projects are peer-reviewed before submission by RUSI's Head of Research, Research Group Director and Bids and Contracts Manager. They validate the Pathway to Change, project design and M&E plan pre-submission and make recommendations for any improvements. This project has been assessed this way, ensuring that the information-gathering instruments necessary to conduct effective M&E are integrated from project outset.

This integration of M&E into project design will allow the project to be implemented in an adaptive manner to ensure achievement of Outputs and Outcomes. This process will involve regular reviews of the logframe – and an initial review (and potential updating) of pre-intervention indicators and assumptions to ensure an accurate base to measure progress. Throughout, data against SMART measurable indicators for all Outputs and Outcomes (as per the logframe) will be reviewed on a quantitative and qualitative basis – and additional indicators and risks considered. Data against Output- and Outcome-level assumptions detailed in the logframe will be reviewed in similarly. Both negative and positive developments will be measured and will inform potential adaptations to project delivery. FCDO M&E guidelines will direct this process, culminating in the final evaluation of the efficiency, effectiveness, relevance and sustainability of the intervention.

This process will be recorded carefully throughout the project, particularly since M&E itself is a core project output – in the generation of best-practice in using closed-case reviews to generate new financial intelligence and enhance financial-investigation skills, through the publication of a 7,000-word, open-access RUSI report (Output 3). Throughout, particular attention will be paid to monitoring the evolving Covid-19 pandemic and assessing any adjustments required to project delivery.

The effective execution of the M&E plan will be ensured through significant M&E staff time. An experienced expert, Andrew E Yaw Tchie, RUSI Senior Research Fellow and Obasanjo Fellow in African Security, will be responsible for all M&E under the project, using a mixed-method approach encompassing participant survey responses (per the logframe), to monitor change against the baseline. Andrew has extensive experience not only in M&E but also in the design and implementation of capacity-building projects in Africa, and will spend 51 person days on the project, accounting for a budget of £ [REDACTED]

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

Number of days planned for M&E 55

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

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.

Yes

Please outline and provide reasoning for any sensitivities that the Foreign and Commonwealth Office need to be aware of.

We would prefer the FCDO did not publicise the project so as to prioritise the notification of local partner agencies who are essential in the successful implementation of the project. Notifying them prior to RUSI's engagement could jeopardise the project. Publicity would be acceptable after the first two months of implementation.

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)

Section 14 - Certification

Q38. Certification

On behalf of the

trustees

of

Royal United Services Institute for Defence and Security Studies (RUSI)

I apply for a grant of

£282,484.00

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	Deborah Pourkarimi
Position in the organisation	Chief Operating Officer
Signature (please upload e-signature)	<input type="checkbox"/> RUSI Director General Letter with signature <input type="checkbox"/> 09/11/2020 <input type="checkbox"/> 21:43:21 <input type="checkbox"/> pdf 174.39 KB <input type="checkbox"/> Deborah Pourkarimi RUSI <input type="checkbox"/> 06/11/2020 <input type="checkbox"/> 17:08:28 <input type="checkbox"/> pdf 126.4 KB
Date	09 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.	Unchecked
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: **Application Ref IWTR7S1\1171: Case closed? Using historic cases to enable new financial investigations**

Project Summary	Measurable Indicators	Means of Verification	Important Assumptions
<p>Impact: A reduction in IWT and poverty alleviation in Malawi, Mozambique, Uganda and Zambia through more effective public-sector investigation and prosecution, and private-sector disruption, of financial crimes linked to IWT.</p> <p>(Max 30 words)</p>			
<p>Outcome:</p> <p>(Max 30 words)</p> <p>Multi-agency case reviews and globally-influential best-practice research increases enforcement capacity, creating new financial intelligence and generating train-the-trainer financial-investigation skills, improving IWT investigation and prosecution in Malawi, Mozambique, Uganda and Zambia.</p>	<p>0.1 By March 2022, all participants in closed case reviews in Malawi, Mozambique, Uganda and Zambia (at least 10 per country, n=40 total) have improved understanding of the dynamics of wildlife-linked illicit financial flows and enhanced capacity to effectively investigate and prosecute IWT from a financial perspective, as judged by pre- and post-workshop evaluation surveys.</p> <p>0.2 By March 2023, at least 12 (3 per country, n=12 total) government agencies in Malawi, Mozambique, Uganda and Zambia, and partners across the regional and international</p>	<p>0.1 Results of pre- and post-workshop evaluation surveys completed by participants; usage records of systems put in place during workshops; project notes and M&E record of implementation; participant contributions and feedback; internal law enforcement agency records; courtroom monitoring records.</p> <p>0.2 Correspondence with relevant government agencies; record of transferral of best practice to relevant agencies, regional and international stakeholders; records</p>	<p>The security situation – including the impact of Covid-19 – will allow project activities to take place in-country as planned.</p> <p>If any adjustments to project activities are required in light of the evolution of the coronavirus pandemic, the options to use technology and the involvement of established in-country partners will allow capacity-building activities to proceed.</p>

Project Title: **Application Ref IWTR7S1\1171: Case closed? Using historic cases to enable new financial investigations**

	<p>community, have access to dedicated best practice in conducting closed IWT case reviews to generate actionable new financial intelligence and increase capacity to use financial investigation tools to disrupt mid- and high-level IWT actors.</p> <p>0.3 New financial intelligence created and enhanced financial-investigation capacity results in agreement from lead law enforcement agencies in each country that criteria for acting on new intelligence have been met, allowing the initiation of operational progress on 4 cases reviewed. Supporting this, at least 4 (1 per country) financial intelligence reports on red flags for how traffickers operate in Malawi, Mozambique, Zambia and Uganda are transferred to the private sector, marking a significant shift from the current baseline of highly limited intelligence sharing by March 2023.</p>	<p>of agencies engaged in workshops; external surveys, analyses and needs assessments; usage records of best-practice systems put in place; social media; citations in relevant local, regional and national documents and policies; reference in media and academic studies.</p> <p>0.3 Records and reports of law-enforcement agencies; project records; partner records; documented exchanges between project team and lead investigating agencies; records of use of intelligence-sharing pathways; record of engagement with private sector institutions; newspaper articles; prosecution rates; court records; courtroom monitoring reports; assessments by external research institutes and NGOs; journal articles in law and environmentally focused journals.</p>	<p>The Malawian, Mozambican, Zambian and Ugandan governments remain committed to improving their anti-money laundering/anti-financial crime regimes to meet international standards and to counter IWT.</p> <p>Government partners remain willing to provide accurate case records under agreed data-sharing parameters.</p> <p>Government partners remain willing to engage in multi-agency case reviews and act upon new intelligence generated to reopen cases for further investigation.</p> <p>Private sector institutions see the value in engaging on financial intelligence reports on high-level traffickers operating in the focus</p>
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Project Title: **Application Ref IWTR7S1\1171: Case closed? Using historic cases to enable new financial investigations**

			countries, as shared through established intelligence-sharing pathways.
<p>Outputs:</p> <p>1. Mid-and-high level IWT cases (at least n=2 per country, <5 years old) are selected using defined criteria co-created with partner NGOs and government agency partners; case files are obtained and expert analysis conducted, in preparation for use in the train-the-trainer workshops in Output 2.</p>	<p>1.1 Tailored, formally defined case selection criteria are co-created with government and NGO partners in each country according to local priorities by March 2022 (n= 4 criteria sets, 1 per country).</p> <p>1.2 Four internal record logs of all mid-and-high level IWT cases suitable for review (1 per country) are created (based on defined criteria in MI 1.1) and 8 cases (2 per country) selected for financial analysis by March 2023.</p>	<p>1.1 Correspondence with relevant law enforcement agencies and NGO partners; project notes and records; M&E records; internal reports of the relevant agencies; records of circulation of case selection criteria.</p> <p>1.2 Project notes and records; internal record logs; internal reports of the relevant agencies; internal databases; correspondence with relevant law enforcement agencies and NGO partners; evidence of circulation of record logs.</p>	<p>The Covid-19 pandemic will have limited impact on this Output, given the presence and involvement of established in-country partners and the predominantly internet-based nature of the relevant activities.</p> <p>At least two mid/high-level cases in Malawi, Mozambique, Zambia and Uganda are suitable for multi-agency review.</p> <p>Government partners in each country can mutually agree suitable criteria for case selection.</p>

Project Title: **Application Ref IWTR7S1\1171: Case closed? Using historic cases to enable new financial investigations**

	<p>1.3 All 8 cases are analysed from a financial perspective, identifying missed sources of financial intelligence and avenues for further investigation by March 2023. A gendered perspective is used in the analysis in all 8 case to generate new intelligence about gender roles and offender profiles, as well as gendered impacts by March 2023.</p> <p>1.4 On the basis of this analysis, pre-workshop case briefings (n= 2 per country, 8 total) are produced and disseminated to partner agencies (minimum 15 agencies) with at least n=5 discussion questions per case by March 2022.</p>	<p>1.3 Written internal analysis of financial and gendered dynamics; project notes and records; M&E records.</p> <p>1.4 Written case briefings; correspondence with relevant agencies and NGO partners; project notes and records; M&E records; reports of the relevant agencies; record of questions agreed and documented on each case.</p>	<p>Partner agencies remain willing and able to share historic case files and candidly discuss the details of mid/high-level cases.</p>
<p>2. Four 4-day in-country ‘train-the-trainer’ workshops are delivered to at least 40 selected officers (10 per country) from key government agencies in Malawi, Mozambique,</p>	<p>2.1 Number of days of multi-agency train-the-trainer closed case reviews (4 days per country, n=16 total) which provide at least 40 relevant actors (10 per country, n=40 total,</p>	<p>2.1 Number of days of multi-agency historic case review training provided in Malawi, Mozambique, Uganda and Zambia (baseline = IWT021/IWT043, 7 days per</p>	<p>The security situation – including the impact of Covid-19 – allows the workshops to take place in-country as planned. Options for virtual components can be agreed with</p>

Project Title: **Application Ref IWTR7S1\1171: Case closed? Using historic cases to enable new financial investigations**

<p>Uganda and Zambia, with participants demonstrably better able to effectively collect and share on financial intelligence, initiate financial investigations, and facilitate future case reviews; and with new financial intelligence shared with the private sector via dedicated intelligence-sharing pathways.</p>	<p>25% women) from at least 3 government agencies in Malawi, Mozambique, Zambia and Uganda (n=12 agencies total) with new skills and expertise by March 2022.</p> <p>2.2 A 60% increase is evident in pre-and-post workshop capacity in terms of the skills required to effectively investigate illicit financial flows linked to IWT and prosecute on this basis, as measured by pre- and post-workshop evaluation surveys by March 2023.</p> <p>2.3 All agencies involved in training (n=12 agencies total) identify and assign 1 dedicated “champion” to guide ongoing collaboration and coordination between trainees in relation to the training delivered by March 2023, with 100% of all participants identifying as ‘trained trainers’.</p>	<p>country) to at least 40 individuals from at least 3 public-sector agencies; project notes and M&E record of workshops; participant feedback; internal agency reports; results of pre- and post-workshop evaluation surveys; procurement records; receipts; certificates of completion.</p> <p>2.2 Project notes and M&E record of implementation of workshops; participant feedback; internal agency reports; results of pre- and post-workshop evaluation surveys.</p> <p>2.3 Project notes and M&E record of implementation and results of training showing appointment of champions; internal agency records; email correspondence with appointed champions.</p>	<p>partners as required, and workshops can proceed on this basis if required, in light of involvement of established in-country partners and ability to use secure technology to deliver key content.</p> <p>Direct beneficiaries will have sufficient capacity to absorb and implement new approaches and will remain open to inter-agency co-operation.</p> <p>Relevant public-sector agencies see the value of participation in the project and remain prepared to engage.</p> <p>Relevant private-sector institutions see the value of participation in the project and remain prepared to engage on intelligence shared via</p>
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	<p>2.4 By March 2023, new financial intelligence generated during case reviews and workshops is shared with the private sector using established, secure intelligence-sharing pathways, in the form of 4 red flag intelligence briefings (1 per country) reaching a minimum of 40 private-sector institutions.</p>	<p>2.4 Internal private-sector records; internal records of use of intelligence-sharing pathways; documentation of briefings for sharing; internal private-sector distribution and membership lists; project records; M&E record of implementation; email correspondence.</p>	<p>established intelligence-sharing pathways.</p> <p>Capacity-building efforts will be sufficiently dynamic to respond to any legislative and regulatory changes at the national and regional levels.</p> <p>In-depth knowledge and institutional familiarity on the part of in-country partners allows selection of suitable participants in multi-agency workshops.</p>
<p>3. Best-practice in using closed case reviews to create new financial intelligence and build capacity in the financial investigation of IWT is collaboratively produced and published open-access through one universal 7,000-word RUSI report, which is transferred directly to at</p>	<p>3.1 By March 2023, one universal, globally relevant 7,000-word RUSI report is produced on best practice in conducting historic case reviews, with practice case studies, which reaches at least 500 readers (25% from non-EU IP addresses).</p>	<p>3.1 Publication record; rusi.org website pages; internal editorial records and version histories; project documentation; citations in newspaper articles, journal articles and social media.</p>	<p>The Covid-19 pandemic will have limited impact on this Output, given the presence and involvement of established in-country partners and the predominantly internet-based nature of the relevant activities.</p>

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<p>least three local government agencies per country (12 total), and widely globally disseminated. This is accompanied by the publication of a 1,000-word open-access report on gender roles, offender profiles and gendered IWT impacts, based on findings from the gendered case review under Output 1, advancing the gender-IWT knowledge base.</p>	<p>3.2 By March 2023, all workshop participants and ‘champions’ (n=10 individuals per country) are directly provided with documented best-practice, and acknowledge receipt of the resources.</p> <p>3.3 The best practice is formally recognised by national agencies by March 2023 (n=8 total), where there had previously been little in the way of recognised evidence or recommendations to feed into priority setting and policy making for financial analysis strategies against IWT (baseline = RUSI previous research, ESAAMLG, APG and FATF June 2020 report.)</p> <p>3.4 By March 2023, 1 open-access analysis of gender roles, offender profiles and gendered IWT impacts is</p>	<p>3.2 Project notes; Malawian, Mozambican, Ugandan and Zambian law-enforcement and policy documents; documented email exchanges with the relevant national agencies; CITES NIAP reports; M&E records.</p> <p>3.3 Project notes; Malawian, Mozambican, Ugandan and Zambian law-enforcement and policy documents; documented email exchanges with the relevant national agencies; CITES NIAP reports; M&E records.</p> <p>3.4 Publication record; rusi.org website pages; internal editorial records and version histories; website report accessed rates and analytics; project documentation; citations in newspaper articles, journal articles and social media;</p>	<p>All relevant authorities remain happy to continue to extend permission to use sanitised and anonymised case material in public best practice findings.</p> <p>Government partners remain willing to participate in production of best practice, peer review draft of best practice report and provide feedback.</p> <p>A gendered analysis of the selected cases produces valid, reliable and significant findings of relevance and use to a regional and global audience.</p>
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Project Title: **Application Ref IWTR7S1\1171: Case closed? Using historic cases to enable new financial investigations**

	<p>published on rusi.org, viewed by an audience of at least 1,000 readers by March 2023.</p>	<p>media reporting; private-sector reporting.</p>	
<p>4. The practical implications of the project’s best practice, case studies and findings are discussed at a 1-day operational-level regional ‘lessons learned’ forum with public-sector participants from Malawi, Mozambique, Uganda and Zambia, as well as at a separate 2-hour public/private-sector webinar, attended by key institutions across finance and logistics sectors in each country and internationally – with these events and broader distribution activities guided by a high-impact public dissemination strategy drafted and coordinated across all project partners.</p>	<p>4.1 By March 2023, one high-impact public dissemination strategy is drafted and approved, with roles assigned to all project partners, incorporating social media, regional ‘lessons learned’ forum hosting and public/private-sector webinar components.</p> <p>4.2 By March 2023, at least 20 selected participants attend regional ‘lessons learned’ forum (n=20 total), with at least 50% speakers/presenters during the day deriving from the focus countries, of which 35% of those attending identify as female.</p>	<p>4.1 Drafts of dissemination strategy; documented final dissemination strategy; internal records of RUSI Communications Department; social-media campaign planning records; email exchanges between partners with regard to dissemination strategy; project records; M&E records.</p> <p>4.2 ‘Lessons learned’ forum agendas; correspondence with participants and speakers; project M&E records; invitations issued over email; partner project records; pre-and -post forum surveys; presentation slides; pictures and screen grabs.</p>	<p>The security situation – including the impact of Covid-19 – allows the regional forum to take place as planned. Options for virtual components can be agreed with partners as required, and the forum can proceed on this basis if required, in light of involvement of established in-country partners and ability to use secure technology to deliver key content.</p> <p>Key public-sector agencies continue to see the value and remain sufficiently committed to the project to attend the operational-level regional ‘lessons learned’</p>

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	<p>4.3 By March 2023, private and public sector institutions (at least 15 private sector and 15 public sector institutions, n=50 individuals total, at least 50% from within the focus countries) attend one 2-hour webinar on the results of the project, of which 35% of those attending identify as female.</p> <p>4.4 By March 2023, participants from the public and private sector (at least 50 individuals total) express a 75% satisfaction rate with the 'lessons learned' forum and webinar, with 100% of participants directly contacted (if GDPR compliant) with a link to an anonymous survey for feedback.</p>	<p>4.3 Webinar agenda; webinar recordings; project M&E records; invitation database; correspondence with participants and speakers; partner project records; pre-and -post webinar surveys; pictures and screen grabs.</p> <p>4.4 Results of pre- and post-engagement questionnaires; project records; correspondence with attendees; collated informal feedback; social media comments.</p>	<p>forum and public/private-sector webinar.</p> <p>Participants have stable internet connections allowing participation in the public/private-sector webinar.</p> <p>Relevant private-sector institutions continue to see the value of participation in the project and remain prepared to engage in the public/private-sector webinar.</p>
<p>Activities (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)</p>			

Project Title: **Application Ref IWTR7S1\1171: Case closed? Using historic cases to enable new financial investigations**

1.1 Co-creation, tailoring and definition of case selection criteria in collaboration with partner NGOs and government partners to identify mid-and-high level IWT cases suitable for financial analysis.

1.2 Selection of 2 cases per country in line with criteria defined in Activity 1.1, creation of record logs (1 per country) of all mid-and-high level IWT cases selected, and facilitation of secure transfer of cases for expert analysis.

1.3 Analysis of cases from a financial perspective, identifying missed sources of financial intelligence and avenues for further investigation – with a gendered perspective used to consider cases from the point of view of gender roles and offender profiles, as well as gendered impacts.

1.4 Production of 2x pre-workshop case briefings per country, complete with 5 discussion questions per case, and dissemination of briefings to government partners.

2.1 Collaborative design and elaboration of agenda and capacity-building content for ‘train-the-trainer’ workshops to be delivered in each country, and sharing of final agendas with all project partners and relevant agencies.

2.2 Selection and invitation of financial, field and other officers from law-enforcement agencies in each country for ‘train-the-trainer’ workshops, confirming exact participants, venues and all other logistics.

2.3 Delivery of 'train-the-trainer' workshops in each country, and identification of one dedicated "champion" per agency to guide ongoing collaboration and coordination.

2.4 Sharing of financial intelligence resulting from workshops with the private sector, as agreed with participating agencies during workshops, using dedicated, secure intelligence-sharing pathways.

3.1 Analysis of lessons learned and identification of best practice in using closed case reviews as a capacity-building and financial-intelligence generating exercise, on the basis of project reporting, monitoring and evaluation during previous activities, in collaboration with partner organisations and participants.

3.2 Drafting of 1 7,000-word open-access report, laying out lessons learned and best practice in conducting historic case reviews as a capacity-building and financial-intelligence generating exercise with practice case studies.

3.3 Drafting of 1 open-access analysis of gender roles, offender profiles and gendered IWT impacts, based on findings emerging during the gendered case review under Output 1.

3.4 Formal professional editing, production and publication of 7,000-word best-practice report as a RUSI Occasional Paper, and of 1,000-word report on gender and IWT as a shorter rusi.org output.

4.1 Drafting and production of a high-impact, multi-dimensional inter-regional dissemination strategy for the project's results, including strategy for disseminating the 7,000-word best-practice report and 1,000-word report on gender and IWT.

4.2 In line with the dissemination strategy produced under Activity 4.1, planning and convening of a 1-day operational-level regional 'lessons learned' forum with public-sector participants from Malawi, Mozambique, Uganda and Zambia.

4.3 In line with the dissemination strategy produced under Activity 4.1, planning and convening of a 2-hour public/private-sector webinar for key public and private (finance and logistics sector) actors, as well as national, regional and international stakeholders and donors.

4.4 In line with the dissemination strategy produced under Activity 4.1, design and deployment of a tailored social-media campaign coordinated across all project partners.