



Department  
for Environment  
Food & Rural Affairs



# Illegal Wildlife Trade Challenge Fund

## Guidance Notes for Applicants – Round 7

May 2020

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# 1 Summary

These guidance notes provide information on:

- what can be funded by the Illegal Wildlife Trade (IWT) Challenge Fund
- how to apply to the IWT Challenge Fund
- the process used to select projects for funding

Applicants should also read the Finance Guidance - [Finance for Darwin/IWT](#) - which explains:

- what budgetary information you need in your application
- how the payments will be made if your application is successful, and how you should manage your budget
- when reporting is due and how it is linked to payments

Applications to the IWT Challenge Fund Round 7 are through the online application portal Flexi-Grant at [ltsi.flexigrant.com](https://ltsi.flexigrant.com). On the portal there is additional guidance to support applications through Flexi-Grant, as well as the relevant guidance documents. Important information and all key documents can also be accessed on [GOV.UK](https://gov.uk).

Please read these guidance notes, the Flexi-Grant guidance note, and the [Finance for Darwin/IWT](#) guidance before requesting additional assistance, as these provide answers to most queries. If you can't find the answer, please contact the IWT Challenge Fund Administration team:

Email: [IWT-Fund@LTSi.co.uk](mailto:IWT-Fund@LTSi.co.uk)

Telephone: + 44 (0) 131 440 5506

For queries specific to using the Flexi-Grant system, email: [Flexigrant@LTSi.co.uk](mailto:Flexigrant@LTSi.co.uk)

## 2 Introduction

As set out in the Government's 25 Year Environment Plan<sup>1</sup>, the UK Government is committed to tackling the illegal wildlife trade. As well as the devastating consequences for biodiversity, the illegal wildlife trade is a serious criminal industry worth billions of pounds, which damages local communities and undermines development in some of the world's poorest countries.

This Challenge Fund is a key part of the UK's efforts. It is a competitive grant scheme, funded by Defra and DFID, open to projects aiming to tackle the illegal wildlife trade in developing countries.

The Challenge Fund is already supporting 85 projects around the world, with a value of over £26 million. Round 7 of the IWT Challenge Fund is open to applications from 22 May until Tuesday 14 July 2020.

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<sup>1</sup> <https://www.gov.uk/government/publications/25-year-environment-plan>

## 3 What kind of projects can be supported by the IWT Challenge Fund?

### 3.1 Objectives of the fund

The objective of the IWT Challenge Fund is to tackle the illegal wildlife trade and in doing so, to contribute to sustainable development in developing countries, through projects which address one, or more, of the following themes:

1. Developing sustainable livelihoods to benefit people directly affected by IWT
2. Strengthening law enforcement
3. Ensuring effective legal frameworks
4. Reducing demand for IWT products

As part of its contribution to sustainable development, the IWT Challenge Fund aims to build local capacity to tackle IWT.

Projects should be able to demonstrate a link to one, or more, of the commitments set out in the 2014 London Declaration and the Kasane Statement, and reaffirmed at the Hanoi Conference and 2018 London Conference. Further information about these documents, and the most relevant commitments, are listed in [Annex A](#).

There are certain types of project which will play a significant role in achieving these objectives. Further information about this is in [Section 4](#) on [Priority areas for funding](#).

### 3.2 Supporting poverty reduction

The budget for the IWT Challenge Fund is from the UK's Official Development Assistance. Projects funded under the IWT Challenge Fund must therefore support sustainable development in developing countries for the reduction of poverty. Details of the countries eligible for assistance are given in [Section 3.3](#) below.

Poverty is multi-dimensional and not solely about a lack of money. It encompasses a range of diverse issues that are required to fulfil basic needs and better one's life with dignity. These are often country and context specific and include health, education, clean water and sanitation, access to natural resources, gender and social equality, and a voice in decision making, as well as economic assets. There are, therefore, many different ways of defining a project's contribution to poverty reduction, and approaches will differ from project to project. The Sustainable Development Goals provide a good lens through which to consider the elements of poverty your proposal is seeking to address.

The contribution of IWT Challenge Fund projects to addressing poverty may be:

- direct e.g. through activities that help secure increased income for local communities, and therefore reduce the need to generate income through poaching, or through providing access to important assets for local communities whilst helping them to tackle the illegal wildlife trade
- indirect e.g. through safeguarding traditional rights, cultural values and increasing the voice of marginalised communities, while seeking to increase equality within communities, or improved security through capacity building of local enforcement agencies
- through practice orientated research e.g. through activities that expand the knowledge base on IWT and poverty

Projects should look systematically at the relationship between poverty and the illegal wildlife trade. Project designs should explicitly consider how planned project activities to reduce the illegal wildlife trade relate to poverty or to the efforts of people and/or states to alleviate poverty.

Engagement with other organisations involved in broader development activities in the location covered by the project may help with understanding and demonstrating likely impact on the dimensions of poverty that are of most significance.

Projects should also ensure that new assets provided do not lead to increased inequality within communities, including between genders. For example, new rights to own or use land should be as equal as possible among men and women. Projects should therefore be designed based on thorough context analysis, identifying social, economic, cultural and political risks and opportunities. Social inclusion analysis can help to identify groups such as women and girls and people with disabilities who may face exclusion within communities and who can be empowered through project activity.

The anticipated impacts on reducing poverty should be reflected in the results reporting (logframe) of your proposed project. Further guidance about the results reporting/logframe is provided in **Annex B** at the end of this document.

If your project is focused on **demand reduction**, it can be harder to make a direct link between your project and the reduction of poverty. These projects should clearly demonstrate their indirect links to poverty reduction, for example, by clearly identifying the poverty and conservation impacts in the source countries resulting from the demand reduction activities.

A recent information note, called [Poverty and the Darwin Initiative](#), might help you understand the multiple dimensions of poverty and how conservation projects can meaningfully contribute to economic development and welfare of people in developing countries.

### 3.3 Countries eligible for support

**Table 1** below summarises all the countries eligible for IWT Challenge Fund support. All countries in columns one to three are eligible.

From this list, further prioritisation of proposed projects will be made to ensure that funding is targeted where its impact can be greatest, for example through targeting those countries with the least capacity to support themselves – please see **Section 4.6** below.

The countries in the fourth Column are classed as “Upper Middle Income Countries” (UMICs) by the OECD. They are eligible for the IWT Challenge Fund funding if the application clearly demonstrates that the project will either:

- advance knowledge, evidence and impact in **Least Developed or Low Income Countries** either within the same region or other regions
- contribute to the **global public good**, for example by advancing understanding and/or strengthening the knowledge base related to wildlife trade/sustainable use and poverty reduction
- contribute to **serious and unique advancements** on a critical issue of benefit to low income countries as a result of specific circumstances of the UMIC that could not be made elsewhere

Applications will need to be clear if the UMIC project would provide co-financing and if not, why not.

The justification for funding in a UMIC should be presented in the methodology as well as in the logframe, clearly identifying where there are clear benefits to low income countries and people.

**Table 1: IWT Challenge Fund Eligible Countries**

<b>Least Developed Countries</b>	<b>Other Low Income Countries</b>	<b>Lower Middle Income Countries</b>	<b>Upper Middle Income Countries</b>
Afghanistan Angola Bangladesh Benin Bhutan Burkina Faso Myanmar (Burma) Burundi Cambodia Central African Rep. Chad Comoros Congo, Dem. Rep. Djibouti Eritrea Ethiopia Gambia Guinea Guinea-Bissau Haiti Kiribati Laos Lesotho Liberia Madagascar Malawi Mali Mauritania Mozambique Nepal Niger Rwanda São Tomé & Príncipe Senegal Sierra Leone Solomon Islands Somalia South Sudan Sudan Tanzania Timor-Leste Togo Tuvalu Uganda Vanuatu Yemen Zambia	Korea, Democratic People's Republic Zimbabwe	Armenia Bolivia Cameroon Cape Verde Congo, Rep. Côte d'Ivoire Egypt El Salvador Georgia Ghana Guatemala Honduras India <sup>2</sup> Indonesia Jordan Kenya Kyrgyzstan Micronesia, Federated States Mongolia Morocco Nicaragua Nigeria Pakistan Papua New Guinea Philippines Sri Lanka Swaziland Syria Tajikistan Tokelau Tunisia Uzbekistan Viet Nam Occupied Palestinian Territories	Algeria Belize Botswana Brazil China Colombia Costa Rica Cuba Dominica Dominican Republic Ecuador Equatorial Guinea Fiji Gabon Grenada Guyana Iran Iraq Jamaica Kazakhstan Lebanon Libya Malaysia Maldives Marshall Islands Mauritius Mexico Namibia Nauru Niue Paraguay Peru Samoa South Africa St Lucia St Vincent & the Grenadines Suriname Thailand Tonga Turkey Turkmenistan Venezuela Wallis and Futuna

<sup>2</sup> Please note that only projects based in the 8 poorest states in India are eligible for funding through this scheme - Bihar, Madhya Pradesh, Orissa, Uttar Pradesh, Rajasthan, Jharkhand, Chhattisgarh and West Bengal

## 4 Priority areas for funding

We will assess eligible applications against criteria that reflect the UK Government's priorities, as described in this section.

### 4.1 The themes

The objective of the IWT Challenge Fund is to tackle the illegal wildlife trade and in doing so, to contribute to sustainable development in developing countries, through projects which address one, or more, of the themes listed in 3.1.

For each of those themes, we are keen to see projects which address the following issues:

- **developing sustainable livelihoods, especially by:**
  - supporting alternatives to engaging in the illegal wildlife trade
  - encouraging community led wildlife conservation, including retention of benefits within local communities
  - addressing the challenges of human-wildlife conflict
- **strengthening law enforcement, especially by:**
  - addressing corruption
  - preventing illicit financial flows from the illegal wildlife trade
  - improving law enforcement and border control in key source, transit and destination countries
  - improving transnational cooperation on border control
- **ensuring effective legal frameworks, especially by:**
  - working to ensure that other governments have effective legislation in place
  - improving judicial prosecution processes in IWT cases
  - ensuring there are strong penalties in place for IWT
- **reducing demand for IWT products, especially by:**
  - integrating behaviour change approaches to ensure that interventions move beyond raising awareness
  - working with businesses to keep IWT products out of the supply chain
  - establishing partnerships between source, transit, and destination countries

### Covering more than one theme

If a project addresses more than one of the themes, it must be clear how the different elements integrate into one project with clear objectives and deliverables.

We want good quality projects with a clear focus – applications covering more than one theme will not necessarily score more in the assessment process.

## 4.2 Transboundary projects

Borders can often be hotspots for the illegal wildlife trade. At the 2018 London IWT Conference DFID pledged an additional £6 million to the Challenge Fund. These funds will help support the development of cross-border “Green Corridors” for wildlife protection, by supporting an integrated approach to tackling IWT, whilst also supporting actions that will bring economic and security benefits for communities.

For Round 7, we would therefore particularly welcome applications for projects working across borders, reflecting the importance of landscape scale approaches for achieving our objectives. We would particularly welcome transboundary projects based in Africa that have significant buy-in from the relevant government bodies.

## 4.3 COVID-19

While the full impact of Covid-19 outbreak on the illegal wildlife trade remains uncertain, there is potential for it to lead to a significant increase in pressure on endangered species, including through reduced enforcement capacity and increased poverty, and as organised crime networks look to exploit the crisis. It is also likely that any impacts will vary over time as the outbreak progresses, and between countries and regions as determined by their capacity to respond. While projects are not required to directly address Covid-19 in their application, if applicable, please state how your Challenge Fund proposal responds to the emerging impacts of the Covid-19 outbreak, by:

- Responding to the immediate impacts of the Covid-19 outbreak;
- Aiding longer-term recovery from the Covid-19 outbreak; and/or
- Mitigating any risks from future zoonotic disease outbreaks.

## 4.4 Species

We want to support projects:

- covering species which are experiencing major losses due to the illegal trade, or which are highly vulnerable to the illegal trade, **and/or**
- where the illegal trade of a species is having a significant negative impact on communities, and where the loss of such species represents a serious threat to the communities’ current and future opportunities for sustainable development

The IWT Challenge Fund will support action related to all fauna threatened by the illegal wildlife trade.

The Challenge Fund will also support action related to all flora threatened by the illegal wildlife trade, for example medicinal plants (e.g. hoodia, ginseng and costus) and

ornamental plants (e.g. orchids, cacti and cycads). Timber projects are eligible, however these should address illegal wildlife trade and the objectives of the IWT Challenge Fund. We are very keen to support projects working on flora in the next round, and this will be a factor in selecting projects for funding.

## 4.5 Project type

We want the fund to make a real difference to tackling the illegal wildlife trade on the ground, through practical action. Where projects involve an element of research, it should be clear how this research will be applied.

We would be interested to see projects that pursue new and innovative approaches that could be “game-changing” in terms of tackling the trade.

We would also be interested to support projects that involve the private sector and demonstrate the financial viability of private investments in tackling IWT.

Projects addressing domestic illegal trade are eligible provided they are targeting a globally threatened species, and it is trade which is threatening the species. The relevant domestic legislation must be specified in the application.

However, we will give preference to projects whose work aims to reduce cross-border illegal trade, reflecting the role of IWT as an international serious organised crime.

## 4.6 Locations

We want to use the fund in countries where the impact will be greatest. In particular, we want to prioritise support towards key source countries for illegal wildlife products where poaching is having a negative impact both economically, socially and environmentally, and where capacity to tackle poaching is low.

Projects which are focused on particular regions within a country are eligible - projects do not have to be country-wide.

Projects can also involve more than one country - we would welcome projects which address the need for cross-border action.

Project applications are more likely to succeed if they are working in countries which demonstrate one, or more, of the following characteristics:

- high levels of poverty, where there is an opportunity to maximise the economic and social value of species to both strengthen community development and reduce poverty, and protect and conserve key species
- relatively high populations of key species of economic/social importance (i.e. species which are experiencing major losses due to the illegal trade, or which are highly vulnerable to the illegal trade), or species of high biodiversity value, where the loss of such species represents a serious threat to the communities' current and future opportunities for sustainable development

- an ideal location to test new approaches potentially of benefit to a wider number of places, as there is strong government and/or stakeholder support
- the country acts as both a source and transit hotspot
- the country acts as both a transit and market hotspot

For demand reduction projects, our priority is to support action in countries where the market demand for products from species under threat from the illegal wildlife trade is greatest, and where there is a clear link between demand for particular products and illegal poaching in low income countries.

# 5 Project requirements

## 5.1 Size and length of project

We welcome a diverse range of applications to the Fund.

We expect proposals to range between £50,000 and £600,000. Proposals above the upper threshold will only be considered in exceptional circumstances if the additional funds can be fully justified in the proposal noting that overall funding in any given year is limited.

Project budgets should preferably show an even spread over the funding period and should not as a general rule be front-loaded as this restricts the number of new projects that can be awarded in any year.

The minimum length of a project is 1 year and the maximum length is 3 years. Any budget commitment must end by 31 March 2024.

Applicants for the seventh Round of the IWT Challenge Fund:

- should plan to start on or after 1 April 2021. You cannot start earlier and it is unlikely the final list of projects will be accepted until March 2021 at the earliest
- must ensure their budget commitments end by 31 March 2024.

**Budgets are allocated by financial year (1 April – 31 March).** As set out in [Finance for Darwin/IWT](#), budget cannot be moved between financial years, except in exceptional circumstances. Applicants should take this into account in designing project proposals, considering carefully the level of risk of delay to any activities proposed for the fourth quarter of the financial year.

You should have a realistic budget and timeframe for your project and logframe targets should be achievable. Do not be overambitious.

## 5.2 Activities which are not eligible

Projects which are broadly focused on conservation actions, rather than activity which is specifically targeted on tackling the illegal wildlife trade, would not meet the objectives for the fund.

Projects focused solely on animal welfare would also not meet the objectives.

## 5.3 Eligible activities for enforcement and justice

Financial support is not available for any activities or assets that do not meet the 2002 International Development Act guidelines. Funding cannot be used for military

equipment or services, so projects cannot support activities such as military hardware and training.

Examples	
Ineligible	Eligible
<ul style="list-style-type: none"> <li>the supply of military equipment and services</li> <li>peacekeeping enforcement</li> </ul>	<ul style="list-style-type: none"> <li>police training, unless the training relates to paramilitary functions such as counter-insurgency work or intelligence gathering on terrorism</li> <li>training of customs officers</li> </ul>

## 5.4 Gender Equality

Promoting gender equality is an important priority for the UK. All applicants **must** consider whether and how their project will contribute to reducing inequality between persons of different gender. Applicants should at a minimum ensure proposals will not increase inequality and are encouraged to design interventions that proactively contribute to increased equality in communities where they will operate. Applicants are encouraged to provide indicators disaggregated by sex where possible.

Issues to assess while considering gender include:

- What are the prevailing gender norms in the host country in relation to division of labour, access and control of resources, and ability to participate in decision making?
- How do these prevailing norms affect the project, in terms of what it can achieve and how it needs to be designed?
- How will the intervention impact (positively and negatively) girls, boys, women and men in their domestic, economic and community roles and responsibilities and in term of access to and control over assets?
- Will the intervention provide opportunities for girls, boys, women and men to participate in decision making and positions of influence?
- Does the intervention address underlying barriers that prevent girls and women from accessing opportunities created?
- How will any risks and unintended negative consequences be avoided or mitigated against, and monitored?
- Are relevant outcomes and outputs being measured, including through results data disaggregated by sex and age?

Girls and women are not a homogenous group. Women and girls in the project area may face additional layers of exclusion based on their ethnicity, caste, age, religion, sexuality and disability status. Thorough gender and social inclusion analysis can be utilised to identify and account for these issues in project design. Examples for incorporating gender in the logframe can be found at [Annex B](#).

## 5.5 Value for money and leaving a legacy

Projects must demonstrate good value for money in terms of the scale of impact expected relative to cost inputs. Projects should be designed to ensure that they have a real and lasting impact, and that the Outcome can be sustained after the IWT Challenge Fund project ends. Value for money is delivered through a combination of:

- strong budget management
- efficient and effective use of funding to deliver the desired outputs
- ensuring that delivering the chosen outputs are logical and likely to lead to the project's intended Outcome
- sustainability of the intervention
- equitable distribution of any results

For further guidance on how value for money is assessed, please refer to ICAI's report on effective aid that delivers value for money:

<https://icai.independent.gov.uk/report/icaais-approach-effectiveness-value-money/>

Projects funded through the IWT Challenge Fund should not significantly cut across or duplicate work being funded through other mainstream environment and development or research programmes, as this would not represent good value for money.

Projects should consider relevant historical and existing initiatives, and reflect this in project design to maximise the chance of success.

Projects must deliver additional activity, above and beyond what might otherwise have occurred. Funding is for distinct projects with an end date and specific, measurable results. Projects may be an identifiable element of a larger project. The IWT Challenge Fund will not fund ongoing organisational running costs.

## 5.6 Monitoring and Evaluation

Projects must be able to produce robust evidence of their contribution to tackling the illegal wildlife trade and reducing poverty in developing countries. Projects should be able to attribute, as far as possible, what outcomes and impact resulted from their project. This is opposed to outcomes and impact that would have occurred independent of the project.

As a guide, projects usually allocate between 5-10% of their project budget for monitoring and evaluation purposes throughout the life of the project. This will include data collected by the project which clearly demonstrates its impact, including how the indicators demonstrate this. **Annexes B and C** provide more information on monitoring and evaluation.

## 5.7 Supporting wider Monitoring and Evaluation

The IWT Challenge Fund regularly commissions external evaluations and reviews of the IWT Challenge Fund portfolio which take place during the life of the project (i.e. mid-term reviews or monitoring visits). It is important to the success of the IWT Challenge Fund for all projects to fully engage in such reviews and evaluations. Failure to meaningfully engage with IWT Challenge Fund monitoring and evaluation work may result in an organisation no longer being considered eligible for future funding from the IWT Challenge Fund and, in extreme cases, the termination of their current grant.

All projects must comply with monitoring and evaluation requests which may include providing supplementary reports on other aspects of project activities.

# 6 What kind of organisation can apply to the Illegal Wildlife Trade Challenge Fund?

## 6.1 Applicant organisations

Applications must come from an organisation, and not an individual. Applicant organisations can be based in any country.

Applications are welcome from different types of organisations, including academic institutions and private sector organisations.

Applications from small, locally based organisations are especially welcome.

One of the aims of the IWT Challenge Fund is to build capacity. It is common for an organisation from a developed country to work with an organisation / organisations from the host country to jointly manage a project.

In this case, we would encourage joint management of the project through a formal agreement setting out the responsibilities of each partner in advance. Funding would be awarded to the lead organisation which would normally provide the named Project Leader, but on a day to day basis the project could be managed by two individuals if appropriate. These arrangements should be described in the application form.

We do not expect **governments and their agencies** to lead projects, though they may often be partners. The IWT Challenge Fund cannot be used as a substitute for activities that would normally be part of a government's core functions (such as full-time staff salaries or routine management activities).

Organisations applying for funding must:

- have a credible record of working on similar types of projects
- have demonstrated experience managing projects
- be able to meet the financial capacity criteria set out below
- nominate a Project Leader who will be responsible for the technical direction of the project and be the main point of contact

In your application you are required to provide evidence of your organisation's experience of working on similar projects. You should also demonstrate that your partners have the experience and skills needed to successfully deliver a project's poverty reduction components. This will often involve organisations from the development sector.

The UK Aid Strategy describes how the Government believes that the UK's world-leading science, research and development base has a crucial role to play in tackling global problems. With this in mind, we would also be interested to receive project applications that involve UK-based partners, however this is not a requirement.

There is no limit on the number of applications an organisation may submit, but we would encourage internal co-ordination to ensure all submissions are competitive. Defra also retains the right to consider the number of applications from each organisation as part of their decision-making process. Ensuring a broad range of funding across different organisations can help support the fund's aim of building capacity.

## 6.2 Financial capacity of applicant organisation

As part of your application, you will need to provide evidence of financial capability and capacity, including audited or independently examined accounts. The maximum annual value of funds requested should not exceed 25% of the lead organisation's average annual turnover/income for the previous 3 years. Applicants that are unable to demonstrate this will only be considered in exceptional circumstances.

Please see the [Finance for Darwin/IWT](#) document for additional information on financial questions.

## 6.3 Project Leader

The CV submitted for the Project Leader should demonstrate evidence of relevant expertise and experience. The Project Leader should usually have a minimum of around 10 years relevant experience.

The Project Leader will be the main point of contact for the project and will be the person responsible for ensuring any grant meets the relevant Terms and Conditions. However, at the application stage, the Lead Applicant (i.e. Flexi-Grant account holder) will be the core contact point regarding the application. The Lead Applicant and Project Leader can be the same individual.

Applications may have a co-Project Leader if appropriate, and both individuals should be named on the application form and in the budget.

We would expect the Project Leader to allocate at least 10% of their time to the project from start up to submission of the final report.

Project Leaders and their organisation are responsible for the health and safety of all staff working full and part time on their project, and Project Leaders should ensure that the same rigorous standards for assessing health and safety risks are applied to all staff on the project, regardless of nationality.

## 6.4 Ethics

IWT Challenge Fund projects are expected to meet the following key principles of good and ethical development project implementation practice. You will need to demonstrate how your project meets these principles.

All IWT projects must:

- meet all legal and ethical obligations of both the UK and the countries involved in the project, including relevant access and benefit sharing legislation pertaining to the utilisation of genetic resources where relevant
- where appropriate, include strong leadership and participation from developing countries and the communities directly involved to enhance the chances that the perspectives, interests and well-being of those directly affected by specific projects are properly addressed
- recognise the potential value and relevance of traditional knowledge and utilise it where appropriate, alongside international scientific approaches and methods
- respect the rights, privacy, and safety of people who are the subject of research and other project activities or other intended beneficiaries, whether direct or indirect
- use Prior Informed Consent (PIC) principles with partner communities
- uphold the credibility of any research and other findings
- recognise and protect the rights of indigenous and tribal peoples and any transactions should be based on free, prior and informed consent (FPIC)
- not support inappropriate use of force

Funding may be frozen or withdrawn in the event that these principles are not met.

## 6.5 Safeguarding

UK supported projects must fully protect vulnerable people all of the time, wherever they work. Projects are expected to provide a safe and trusted environment which safeguards anyone who the organisation has contact with, including beneficiaries, staff, and volunteers. The safeguarding of the local communities they are working in

and with should always be central to every project. **In order to receive funding the lead organisation must:**

- have a safeguarding policy, which includes a statement of your commitment to safeguarding and a zero-tolerance statement on bullying, harassment and sexual exploitation and abuse
- keep a detailed register of safeguarding issues raised and how they were dealt with
- 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
- share your safeguarding policy with downstream partners
- have a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised
- have in place a Code of Conduct for staff and volunteers that sets out clear expectations of behaviours - inside and outside the workplace - and make clear what will happen in the event of non-compliance or breach of these standards

**Safeguarding practices apply to anyone the project is in contact with, not just direct project staff and partners. Applications invited to Stage 2 will be required to submit a copy of their safeguarding policy as part of their application.**

## 6.6 Open access policy and data sharing

The UK Government is committed to “push for a global transparency revolution” in the availability and use of data to improve accountability, decision making, and to help deliver sustainable development outcomes to people living in poverty. It is also a crucial part of our commitment to deliver the Sustainable Development Goals (SDGs).

IWT Challenge Fund projects will generate a range of outputs. This could be, for example, datasets, policy briefs, peer-reviewed journal articles and technical reports, which will be of interest to others. All outputs should be made available on-line and free to users whenever possible. Your project should establish appropriate data collection, analysis, management and storage protocols to ensure the integrity of any findings and their subsequent use, including in the wider public domain.

In your application, you should describe the project outputs you expect and how this information will be shared with others. You may include appropriate costs in your budget for open access publishing but be realistic about when articles will be published. It is likely that dates will fall outside the formal project so it is worth considering matched funding for these costs. We recommend allocating funding for publishing costs to the final year of your project.

For further information on open and enhanced access see the guidance available at [GOV.UK](https://www.gov.uk).

## 6.7 Communications

IWT Projects are funded from the UK's Official Development Assistance (ODA).

It is important that people are able to understand how ODA funding is being used. Each applicant invited to Stage 2 is therefore asked to provide a very short, plain English summary of what the project will do, which may subsequently be used in communications activity if your project is successful.

For the summary please try to describe your project for a non-technical audience, including the species the project will help and the activities the project will undertake.

## 7 Other considerations

### 7.1 Working with UK Embassies and British High Commissions

All applicants are asked to make contact with UK Embassies and British High Commissions in the relevant host country regarding proposed IWT Challenge Fund projects. A list of UK Embassies can be found on GOV.UK: <https://www.gov.uk/world/embassies>.

The purpose of this is to make sure that relevant UK Embassies or High Commissions are aware of proposed work in the area. We recognise that capacity to support projects is varied and applicants will not be penalised if they are unable submit comments from the Embassy or High Commission alongside their application, provided they have made contact in sufficient time to allow engagement.

UK Embassies and High Commissions may want to publicise the announcement of a new award. If you feel you may need advice on any sensitivities, or if you think the relevant Embassy needs to be aware of sensitivities before making any announcement, please tick the relevant box on the Stage 2 application form.

### 7.2 Security considerations and political sensitivities

A number of countries eligible for the IWT Challenge Fund may present potential security or political challenges. If the organisation leading the project is not based in-country you should consult your Foreign Affairs Ministry for advice before applying. UK-based applicants should consult the Foreign and Commonwealth Office (FCO) travel advice website: <http://www.fco.gov.uk/en/travel-and-living-abroad/travel-advice-by-country>.

Defra will consult the FCO and DFID on applications where we identify a particular security or diplomatic concern. Funding decisions may depend on these concerns being met, and such decisions are made on a case-by-case basis.

All applications may be shared with other UK Government departments, including the FCO and its network of posts. Their views may be taken into account in the selection process.

## 7.3 Human Rights

All UK supported projects must uphold our values and be consistent with our domestic and international human rights obligations. Human rights and International Humanitarian Law risks must be considered by projects prior to funding. An assessment will be made by Defra of the potential impact of any proposed assistance on these risks, as well as on reputational or political risk, prior to the provision of any funding.

You should consider what measures may be taken in order to mitigate any risk that might directly contribute to a violation of human rights and/or International Humanitarian Law.

Further information about the UK Government's approach to Human Rights can be found here: <https://www.gov.uk/government/policies/human-rights-internationally>.

## 7.4 Data control

Where projects involve data collection and/or analysis which identifies individuals (e.g. Biometric data, intelligence data), measures are in place/will be taken to ensure the proper control and use of the data. These measures may include: embedding of "Terms of Use" into software licences; limiting staff with access to databases; restricting functions of software pending accreditation of human-rights compliance training; building-in lock-down functions; and keeping of audit logs.

Data (including raw information and processed intelligence) identifying individuals in connection with criminal matters should be maintained by national enforcement agencies and/or mandated intergovernmental organisations (e.g. Interpol), not non-government/civil society/private organisations. The relevant agency will need to be specified in the application form.

All projects led by organisations based within the EU must be GDPR compliant, and we advise that non-EU organisations also aim to meet these minimum standards. Further information on GDPR can be found here: <https://www.gov.uk/government/publications/guide-to-the-general-data-protection-regulation>

## **7.5 Use of Covert Human Intelligence Sources (Informants)**

The use of Covert Human Intelligence Sources, commonly known as ‘Informants’ carries significant risk for the informant and handlers. These risks may extend beyond the control of organisations that use informants, not least in criminal justice proceedings where in some jurisdictions it may not be possible to prevent the disclosure of the identity of sources. Defra therefore discourages the use of informants unless grantees have strong, relevant expertise within the project team, and can clearly demonstrate how you will ensure safe implementation and security of informants and any data collected.

## **7.6 Use of Undercover Operatives**

The use of undercover (UC) operatives and methods is becoming increasingly common in tackling IWT and over-use may lead to security issues for persons and organisations using such tactics. There are also considerations regarding the appropriate and legal gathering of information that may subsequently be used in criminal proceedings. Defra therefore discourages the use of undercover operatives unless grantees have strong, relevant expertise within the project team, and can clearly demonstrate how you will ensure safe deployment of such methods.

## **7.7 Fraud, bribery and corruption**

The UK has a ‘zero-tolerance’ approach to fraud, bribery and corruption. Any indication of possible fraud, bribery or corruption will be investigated and may result in termination of the grant if appropriate action isn’t taken by the project and the incident not reported to Defra. All projects are required to have transparent processes in place to identify and address fraud and error risk. All applicants will need to explain how much of a risk corruption is for their project, and how they will manage this risk. Defra appreciates that fraud and corruption cannot be entirely eliminated within a project, but the application should clearly demonstrate an understanding of these risks and how they will be mitigated.

## **7.8 Other sources of funding for biodiversity and the natural environment**

If, after reading this guidance, you think that your project is not eligible for the Illegal Wildlife Trade Challenge Fund, you might like to see if it would be eligible under the Darwin Initiative. The Darwin Initiative is a UK government grant scheme that helps to protect biodiversity and the natural environment through locally based projects worldwide.

You can find more information here: <https://www.gov.uk/government/groups/the-darwin-initiative>

# 8 How to apply to the Illegal Wildlife Trade Challenge Fund

All applications **must be submitted online** through the Flexi-Grant portal. There is separate guidance on how to use this portal. All relevant forms, including application forms (word and budget forms), logframe template, guidance for applications, finance guidance and specific Flexi-Grant guidance are available on Flexi-Grant. Guidance documents and Word document versions of the application forms are available on [GOV.UK](https://www.gov.uk).

Applications will be administered independently by LTS International.

Before you apply, you should make sure that your project is eligible, and you are able to meet the fund's requirements. In addition to reading this guidance, you should also read the Finance Guidance: [Finance for Darwin/IWT](#) and the full schedule of Terms and Conditions for the fund. **All successful applicants must be able to meet all of the terms and conditions outlined in these documents.**

You should complete the IWT Stage 1 Application form on Flexi-Grant and review the requirements of the Stage 2 Application form in case you are invited to proceed to Stage 2.

These documents are all available on [GOV.UK](https://www.gov.uk).

Applications will be administered independently by LTS International, and they may contact you during the application process. All applications **must be submitted online** through the [Flexi-Grant portal](#).

## 8.1 Completing the application forms

The Challenge Fund follows a two stage application process.

### **Stage 1:** Open call for project proposals

This stage is an open call for applications. There is a short application form, which asks for information about the aims of the proposed project, the partners involved, and a summary of the methodology.

**Stage 2:** By invitation only. Successful Stage 1 applicants will be invited to submit a more comprehensive application form, and a detailed budget.

Only strong proposals with a reasonable chance of success will be invited to complete a full Stage 2 application. Those invited to complete a full application will receive any specific comments from the Advisory Group in their Stage 1 feedback letters to help improve their application and refine their project design.

For both stages, applications must be submitted through Flexi-Grant and must be in comprehensible English.

Please note that applications at both Stage 1 and Stage 2 must meet the published administrative, technical and financial criteria in order to be considered. This includes, but is not limited to:

- CVs or job descriptions (where role not yet recruited) submitted must be **one page only** and uploaded as one pdf document (Stage 2 only)
- Letters of support should be uploaded as one pdf document where possible (Stage 2 only)
- The logframe is uploaded as a completed pdf document
- Applications must be complete (N/A is acceptable if appropriate), and include all required supporting attachments
- Applications must be signed (with a pdf signature uploaded as part of the Flexi-Grant application)
- The budget must be fully completed using the format provided (Stage 2 only). Please note: the financial format uses Defra's financial years: 1<sup>st</sup> April - 31<sup>st</sup> March
- The start and end dates must be within the funding period stated in the guidance

These eligibility criteria will be strictly enforced and applications that are incomplete, or do not meet the published criteria, including financials, will be rejected as ineligible.

### **Additional materials**

You should only submit the materials requested. However, you may include a map to clarify project location. You may also include references, but these should be kept to a minimum, as should weblinks and hyperlinks. These should be uploaded as one additional pdf document. They must not be used as a means of providing additional information. However, you may include a cover letter to show how you have responded to any previous feedback.

## **8.2 Submitting your application**

### **Stage 1 applications – key dates:**

- Application (via [Flexi-Grant](#) only) deadline – 2359 BST (GMT + 01:00) on **Tuesday 14 July 2020**
- Acknowledgement – by midday on Friday 17 July 2020
- Results (by e-mail to the lead applicant only) – expected by early October 2020

If you have not received an acknowledgement by Friday 17 July (pm), please call +44 (0)131 440 5506. Please do not call between 14 and 17 July.

### **Stage 2 applications – key dates:**

- Invitations expected to be issued by early October 2020

- Application (via [Flexi-Grant](#) only) deadline – 2359 GMT on **Tuesday 10 November 2020**
- Acknowledgement – by midday on Friday 13 November 2020
- Results (by e-mail to the lead applicant only) – expected by March 2021

If you have not received an acknowledgement by Friday 13 November (pm), please call +44 (0)131 440 5506. Please do not call between 10 and 13 November.

## Stage 2 Applicants workshop

We will be holding a workshop in the UK in October/November 2020. This will be for applicants invited to Stage 2. This workshop is to provide support and guidance for those applying for funding. You will receive details of this workshop if you are invited to Stage 2. Details from last year's workshop are available on <https://www.darwininitiative.org.uk/publications/workshop-proceedings>.

## 8.3 Supporting material for your application

Applicants must provide the following:

Application	Essential materials for eligible application	Optional materials for application
Stage 1 Application	Stage 1 application form, completed on Flexi-Grant	Cover letter to outline how you have addressed previous feedback if this is a resubmission.
	Completed logframe submitted as a pdf document	
Stage 2 Application	Stage 2 application form, completed on Flexi-Grant. Other materials can be uploaded alongside your application form within Flexi-Grant.	Brief covering letter – this should outline how you have addressed any feedback from Stage 1, although <b>this should also be in the application</b>
	Budget table in IWT format including exchange rate, source and project dates	Letters of support from stakeholders
	Completed logframe submitted as a pdf document	Details of any dialogue with the relevant Embassy or High Commission in the host country/ies
	Completed implementation timetable uploaded as an Excel file	
	Letters of support <b>from applicant organisation and</b> key partners who are essential to the success of the	

<b>Application</b>	<b>Essential materials for eligible application</b>	<b>Optional materials for application</b>
	project, in one pdf document if possible	
	Details of past experience and previous contracts/ awards (if new to IWT as a lead organisation). Note that contracts must be with external organisations/grant bodies (not from within your own organisation). This is part of the application form.	
	1 page CVs or job descriptions for key project staff named at <b>Question 14 in one pdf</b>	
	A copy of the applicant organisation's Safeguarding Policy	
	Applicant organisation's last 2 sets of signed and audited or independently verified accounts, clearly identifying currency shown. Please send as two separate pdf documents Maximum file size 5MB.	

All material uploaded to Flexi-Grant should be either pdf or Excel.

Additional documents or annexes falling outside the list above will not be considered unless they have been specifically requested by or on behalf of the Advisory Group.

### **Letters of support**

Letters of support should be on headed paper and must be in English or with an English translation. Letters written by partners will normally be stronger than those based on a template. Letters of support are required:

- as evidence of your organisation's support for your application and the importance of the work to your organisation
- as evidence of your relationship with partners and contacts within the host country
- to support the demand for the work
- to show your ability to meet deadlines and to be able to achieve results with local contacts

If it is not possible to obtain a full letter of support from one of the partner organisations, please explain why.

### **Key project staff**

In the application form you should list **all** key project staff, i.e. those people/roles that make up the main project team and are critical to project success. You may not necessarily consider these to be staff roles internally, but for the purposes of the application they should be recognised as project staff. You must provide a one page CV or job description (if not yet recruited) for **all** these people and they should **all** appear in your Stage 2 budget. Your budget may include other staff providing support to the project beyond the key project staff identified in the applications form.

## 8.4 Results of applications

Once the results are agreed, all Lead Applicants (both successful and unsuccessful) will receive notification through Flexi-Grant.

If you are successful at Stage 1 you will receive an invitation to Stage 2. Defra retains the right to clarify any issues raised during the application process and also retains the right to withdraw an offer if the applicant is subsequently unable to meet the requirements of the award.

Only unsuccessful applicants whose applications were competitive, but not shortlisted, will receive additional feedback.

## 8.5 Resubmission of applications

If your application to this round is unsuccessful, you may submit a revised application to a subsequent round. A resubmitted application for a particular project will only be accepted on one occasion, unless there is prior agreement owing to exceptional circumstances or the proposed project is significantly changed. Applicants should re-submit on the correct forms and in accordance with the guidance applicable to the round in which the resubmission is made. Please include a cover letter with your Stage 1 application, outlining how you have addressed previous feedback.

## 9 Assessment process

Applications will be reviewed by an expert panel, including representatives of relevant UK Government Departments, and scored against the published assessment criteria, set out below. Eligible applications will be reviewed by at least three reviewers against the assessment criteria set out below. All Stage 1 applications will be reviewed and a small number of applicants will be invited to complete a Stage 2 application. Stage 2 applications will also be reviewed against the criteria. On completion of the assessment process, the panel will make recommendations to the Minister on which projects should be funded.

Final approval rests with the Secretary of State for Defra.

### 9.1 Assessment of costs

Costs are rigorously examined during the assessment process and decisions are based on realistic and justifiable budgets to deliver the work plan as well as the value for money justification in the application. Final awards may be subject to negotiation with the IWT Challenge Fund Secretariat.

### 9.2 Assessment criteria

#### Section 1: Technical Eligibility

If the answer is 'No' for any of the following criteria, the project is not eligible for the Illegal Wildlife Trade Challenge Fund.

1. Is the project addressing one or more of the four themes?
  - Developing sustainable livelihoods to benefit people directly affected by IWT
  - Strengthening law enforcement
  - Ensuring effective legal frameworks
  - Reducing demand for IWT products
2. Does the project link to one or more of the commitments made in the London Conference Declarations and/or the Kasane Statement and Hanoi Statement (see Annex A below for details)?
3. Does the project identify the anticipated contribution it will make to poverty alleviation?

4. Are the project activities compatible with the UK International Development Act 2002?
5. Does the project clearly identify how it will benefit people living in poverty in Low Income countries as specified in the list of IWT Challenge Fund Eligible Countries, above?
6. For projects in an eligible Upper Middle Income Country (see Table 1), does the project meet at least one of the following criteria:
  - advances knowledge, evidence and impact in other least developed or low income countries either within the same region or other regions
  - contributes to the global public good, for example by advancing understanding and/or strengthening the knowledge base related to wildlife trade/sustainable use and poverty reduction
  - contributes to serious and unique advancements on a critical issue of benefit to low income countries as a result of specific circumstances of the UMIC that could not be made elsewhere

It also needs to be clear if the UMIC project partners would provide co-financing and if not, why not.

7. Is the project delivering something additional, above and beyond what might otherwise happen through ongoing programmes?
8. Does it have an end date and specific/measurable outcomes?
9. Does the project present robust Monitoring and Evaluation (M&E) including SMART indicators:
  - **Specific,**
  - **Measurable,**
  - **Achievable,**
  - **Relevant,** and
  - **Time-bound**

to enable the fund to measure impact and progress against poverty and IWT objectives (see Annex B below)?

## **Section 2: Technical Assessment**

To be considered for funding the project must demonstrate a robust approach to the following criteria. The projects will be scored, as set out in **Table 2** below.

1. The project is tackling issues relevant for animal species and/or species of flora, which are seeing major losses due to the illegal trade, which are highly vulnerable to the illegal trade, or which impact negatively on the livelihoods of those in poverty.

2. The project has analysed relevant historical and existing initiatives and will either build on or take work already done into account in project design to maximise lesson learning and synergies.
3. The project methodology outlined is robust, clear and sufficient to achieve the outcomes detailed in the application. References should be made to published evidence from similar projects or approaches.
4. The project can demonstrate how it will reduce aspects of poverty, with anticipated benefits logically captured in the project logframe.
5. The project has considered how its work is likely to contribute to reducing inequality between persons of different gender.
6. The organisations identified as partners in the project have sufficient expertise and experience to undertake the work identified.
7. Relevant local organisations, local communities and technical specialists are involved as appropriate, as equitable partners at all project stages (including development).
8. The project will not significantly cut across or duplicate work being funded through other mainstream environment and development or research programmes.
9. The project demonstrates good value for money in terms of scale of impact expected.

### **Additional Technical Assessment Questions for Stage 2 applications**

10. The project is designed to leave a legacy, through a real and lasting impact. The project outcomes will be sustained – either through a continuation of activities, funding and support from other sources or because an organisational shift is designed to mainstream the activities into business as usual.
11. The CVs and/or job descriptions submitted clearly outline the expertise of the team and this closely fits what is required for delivery of this type of project e.g. socio-economic expertise for a project relying on socio-economics, tourism expertise for a project focusing on ecotourism, relevant training expertise for capacity building projects etc.
12. The project has the full support of parties essential for success, covering the skills required to deliver the outcomes.
13. The project presents a realistic and justifiable budget that is sufficient to deliver the work plan.
14. The project has outlined an ethics statement that meets the Fund's key principles for ethical projects.

15. The project provides a clear plan of how it will make data and project outputs publicly available.

### Section 3: Addressing the priorities

Projects will be assessed against the following priority criteria. These are not requirements for funding, but projects that address one, or more, of these priority issues are more likely to be successful. Please be mindful that it is the quality of the approach rather than the quantity of issues addressed that is important. The project will be scored as set out in **Table 3** below.

- 1. For projects focused on developing sustainable livelihoods:** the project maximises the economic and social value of species to the country concerned and local communities, to strengthen community development as well as protection and conservation of targeted species. We would be particularly interested to see projects which:
  - increase the opportunities of local communities to pursue sustainable livelihoods as an alternative to engaging in the illegal wildlife trade
  - initiate and strengthen collaboration between conservation and development agencies at a range of scales, and increase support for community led wildlife conservation
  - promote the retention of benefits within local communities for the conservation and sustainable management of wildlife, where they have traditional and or legal rights over these resources
  - address the challenges of human-wildlife conflict, faced by those living and coexisting with wildlife, in order to build support for conservation aims whilst promoting sustainable development
  
- 2. For projects focused on strengthening law enforcement:** We would be particularly interested to see projects which:
  - address corruption
  - build capacity to prevent illicit financial flows from the illegal wildlife trade
  - improve law enforcement, judicial prosecution processes and border control in key source, transit and market countries
  - work with communities at the local level to take account of community level impacts arising from enforcement activity
  
- 3. For projects aimed at ensuring effective legal frameworks and the role of the criminal justice system:** the project will help to develop and ensure effective legal frameworks, especially by:
  - supporting governments in their efforts to put effective legislation in place
  - improving judicial prosecution processes in IWT cases
  - ensuring there are strong penalties in place for wildlife crime
  
- 4. For demand reduction projects:** the project demonstrates how it has used information about the effectiveness of previous demand reduction campaigns to

develop its approach including, for example, best practice set out at <http://www.changewildlifeconsumers.org/>. We would particularly be interested in projects which integrate behaviour change approaches and move beyond raising awareness, as well as projects that involve partnerships with business, or which look to establish partnerships between source, transit and destination countries.

5. The project is working in a country/countries which demonstrate(s) one, or more, of the following characteristics:
  - high levels of poverty, where there is an opportunity to maximise the economic and social value of species to both strengthen community development and reduce poverty, and protect and conserve key species
  - relatively high populations of key species of economic/social importance (i.e. species which are experiencing major losses due to the illegal trade, or which are highly vulnerable to the illegal trade), or species of high biodiversity value, where the loss of such species represents a serious threat to the communities' current and future opportunities for sustainable development
  - an ideal location to test new approaches potentially of benefit to a wider number of places, as there is strong government and/or stakeholder support
  - the country acts as both a source and transit hotspot
  - the country acts as both a transit and market hotspot
6. For demand reduction projects, the project is working in a country/countries where there is great market demand for products from species under threat from the illegal wildlife trade, and where there is a clear link between demand for particular products and illegal poaching in low income countries.
7. The project outlines new and innovative ideas.

**Table 2 - Assessment scoring – technical assessment**

Score	Description
6	<b>Excellent</b> The proposed project <b>meets all the of technical assessment criteria</b> . The majority of the assessment criteria are met to a high standard. There are few minor issues which if addressed may improve the project but they are unlikely to be detrimental to the delivery of the project and should not prevent it from being funded without changes being made.
5	<b>Very good</b> The proposed work <b>meets most of the technical assessment criteria</b> . The criteria it does meet are mostly to a high standard. There are minor issues that could improve the project but these are unlikely to significantly impact the project's success and should not prevent it from being funded.
4	<b>Good</b> The proposed work <b>meets most of the technical assessment criteria</b> . The criteria it does meet are often to a good standard. There are a few minor issues that would improve this project which they would be advised to consider if funded.
3	<b>Modest</b> The proposed work <b>meets most of the technical assessment criteria</b> . Those criteria it does meet are largely to an acceptable standard. It is likely to contribute to the objectives of the Fund. The project has some issues with design which the team would be recommended to review to increase its suitability for funding.
2	<b>Poor</b> The project <b>meets some of the technical assessment criteria</b> . Those criteria it does meet are to a modest standard. Overall however, it is inconsistent in terms of the assessment criteria. The application requires changes to make it suitably address the assessment criteria to make it competitive.
1	<b>Unfundable/ Very poor</b> The proposed work is unsatisfactory and <b>meets only a few of the technical assessment criteria</b> outlined. The proposed project is likely to require significant alterations to make it address the assessment criteria.
0	<b>Non-Scoring</b> For special cases e.g. flawed in scientific approach, subject to serious technical difficulties, unclearly written that it cannot be properly assessed, or is duplicative of other work. <b>Fails to meet any of the technical assessment criteria outlined.</b>

**Table 3 - Assessment scoring – priorities**

Score	Description
6	<b>Excellent</b> The proposed project <b>is very strongly aligned with one or more of the priorities for the fund</b> , and is therefore likely to make a highly significant and lasting contribution to achieving the objectives of the Fund
5	<b>Very good</b> The proposed work <b>is well aligned with one or more of the priorities for the fund</b> , and is therefore likely to make a significant and lasting contribution to achieving the objectives of the Fund.
4	<b>Good</b> The proposed work <b>is aligned with one or more of the priorities for the fund</b> , and is therefore likely to make a contribution to achieving the objectives of the Fund.
3	<b>Modest</b> The proposed work <b>demonstrates a link to the priorities</b> . It is likely to contribute to the objectives of the Fund. The project has some issues with design which the team would be recommended to review to increase its contribution to delivering the priorities.
2	<b>Poor</b> The proposed work demonstrates a limited link to the priorities for the fund. The application requires changes to make it suitably address the priorities to make it competitive.
1	<b>Unfundable/ Very poor</b> The proposed work demonstrates a very limited link to the priorities for the fund. The proposed project is likely to require significant alterations to ensure it makes a real and lasting contribution to the objectives for the fund.
0	<b>Non-Scoring</b> For special cases e.g. flawed in approach, unclearly written that it cannot be properly assessed, does not address one of the themes for the fund. <b>Fails to demonstrate any link to the priorities for the fund.</b>

## 10 Awarded Grants

The full Schedule of Terms and Conditions for the fund grant and the requirements for financial management and reporting can be found on [GOV.UK](https://www.gov.uk).

**Please read these before submitting an application, to make sure that you will be able to comply with the terms and conditions.**

The award is made to the **applicant organisation**, not to an individual. The Project Leader will be the first point of contact for all aspects of project management (including financial management), and will be responsible for the overall management of the project and accountability of the award, on behalf of the organisation they represent.

Contact details will be required for a nominated individual from the finance section of the organisation to whom the award is made. This person may be identified once the grant has been offered.

### 10.1 Reporting Requirements

All projects are required to submit a Final Report at the end of the award.

Projects lasting for more than one year must provide Annual and Half Year progress reports that are reviewed each year. These reports must provide robust reporting against intended objectives and include information on outputs and ethics.

To continue receiving funding from the IWT Challenge Fund reports must be complete and submitted within deadlines. If you do not meet these requirements your funding can be stopped.

### 10.2 Data protection and use of personal data

Information supplied in the 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 on GOV.UK. 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 Illegal Wildlife Trade Challenge Fund including project details (usually title, lead organisation, location, and total grant value) on the GOV.UK and other websites.

Information (including personal data) 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).

## Annex A: Summary of Commitments

The UK is signed up to the commitments set out in the London Declaration, which were agreed at the UK hosted Illegal Wildlife Trade international conference held in London in February 2014, as well as the follow-up Kasane Statement from the Botswana hosted conference of March 2015. The UK reaffirmed its commitment to these measures at the Hanoi Conference on the Illegal Wildlife Trade in November 2016, and also hosted a further follow-up Conference in London in 2018.

### The London Declaration (2014)

For the full text of the London 2014 Declaration please see

<https://www.gov.uk/government/publications/declaration-london-conference-on-the-illegal-wildlife-trade>

### The Kasane Statement (2015)

For the full text of Kasane Statement please see:

<https://www.gov.uk/government/publications/illegal-wildlife-trade-kasane-statement>

### The Hanoi Statement (2016)

For the full text of Hanoi Statement please see:

<http://iwthanoi.vn/hanoi-statement/>

### The London Declaration (2018)

For the full text of the London 2018 Declaration please see

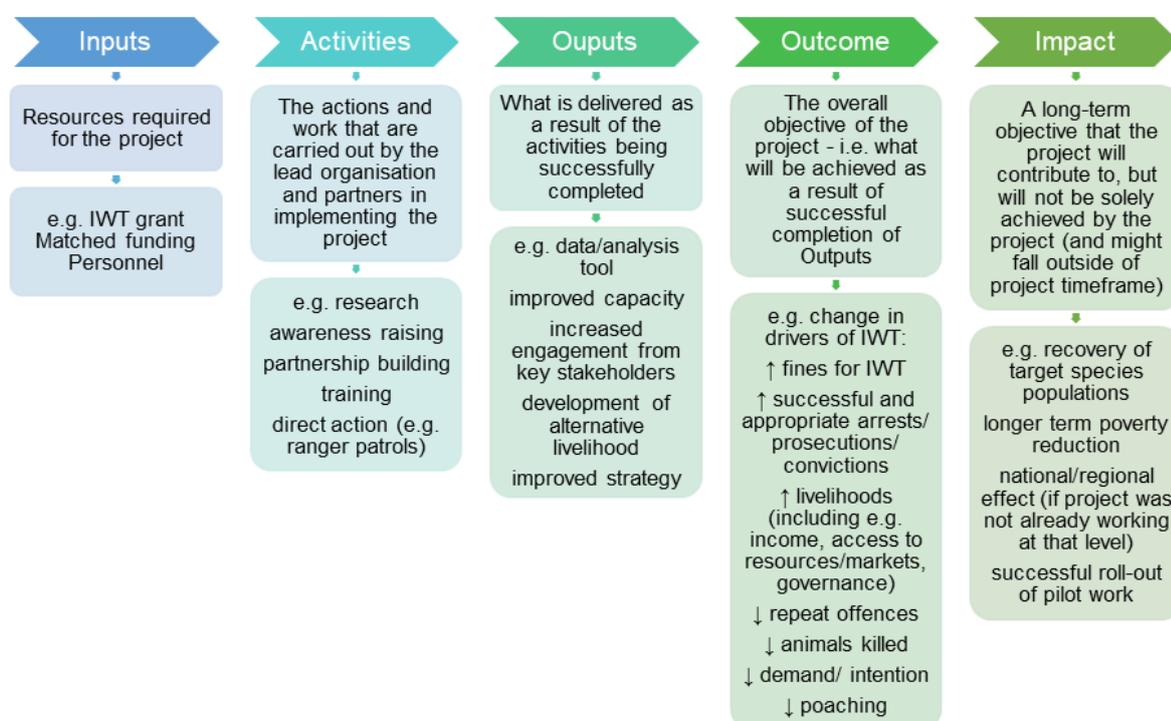
<https://www.gov.uk/government/publications/declaration-london-conference-on-the-illegal-wildlife-trade-2018>

# Annex B: Guidance on logframe development

## Developing a pathway to impact

We want the Illegal Wildlife Trade Challenge Fund to make a real difference on the ground, through practical action. This means that it is important that we can measure the effect of the projects we fund and that we can learn from what works where and what does not so that this can be adapted and applied elsewhere.

A logframe is an expression of the 'results chain'. That is, the results you expect to achieve as a result of the project outlined in your proposal. The figure below provides an example of a results chain:



## Measuring impact

Robust monitoring and evaluation allows projects to review their progress and evaluate their success in reaching their identified objectives, and will allow us to measure the impact the Fund has made.

The definition of evaluation agreed by the OECD Development Assistance Committee and widely accepted by the international development community is:

"The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation, and results in relation to specified evaluation criteria."

## Guidance on how to fill in the Logical Framework (“logframe”)

Before you develop your logframe it may be useful to consider and discuss with your project partners the following questions about your intended project:

- What is the project trying to achieve?
- How will it achieve its objectives? What activities will be carried out?
- What resources, people, and equipment will you need?
- What potential problems or risks may affect your delivery?
- How can you mitigate any potential problems or risks?
- How will the progress and ultimate success of the project be measured?

Note: We have provided the worked examples below using an imaginary IWT Challenge Fund project. This is purely illustrative and is not taken from any existing IWT Challenge Fund projects.

### Impact

The Impact statement is a long-term objective that the project will contribute to, as a contribution to a wider advance on, for example, conservation and economic and social development. The Impact is not intended to be achieved solely by the project. It is likely to be outside of the timeframe of the proposed project. All IWT projects should be able to detail how the project will contribute to tackling the illegal wildlife trade and contributing to poverty alleviation in developing countries.

#### Worked Example – Impact

A reduction in the illegal wildlife trade in rhino products and poverty alleviation in our focus country.

### Outcome

The Outcome statement is the overarching objective of the project you have outlined. That is, what do you expect to achieve as a result of this project? You can only have one Outcome statement for your project.

The Outcome should identify what will change, and who will benefit. There should be a clear link between the Outcome and the Impact, which should be apparent in your logframe and also your narrative proposal.

## Worked Example – Outcome

Improved capacity to effectively enforce legislation leads to reduced poaching and stabilisation of rhino numbers in two key populations. Tourism numbers increase as a result, securing income for local people.

## Indicators for measuring Outcome

Indicators are the tools and mechanisms you will use to measure the changes your project is making. Indicators should be useful both for project planning and external reporting. They should allow you to demonstrate what you have achieved and when.

Indicators used to measure Outcome may not be achieved until in the closing stages of your project. It is therefore advisable to break these indicators down into milestones so that project progress can be assessed at regular intervals, not just at project end.

The IWT Challenge Fund strongly encourages the use of SMART indicators. That is:

- **S**pecific
- **M**easurable
- **A**chievable
- **R**elevant, and
- **T**ime-bound

Indicators can be quantitative or qualitative. It is unlikely that one indicator will be broad enough at this level to capture progress across outcomes. The indicators should ideally cover all aspects of the project, whether they are environmental, social, economic or institutional aspects of intended change.

The indicators provide the detail of what you will measure to assess your progress towards achieving the Outcome. You should be able to state what the change you expect to achieve as a result of the project i.e. the difference between the existing state and the expected end state.

## Worked Example – Outcome Indicators

- Arrests leading to convictions for rhino poaching rise from 3 (5% of cases reported end in prosecution) in 2018 to 15 in 2020 (25% of cases reported ended in prosecution) with jail sentences following judicial guidance in 100% of cases.
- 100% of known instances of rhino poaching are recorded in the national criminal database (from baseline of 27%) in 2020

## Good and bad examples

### Good:

- (output) 60% of law enforcement staff complete ranger training course by 2023.
- (outcome) The partner government increases by 50% the number of public statements and discussions on reducing the domestic ivory trade in policy fora from a 2020 baseline.
- (outcome) Reported cases of poaching and smuggling in the country resulting in prosecution/currently in court increase from XX% in 2020 to XX% by 2023

### Bad:

- Increased IWT law enforcement capacity increases - (increases from what level? How much is it expected to increase? What is the timeframe?)
- Instructors have knowledge of new law enforcement tools - (What % of instructors? What level of knowledge? What is the timeframe for this?)
- (output) Roadmap developed to outline regional and country level IWT plans - (Missing timeframe, clarity of what a roadmap is and how it relates to the project)

## Verifying Outcomes

At the design stage you should identify the materials you will use to verify your outcomes. This is the 'source' material that supports your accounts of achievement.

To evidence the Outcome indicators, you can rely on a range of data sources. For example, these could include secondary data produced in CITES reports, government produced statistics, prosecutions, reports produced by external entities etc. or could include primary data you have collected, as long as this has been collected in a robust and credible manner.

In some cases it may be difficult to rely on independently produced materials to meet the timelines you require. For example, government statistics could be delayed in their production. It is useful therefore to rely on a range of materials from a variety of sources including those produced by your own project and those produced by independent sources.

Examples of materials that can be used to verify Outcome indicators include: government reports, government statistics, NGO annual reports, Committee meeting minutes, peer review papers, newspaper articles, commissioned survey results, meeting minutes, project notes, reports, tapes, videos etc.

## Worked Example – Verifying outcomes

- Successful prosecutions listed in the law journal
- Rhino poaching database, annual reports from national parks, survey of case officer allocation
- Annual report of Justice department, CITES annual report, 2020 budget report
- CITES annual report

## Understanding important assumptions and managing risks at the Outcome level

It is clear that in many cases achievements are also partly dependent on external conditions, outside the control of the project. In designing your project you will be making certain assumptions about these external conditions. This carries some risk. It is important to maintain an understanding of these assumptions to ensure your project in its current format is still achievable. This will help you to monitor the situation, manage any risks arising, and identify if a change in approach for your project is needed.

### Worked Example – important assumptions

- Country remains committed to reducing rhino poaching through reforms of the criminal justice system
- Increased numbers of prosecutions leads to fewer instances of recorded poaching
- Reduced poaching will lead to higher numbers of rhinos

## Outputs

Outputs are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the project Outcome. If the Outputs are achieved then the logic is that the Outcome will also be achieved. The logic of the chain from Output to Outcome therefore needs to be clear. Most projects should expect to require three or four Outputs in order to achieve the intended Outcome. More than five Outputs for a project the size of the expected IWT Challenge Fund projects is excessively complex. Often, two or more Outputs can be combined since they are steps in the same deliverable.

### Worked Example – Outputs

1. A qualified and trained judiciary able and willing to effectively implement judicial guidance
2. Border agency staff, protected areas staff and wildlife crime case officers are more able to effectively undertake evidence collection and evidence preservation, and to report criminal activity.
3. National criminal database revised to record instances of poaching and appropriate training on using the database effectively provided to key staff

## Measuring Outputs

Much the same as for measuring Outcomes, a series of indicators for each Output helps you to measure the change effected by your project and your progress towards achieving the Outputs. The Output level indicators should not be a rewording of activities but capture quality as well as quantity, for example what was the Outcome of training not simply that it was carried out.

## Worked Example – Measuring Outputs

*N.B. – in your application logframes, we would expect you to include actual numbers as targets*

1. National criminal database revised to record instances of poaching
  - 1.1. Number of instances of poaching reported in Law Journal each year
2. Training provide to all judiciary on using judicial guidance
  - 2.1. # of weeks training provided to judiciary staff in 2018, 2019, 2020 (baseline = zero)
  - 2.2. # and % of sentences that adhere to judiciary guidance in 2018, 2019, 2020 (baseline n= 7, 15%)
3. Training provided to borders agency staff, protected areas staff and wildlife crime case officers on evidence collection, evidence preservation, reporting criminal activity
  - 3.1. # of weeks training provided to borders agency staff in 2018, 2019, 2020 (baseline = zero)
  - 3.2. # of weeks training provided to protected areas staff in 2018, 2019, 2020 (baseline = zero)
  - 3.3. # of weeks training provided to wildlife crime case officers in 2018, 2019, 2020 (baseline = zero)
  - 3.4. # of novel cases of poaching that result in arrest by 2020 (baseline is 20 arrests per annum)
  - 3.5. # of novel cases of poaching that result in criminal prosecution by 2020 (baseline is 3 successful prosecutions per annum).

## Understanding important assumptions and managing risks at the Output level

As with the Outcome, achieving your Outputs will sometimes be dependent on external conditions. It is important to maintain an understanding of these assumptions and to identify those which are critical to the delivery of the project. This will help you to monitor the situation, manage any risks arising, and identify if a change in approach for your project is needed.

### Worked Example – important assumptions

- Staff turnover remains manageable
- Government remains committed to ongoing maintenance of IWT systems
- Greater capacity to track poaching leads to greater numbers of successful prosecutions

## Activities

You should be able to outline what the general activities are that need to be undertaken in order to achieve the Outputs and therefore the Outcome of the project. Activities should be

designed in a way that their completion should be sufficient and indicators should not be necessary. Only summaries of main activities are required, but these should be numbered against the output that they relate to.

## Incorporating gender

Applicants should at a minimum ensure proposals will not increase inequality and are encouraged to design interventions that proactively contribute to increased equality in communities where they will operate. Wherever possible, you should disaggregate your logframe indicators by sex in order to capture the differential impact on men, women, boys and girls.

### Worked Example – gender

- Investment of livelihoods seed funds within 4 target communities (£15,000/annually, among at least 100 households, including at least 10 women-headed households, for a total of 600 individuals directly benefitted) during Years 1 and 2
- Commitments made by training participants to share fatwa-based IWT messages at least 1/month in sermons, schools, women's prayer groups, patrols in 11 villages, reaching 8,000 people (50% women/ girls) by end of Yr 3 (baseline = 0 people reached)

## Other resources

This annex is not intended to be a fully developed resource for undertaking project level monitoring and evaluation. There are numerous resources available that provide useful step-by-step instructions for developing project level monitoring and evaluation systems including handy toolkits. Whilst some of these use different terminology for the components of a logframe, the principles remain the same. Some of useful resources include:

- [Darwin Initiative Logframe Information Note](#)
- [DFID How to Note: guidance on using the revised Logical Framework](#)
- [DFID: Review of the use of 'Theory of Change' in International Development](#)
- [The Magenta Book: HM Treasury guidance on what to consider when designing an evaluation](#)
- [Better Evaluation - https://betterevaluation.org/](https://betterevaluation.org/)
- [BOND – The Logical Framework Approach](#)
- [BOND – Some useful online materials for monitoring and evaluation.](#)

## Annex C: Guidance on indicators

Below are some examples of Output and Outcome indicators. This is not a prescriptive list – that is, you are not forced to select an indicator from this list. It is intended as an aid to help define your project. You may choose to define your own indicators or choose from this list. You will be expected to SMARTen any indicators you do choose to use (for example, by including actual numeric targets, defining baselines, and setting timescales). See Annex B above for more advice on SMART indicators and a worked example.

### **Developing sustainable livelihoods to benefit people directly affected by IWT**

- Increase in household income levels
- % change in number of poaching incidents in the area covered
- Diversity of income source
- Number of people with improved food security
- Number of people with access to credit
- Number of registered community based organisations (CBOs)/cooperatives
- Number of registered members of CBOs/cooperatives

### **Ensuring effective legal frameworks**

- Number of new or revised regional enforcement action plans
- Number of officials (e.g. judiciary) trained in new approaches/process
- Number of legal actions taken
- # of items of new legislation drafted or in place

### **Strengthening law enforcement**

- Number of hectares covered by improved approaches
- % change in number of poaching incidents in the area covered
- Number of inter-agency or cross-border coordination networks
- New enforcement procedures (manuals, ID guides) produced
- New IT systems developed to monitor or gather intelligence on IWT
- Number of investigations / % increase in investigations
- Quality and quantity of inspection and controls

### **Reducing demand for IWT products**

- % change in consumption of illegal wildlife products
- Increases in public awareness and changes in opinions and behaviours from baseline surveys
- Number of products of illegal wildlife available to purchase on open market
- Number of/ value of border confiscations of illegal wildlife products
- Number of visits (or % increase in visits) to relevant websites