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| <b>Project title: Enhanced Management and Enforcement of Ethiopia's Protected Area Estate</b>   |   |  |
| <b>Country:</b> Ethiopia  | <b>Implementing Partner:</b> <i>Ministry of Environment, Forest and Climate Change (MOEFCC)</i> | <b>Management Arrangements:</b> National Implementation Modality (NIM) |
| <p><b>UNDAF/Country Programme Outcome:</b> Outcome 3: By 2020, key government institutions at federal level and in all regions and cities are able to plan, implement and monitor priority climate change mitigation and adaptation actions and sustainable natural resource management.</p> <p>3.1. Number of annual greenhouse gas emissions (in million tons of carbon dioxide equivalent)</p> <p>3.3. Hectares of land managed sustainably through afforestation</p>  |   |  |
| <p><b>UNDP Strategic Plan: Integrated Results and Resources Framework Output 2.5 indicator 2.5.1:</b> Extent to which national legal, policy, and institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.</p>  |   |  |
| <b>UNDP Social and Environmental Screening Category:</b> Low  |   | <b>UNDP Gender Marker:</b> 2   |
| <b>Atlas Project ID/Award ID number:</b> 00100238   |   | <b>Atlas Output ID/Project ID number:</b> 00103276                     |
| <b>UNDP-GEF PIMS ID number:</b> 5609  |   | <b>GEF ID number:</b> 9157   |
| <b>Planned start date:</b> August 2017  |   | <b>Planned end date:</b> September 2023 (72 months)                    |
| <b>LPAC date:</b> July 31, 2017   |   |  |
| <p><b>Brief project description:</b> Driven by low risk and high profitability, the trade in wildlife products and live animals continues to flourish. Ethiopia has been identified as a key transit (as well as source) country for wildlife products and live animals. The proposed project is seeking to implement solutions that will counter the threats to biodiversity and overcome the barriers to effective management of protected areas and to combatting illegal wildlife trade. It seeks to achieve the project's objective: <b>to build Ethiopia's capacity for biodiversity conservation through increased effectiveness of protected area management and implementation of measures to reduce Illegal Wildlife Trade (IWT) and poaching.</b> The objective will be achieved through the implementation of three project components. <b>Component 1:</b> <i>Protected area management and biodiversity conservation.</i> This component will focus on <i>demonstrating</i> how effective management of protected areas in Ethiopia can be achieved by targeting a small number of protected areas, given that the selected pilot sites are those protected areas in which key target species (elephants and big cats) are found. <b>Component 2:</b> <i>Implementation of anti-trafficking measures.</i> This component will focus on improving different aspects of law enforcement so as to increase the deterrent to illegal wildlife trafficking. <b>Component 3:</b> <i>Landscape approach to forest and agro-biodiversity conservation.</i> This component focuses on realizing the value of agro-biodiversity for</p> |   |  |

the country and specifically for people living in the vicinity of the protected areas targeted in Component 1. Finally, **Component 4 Knowledge Management, Gender Mainstreaming, and M&E**: Lessons learned from the project via active participation of all stakeholder groups in the project implementation, gender mainstreaming and M&E will be made available nationally and internationally to facilitate the fight against IWT. Ultimately, the project will contribute to **long-term impacts** or **global environmental benefits** including: i) the recovery of wildlife populations in project sites Ethiopia, specifically targeting elephants, lions and cheetahs: these were selected as GWP flagship species to measure the success of the proposed project, and ii) there is no loss of habitat and agro-biodiversity. This project forms part of the GEF *Programmatic Approach to Prevent the Extinction of Known Threatened Species*, and falls under the GEF Programme *Global Partnership on Wildlife Conservation and Crime Prevention For Sustainable Development (9071)*. Under this programmatic framework, with the coordination through the programme steering committee, coordinated knowledge management and cross-fertilization of the individual regional and national projects will be assured.

#### FINANCING PLAN

|  |                      |
|--|----------------------|
| GEF Trust Fund                               | USD 7,294,495        |
| UNDP TRAC resources                          | USD 200,000          |
| <b>(1) Total Budget administered by UNDP</b> | <b>USD 7,494,495</b> |

#### PARALLEL CO-FINANCING

|  |                       |
|--|-----------------------|
| GoE (Ethiopian Wildlife Conservation Authority)  | USD 30,868,725        |
| GoE (Ethiopian Biodiversity Institute)           | USD 3,161,356         |
| IGAD/EU/HoAREC                                   | USD 6,380,000         |
| KfW  | USD 21,267,000        |
| GIZ  | USD 12,234,400        |
| Born Free Foundation                             | USD 1,500,000         |
| Frankfurt Zoological Society                     | USD 1,800,000         |
| Wildlife Conservation Society (WCS)              | USD 1,000,000         |
| African Wildlife Foundation (AWF)                | USD 5,000,000         |
| <b>(2) Total co-financing</b>                    | <b>USD 83,211,481</b> |
| <b>(3) Grand-Total Project Financing (1)+(2)</b> | <b>USD 90,705,976</b> |

#### SIGNATURES

|                             |                                |                  |
|-----------------------------|--------------------------------|------------------|
| Signature: print name below | Agreed by Government           | Date/Month/Year: |
| Signature: print name below | Agreed by Implementing Partner | Date/Month/Year: |
| Signature: print name below | Agreed by UNDP                 | Date/Month/Year: |

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## Acronyms, Abbreviations and Glossary

|        |  |
|--------|--|
| ASL    | Above sea level (referring to altitude)  |
| AWF    | African Wildlife Foundation  |
| BES    | Babille Elephant Sanctuary   |
| BFF    | Born Free Foundation   |
| CCNP   | Chebera Chuchura National Park   |
| CITES  | Convention on International Trade in Endangered Species of Wild Fauna and Flora  |
| CRGE   | Climate-Resilient Green Economy (referring to Ethiopia's Plan)   |
| EBI    | Ethiopian Biodiversity Institute   |
| ECU    | Environmental Crime Unit   |
| EOP    | End of project (often referring to the targeted results to be achieved by that stage of the project)   |
| EWCA   | Ethiopian Wildlife Conservation Authority (formerly EWCO, Ethiopian Wildlife Conservation Organisation)  |
| FSP    | Full Sized Project   |
| FZS    | Frankfurt Zoological Society   |
| GEF    | Global Environment Facility  |
| GEFSEC | Global Environment Facility Secretariat  |
| GIZ    | Deutsche Gesellschaft für Internationale Zusammenarbeit (formerly GTZ and DED)   |
| GMP    | General management plan  |
| GSM    | Global System for Mobile communications (colloquially known as a mobile or cell network)   |
| GWP    | Global Wildlife Program  |
| HQ     | Headquarters   |
| HWC    | Human-wildlife conflict  |
| IWT    | Illegal Wildlife Trade   |
| KAP    | Knowledge, Attitudes, Practice (referring to a methodology for measuring changes in these three parameters, often following awareness raising campaigns)         |
| KfW    | Formerly KfW Bankengruppe. KfW is a German government-owned development bank, based in Frankfurt. Its name originally comes from Kreditanstalt für Wiederaufbau. |
| KSNP   | Kafta Shiraro National Park  |
| KWS    | Kenya Wildlife Service   |
| LE     | Law enforcement  |
| M&E    | Monitoring & evaluation  |
| METT   | Management Effectiveness Tracking Tool (referring to the GEF tracking tool for monitoring the effectiveness of management of protected areas)                    |
| MNP    | Mago National Park   |
| MOU    | Memorandum of understanding  |
| MSP    | Medium Sized Project   |
| NISS   | National Intelligence and Security Service   |
| NP     | National Park  |
| NTFP   | Non-timber forest products   |
| NYZS   | New York Zoological Society  |
| ONP    | Omo National Park  |

|          |   |
|----------|---|
| PA       | Protected Area  |
| PIF      | Project Identification Form   |
| PIR      | GEF Project Implementation Report   |
| POPP     | Programme and Operations Policies and Procedures  |
| PPG      | Project Preparation Grant   |
| SC       | Steering Committee  |
| SDPASE   | Referring to the UNDP-GEF project Sustainable Development of the Protected Area System of Ethiopia                      |
| SMART    | Referring to the software being used in various sites around the world for monitoring and, in part, for law enforcement |
| SOP      | Standard operating procedures   |
| STAP     | GEF Scientific Technical Advisory Panel   |
| RTF      | Regional Task Force   |
| UNDAF    | UN Development Assistance Framework   |
| UNDP     | United National Development Program   |
| UNDP-CO  | UNDP-Country Office   |
| UNDP-GEF | UNDP Global Environmental Finance Unit  |
| UNESCO   | United National Educational, Scientific and Cultural Organization   |
| WCS      | Wildlife Conservation Society   |

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## II. DEVELOPMENT CHALLENGE

1. The biogeography of Ethiopia is characterized by two dominant features: i) The ancient, arid areas of the Horn of Africa, with its three centres of endemism one of which, the Ogaden, falls within Ethiopia; and ii) The mesic highland plateaux, whose isolation has resulted in significant endemism. Overall, therefore, while the arid Horn and young highlands are relatively impoverished in species number, the levels of endemism are high. As a consequence, Ethiopia has over 6,000 species of vascular plant (with 625 endemic species and 669 near-endemic species, and one endemic plant genus), 924 avian species (18 endemic species and two endemic genera), and 320 species of mammals (36 endemic species and six endemic genera).
2. There are a number of charismatic flagship species, most notably the gelada *Theropithecus gelada* (an endemic genus), the mountain nyala *Tragelaphus buxtoni*, the Ethiopian wolf *Canis simensis*, the walia ibex *Capra walie* and the giant lobelia *Lobelia rhynchopetalum*.
3. The **global significance of the area** has been recognized through Conservation International's Biodiversity Hotspots. The country spans two Hotspots: the Horn of Africa and the Ethiopian Highlands (which is included in the Eastern Afromontane Hotspot). The areas included in the Hotspots cover the majority of the country, including the entire eastern area of Ethiopia below 1,100m ASL and all highland areas above 1,100m ASL. The country also encompasses various WWF Ecoregions (including Ethiopian montane moorlands, Ethiopian xeric grasslands and shrublands, Ethiopian montane grasslands and woodlands, Northern Acacia-Commiphora bushlands and thickets, Horn of Africa Acacia savannas, Rift Valley Lakes, Sudanian Savannas and the Saharan Flooded Grasslands). The country also includes one natural World Heritage Site (the Simien Mountains National Park) with others on the tentative list. It also includes the Konso Cultural Landscape – which is important for agro-biodiversity.
4. The country also has a long agrarian history and Ethiopia is recognised as a centre of agro-biodiversity, designated as one of eight Vavilov Centres around the world (original centres for the domestication of crops). The peoples of Ethiopia have been actively engaged over millennia in crop domestication and hybridisation, including, for example, chat/khat (*Catha edulis*), ensete (*Enset ventricosum*), nug (*Guizotia abyssinica*), finger millet (*Eleusine coracana* for beer), tef (*Eragrostis tef*) and coffee (*Coffea arabica*) (Harlan, 1992). The country, therefore, harbours important gene pools of crop wild relatives for at least 197 species of crops, including grains, pulses, oil seeds, vegetables, tubers, fruits, spices, stimulants, fibres, dyes and medicinal plants.
5. **Threats:** While the threats to biodiversity of Ethiopia are underpinned by high human population pressure (see below), the exploitation of natural resources in the region by humans is not a modern phenomenon. It has been estimated that it has been ongoing for many thousands of years, particularly to the west of the Rift Valley, and this has destroyed most of the natural vegetation, including most of the forests (Harlan, 1992). Altitude has had a profound effect on human exploitation and, by extension, the extent of the original vegetation that remains. **All productive land in the highlands has been transformed** and the original vegetation that remains only does so because it is confined to the ecosystems that are extreme and defy human use. Consequently, a few key areas of the remaining original vegetation emerge as being critically important to biodiversity and ecological processes. These are obviously very limited in size as they are not only geographic islands above the surrounding lowlands, but also islands in a human-transformed environment. However, in recent decades, as the **human population has increased**, so too has the pressure on land resources. In the highlands, people are now tilling marginal lands: barley is sown up to 4,100m ASL in the northern highlands on slopes greater than 45°.
6. Besides agricultural crops, Ethiopia has the largest national herd of domestic livestock and cattle, in particular, in Africa. The impacts of **overgrazing** are increasingly obvious. In part, the number of cattle in the country results from the absence of fuelwood (what there was, say, fifty years ago with has largely been removed through human exploitation for fuel and construction), as many rural Ethiopian highlanders use cattle dung as their main source of fuel. As with agriculture and similarly because of land degradation, livestock are increasingly using the more extreme areas to graze – such as the high altitude Afroalpine area.

7. The sum of these factors has resulted in a massive transformation of the environment, and it is estimated that as much as 97% of the original vegetation has been lost in the highlands<sup>1</sup> and that 95% has been degraded in the eastern lowlands<sup>2</sup>. The degree to which the natural vegetation and animal populations have been lost means that the region's biological diversity is acutely threatened.

8. In addition to the transformation of the land to agriculture and degradation of the land by overgrazing, **humans have hunted and killed birds and mammals**. Historically, Ethiopia was central to the ivory trade from the East African coast with evidence of ivory being traded from the area of modern-day Ethiopia with Ancient Egypt between 2,500-3,000BC. Ethiopia has also been trading in rhino horn, civet musk, leopard and lion skins, and frankincense since the time of Queen of Sheba, and Ethiopian Kings used to give live wildlife as presents to Egyptian sultanates to obtain Patriarchs for the Orthodox Church<sup>3</sup>.

9. In ecological terms, there is nothing precluding elephants *Loxodonta Africana* from inhabiting the highlands of Ethiopia and it is likely that the elephant populations from these areas were long extirpated as a result of the ivory trade and, secondarily, the transformation of land to agriculture. By the late 19<sup>th</sup> Century, elephants had been extirpated across the majority of the country – and those populations in remoter areas (e.g., the Awash valley) were being hunted<sup>4</sup>. In response, the Emperor Menelik II passed legislation to regulate hunting – especially of elephants – in 1901. Further legislation was passed in 1944 to regulate hunting.

10. The history of protected areas in Ethiopia dates back to 15<sup>th</sup> Century with the establishment of a Royal Protected Forest at Menagesha-Suba. This ancient patch of forest persists today. Other community-based natural resource management systems (effectively protected areas) such as those found in the Guassa-Menz were established up to four centuries ago. Protected areas – in the modern sense – were first created in response to a UNESCO Mission to the country (in response, in turn, to a request from the Ethiopian government) in 1963 and currently protected areas cover 14% of the country. The system of protected areas has been Ethiopia's principal strategy to conserve its biodiversity. However, the protected areas in the country are de facto open access resources areas, with the perception that they exist but only for a tiny patch of land around the HQ. For example, Bale Mountains National Park is often referred to as "Dinsho Park" referring to the fenced area surrounding the park headquarters while in functional terms the remaining (99%) area of the park is an open access resource for grazing livestock or expanding agriculture. In short, despite recent gains with seven PAs being legally gazetted, **the protected areas are ineffective at reaching their objective of protecting biodiversity, ecosystem services and ecological processes**.

11. Despite these efforts, elephant populations in Ethiopia have continued to decline, with a loss of 90% since the 1980s and with extirpation from at least 6 of the 16 areas in which elephants were found in the early 1990s. Currently, an estimated 1,850 elephants still occur in the country in up to 10 populations, of which 5 are partially transboundary<sup>5</sup>. Hunting has not been confined to elephants and there has been a significant reduction in animal populations. For example, the Grevy's zebra *Equus grevyi* population in Ethiopia declined by 93% over a 23-year period (1,600 to 110 from 1980 to 2003). Similar declines in numbers and range (although with less precise datasets) have been observed for many species, including, for example, Ethiopian wolf *Canis simensis*, African wild ass *Equus africanus*, Swayne's hartebeest *Alcelaphus buselaphus swaynei* and mountain nyalas *Tragelaphus buxtoni*. The killing of animals has not just been for subsistence use or potentially as a buffer during famines. During periods of political vacuum (e.g., during periods when there are transitions in government), protected areas have been targeted with destruction of infrastructure and killings of wildlife (Yalden *et al.*, 1996).

12. The country is also seen as a transit route for ivory (and other commodities) with Bole International Airport being a pivotal hub (demonstrated by the 6.1 tons of ivory being confiscated, a proportion of which was

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<sup>1</sup> Williams, S.D., Vivero Pol, J-L., Spawls, S., Shimelis, A. & Kelbessa, E. (2005) Ethiopian Highlands. In *Hotspots Revisited* (eds. Mittermeier, R.A. *et al.*). Conservation International: Cemex Press

<sup>2</sup> Friis, I (2005) Horn of Africa. In *Hotspots Revisited* (eds. Mittermeier, R.A. *et al.*). Conservation International: Cemex Press

<sup>3</sup> Hundessa, T. (1995) Utilisation of Wildlife in Ethiopia. Proc. Participatory Wildlife Management Workshop; Addis Ababa, August, 1995. pp 69-74.

<sup>4</sup> Powell-Cotton, P. (1902) A Sporting Trip Through Abyssinia. London: Rowland Ward.

<sup>5</sup> EWCA (2015) Ethiopian Elephant Action Plan, 2015-2015. February 2015.

confiscated in Bole International Airport). As a consequence, in 2012, Ethiopia scored 40% on the “Elephant Trade Information System” for law enforcement<sup>6</sup>.

13. Further to this, there is a buoyant trade in live animals (with a focus on species such cheetahs, *Acinonyx jubatus*) – particularly through the eastern borders of Ethiopia to supply markets in the Middle East (e.g. an estimated 98 cheetah cubs have been smuggled to the Middle East so far in 2016<sup>7</sup>) and wildlife products to a variety of markets (for example, leopard skins to Sudan).

14. Countering illegal wildlife trade (IWT) and preventing the degradation of the country’s biodiversity resources are both of importance to development processes within Ethiopia – as attested in the existing policies and strategies of the country. There is a relatively sound set of policies, strategies and legislation (law, regulations and guidelines – including the Environmental Policy of Ethiopia, and the Wildlife Development, Conservation and Utilization Regulations of 2008) – although one overriding barrier is the policy/legislation – implementation divide. There are two primary strategy documents driving development in Ethiopia: the Growth and Transformation Plan (GTP II) and the Climate-Resilient Green Economy (CRGE). Preventing the degradation of Ethiopia’s natural resources – including natural resources conservation, as is planned in this proposed project, is seen to be an important part of the Economic Sectors described within the GTP II both within productive landscapes and also in the area of Culture and Tourism<sup>8</sup>. The CRGE hinges on efforts to stop unsustainable use of natural resources. In short, the proposed project will be relevant to the development of Ethiopia as highlighted in these high-level policy and strategy documents. The proposed project also will contribute directly to the achievement a number of different strategic goals and targets of the country’s NBSAP<sup>9</sup>. The proposed project has an output that directly relates to contribute to the achievement of Ethiopia’s commitments under CITES.

15. The proposed project will also contribute to meeting the objectives of the Sustainable Development Goals (SDGs) as follows: **Goal 1 Ending poverty**: the project will work in a number of ways to reduce poverty, specifically through community engagement and through improving the wellbeing of people that choose to engage with varieties of agro-biodiversity. The project will also contribute in some way to **Goal 2 - Food security** (through agro-biodiversity work), and **Goal 8 Decent work and economic growth** (through capacity development). The project will also make substantial contributions to: **Goal 12 Sustainable consumption and production patterns** by putting into place functional deterrents to illegal wildlife killing and trade, and improved access to and use of natural resources both within and surrounding protected areas; **Goal 13 Take urgent action to combat climate change and its impacts**: through sustainable use and protection of natural resources; **Goal 15 Life on land**: through the improved management of terrestrial protected areas; **Goal 16 Peace, justice and strong institutions**: through improved law enforcement and reducing the level of crime and security risk to communities associated with wildlife crime and IWT; and **Goal 17 Means of implementation and partnerships**: bringing Ethiopia as a critical player into a 19-country strong global \$131 million Global Wildlife Programme that is expected to leverage \$704 million in additional co-financing over seven years.

16. **Root causes, and barriers to effectively managed protected areas and effective law enforcement.** High international demand for wildlife products, poverty of local communities (coupled with absolute dependence on natural resources), and the fact that key institutions have not been sufficiently built are key **root causes** of poaching, IWT and habitat degradation in Ethiopia. There are five overarching **barriers** that stand in the way of advancing the long-term solution to eliminate these threats at a national level (Fig 1):

17. **Limited functional consistency among environmental agencies.** The management effectiveness of the protected areas is low, many of the protected areas severely degraded (e.g., the baseline METT scores for the five pilot PAs for this project are: Omo NP: 13, Mago NP: 15, CCNP: 30, Babille: 13, Kafto Shiraro NP: 46) and there is much potential to improve the institutional issues associated with the organisations that have the mandate to manage the protected areas in the country, including the Ethiopia Wildlife Conservation Authority (EWCA – the

<sup>6</sup> See Nowell, K. 2012. *Wildlife crime scorecard: assessing compliance with and enforcement of CITES commitments for tigers, rhinos and elephants*. World Wildlife Fund for Nature, Washington D.C.

<sup>7</sup> Personal communication from the Cheetah Conservation Fund (CCF) to the PPG consultants.

<sup>8</sup> See Section 4.1 Agriculture and Rural Transformation, and Sections A.5, A.7 and 8.2.3 in the GTP II.

<sup>9</sup> Specifically: Strategic Goal A, Target 1, contribution to Target 2; Strategic Goal B, Target 5; Strategic Goal C, Target 8 & 9; Strategic Goal D, Target 12 & 13; Strategic Goal E, Target 14, 16 & 18.



organization with the mandate to manage wildlife and federal protected areas in country<sup>10</sup>). Improved institutional stability would also benefit the system: EWCA has been shifted among different ministries and at different levels ten times over the past three decades). If not addressed, such institutional issues present profound risks to the project (see Section V)<sup>11</sup>.

18. Further to the institutional issues, at the level of the protected areas, there is room for improvement for i) the collaboration, coordination and connection among the park managers and the regional, zonal and woreda authorities, ii) the management systems in the protected areas, and iii) the collaboration, coordination and connection between the park managers and the law enforcement authorities. Finally, there are ongoing large-scale agricultural developments within some of the National Parks that threaten to undermine their ecological integrity and functionality.

19. *Capacity for law enforcement and PA management.* In part, the institutional issues can also be attributed to capacity that could be significantly improved – including resources, tools and materials that would otherwise allow PA staff to carry out their tasks optimally. Other aspects that could be improved include logistical support, and training systems and opportunities. In addition, there is a profound shortage of the number of professionals working in the environment – and particularly the conservation – sector. In part, this can be linked to relatively little investment in the conservation sector (in contrast, for example, with some of Ethiopia’s neighbours) – although this has been changing since 2005<sup>12</sup>.

20. In addition, EWCA has only relatively recently improved the effectiveness of their engagement with other organizations and institutions that are implicated along the judicial chain (including, for example, the police, the prosecutor’s offices, magistrates and other people in the judiciary) or with combatting illegal wildlife trade, and, again, there is room to enhance effectiveness and efficiency.

21. *Insufficient conservation legislation.* In the broadest terms, the policies and legislation as it exists are good as there have been improvements in the legislation over the past few years<sup>13</sup>. However, a legislative review has been under way as the PPG was taking place (as there has been recognition of some flaws within the legislation as it currently stands). Further to this, legislative barriers have been determined over the course of the PPG stage, including: i) the application of international PA frameworks without analysis of the validity or applicability of such approaches in the context of Ethiopia – coupled with the perception that the higher the status conferred to any given area, the better, ii) the legislation has on numerous occasions proved to be a barrier to contextually appropriate pilot work that might, if tried, have led to more effectively managed protected areas (including, for example, seeking agreements with local communities for access to and use of natural resources within protected areas), and iii) the inability to adapt to some of the recent shifts in conservation thinking and paradigms<sup>14</sup>.

22. As elsewhere, access to detailed information regarding applicable laws is difficult and as a consequence detailed knowledge of the existing legislation (and the tools therein) to assist in any form of law enforcement is limited – especially among the practitioners in the vicinity of protected areas and in the transit points.

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<sup>10</sup> In 2008 the establishment of the present Ethiopian Wildlife Development, Conservation and Utilization Authority (EWCA) was proclaimed under Proclamation 575/2008 in May 24<sup>th</sup> 2008. EWCA is an autonomous public agency of the Federal Government” accountable to the Ministry of Culture and Tourism. Following this the Council of Ministries provided the regulation 163/2009 on February 19<sup>th</sup> 2009.

<sup>11</sup> While addressing such systemic issues are beyond the scope of this project, its success is dependent on systemic improvements and an institution building process. GIZ has the intention to implement a programme to address some of these systemic issues that afflict EWCA and, as a result, the aim of this project shall remain strictly focused at the level of the protected areas.

<sup>12</sup> Since 2005, a number of organizations are partnering in the country – e.g., Frankfurt Zoological Society (FZS) has engaged since 2004, UNDP implemented a GEF project, SDPASE, 2008-2016; AWF has had projects since 2014; notably, KfW and GIZ have also engaged in the country (with biodiversity forming one its funding strategies in the country). This is on top of the Wildlife Conservation Research Unit of the University of Oxford, which has operated in the country since 1995 and the NYZS/WCS programme that was operational from 1984-1994. The government has also increased the budget – e.g., for resettling people living in the Simien Mountains National Park.

<sup>13</sup> In 2008, the establishment of the present Ethiopian Wildlife Development, Conservation and Utilization Authority (EWCA) was proclaimed under the 575/2008 in May 24<sup>th</sup> 2008. Following this, the Council of Ministries provided the regulation 163/2009 on February 19<sup>th</sup> 2009. Other legislation developed under the UNDP-GEF SDPASE project include: Revision of wildlife regulation and proclamation (draft), Trust fund proclamation (draft), seven protected areas gazetted; Reorganization of EWCA (draft)

<sup>14</sup> The notable exception here is the trial of shared governance of protected areas – although all trials (e.g. with African Parks in Omo and Nechisar NPs, and more recently in Simien and Awash NPs) have failed to date.

23. *Marginalisation and limited knowledge of the environment sector.* Despite the development of the CRGE, in large part, the environment sector – and protected areas conservation in particular – remains marginalized off the public and political agenda. However, this is not wholly because of a lack of knowledge or awareness; indeed, the many policy makers and members of the public are aware of the degradation of the environment in the country. There are sections of society that do lack awareness, particularly in the value of conservation, and people do not make the connection between conservation and their livelihoods. This is not limited to wildlife conservation but also extends to agro-biodiversity: neither the value chains for agro-biodiversity products nor the economic viability for local communities to focus on agro-biodiversity products are well understood. Further to this, the aspirations of the majority of people, led by the urban elite, is towards a materialistic, consumerist society seeking quick gains. In such situations, the environment is perceived as a barrier to development – or that there are more pressing development issues. The system is caught in a Catch-22 in which aspirations will not change until long-term planning becomes the norm and until such time as the value of nature is demonstrated but the system is such that such demonstrations are currently near impossible.

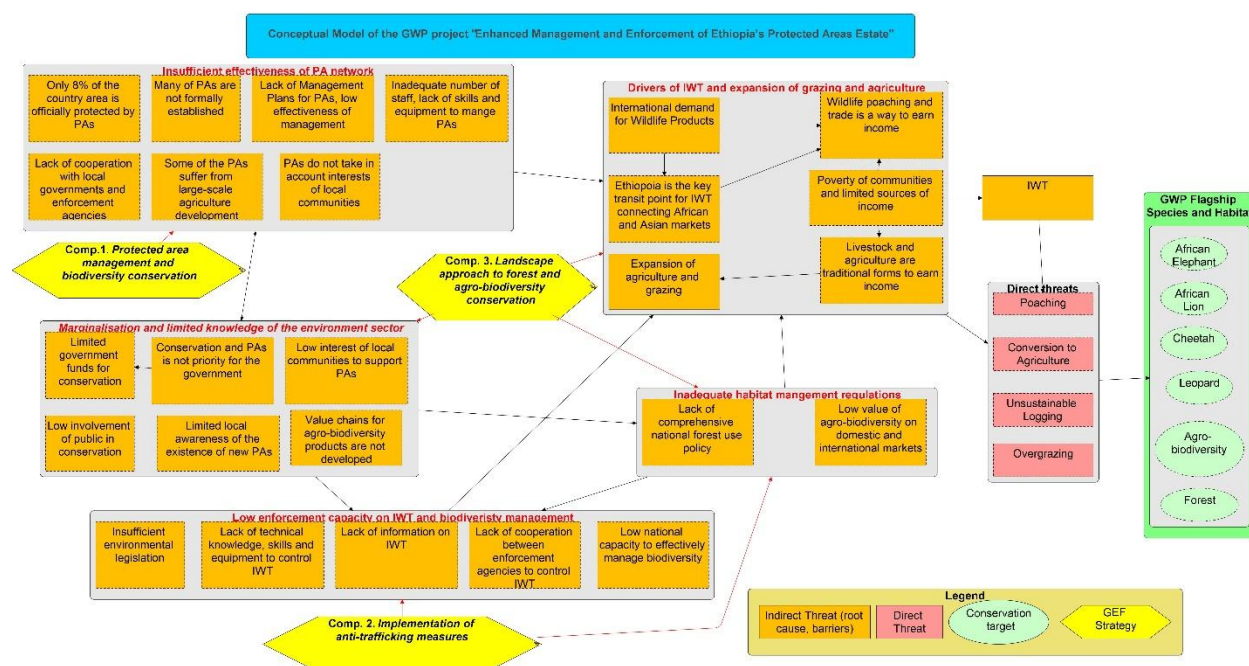


Figure 1. Threats, root causes and barriers to effectively address poaching, IWT and unsustainable natural resources consumption in Ethiopia and suggested UNDP/GEF strategies

### III. STRATEGY

24. *The Long-Term Solution.* The proposed project is seeking to implement solutions that will overcome the barriers, as described above, and to achieve the project's objective: **To build Ethiopia's capacity for biodiversity conservation through increased effectiveness of protected area management and implementation of measures to reduce Illegal Wildlife Trade (IWT) and poaching.** The objective will be achieved through the implementation of three project components. **Component 1: Protected area management and biodiversity conservation.** This component will focus on *demonstrating* how effective management of protected areas in Ethiopia can be achieved by targeting a small number of protected areas. To ensure synergy with the objectives of the Global Wildlife Program, the selected pilot sites are those protected areas in which the key target species (elephants and big cats) are found. The improvement of law enforcement within those different sites will, as a consequence, be a primary focus. The component will focus strongly on site-level activities (as opposed to systemic activities as these are beyond the scope and resources of the project). **Component 2: Implementation of anti-trafficking measures.** This component will focus on a number of different activities that are designed to improve different aspects of law enforcement so as to increase the deterrent to illegal trafficking of wildlife. A key aspect of the component is that

it demands the cooperation and collaboration of different agencies and, therefore, takes wildlife crime investigation and prosecution into the mainstream. **Component 3: Landscape approach to forest and agro-biodiversity conservation.** This component focuses on realising the value of agro-biodiversity for the country and specifically for people living in the vicinity of the protected areas targeted in Component 1. Finally, lessons learned from the project via active participation of all stakeholder groups in the project implementation and M&E will be made available nationally and internationally to facilitate IWT fight through implementation of **Component 4 Knowledge Management, Gender Mainstreaming, and M&E.**

25. **Baseline scenario.** As would be expected, the project was developed in an environment in which there are a number of actors with on going programs and projects (as described in the Stakeholders and Partnerships tables of Section IV). Despite these on going programs and projects, in the absence of the GEF funding: i) it is expected that protected area management effectiveness will, at best, remain at same (the baseline is an average METT score of 23.4 among the selected pilot PAs – which can be compared with the projected average score at the EOP of 82.8, see Section IV); ii) with no partners working in three of the selected pilot areas, poaching rates would increase until such time as wildlife populations had crashed (currently there is no patrolling occurring in three of the five protected areas and no prosecution of perpetrators), iii) the country would continue to be a transit route for wildlife products and a source for live animals (the on going programs and project may slow the rate of transit). In contrast, over the past two decades, there are areas that are well developed – including processes for community based forest management<sup>15</sup>. What this project will do is to take these successfully applied principles and apply them to different ecosystems and communities with dependences on different natural resources.

26. In short, the GEF funding will catalyse significant change (or, in the parlance of GEF, there is significant incremental reasoning for the project).

27. **Theory of Change.** To respond to the growing wildlife crisis and international call for action, the Global Environment Facility (GEF) in June 2015 launched the Global Wildlife Program (GWP). Led by the World Bank, the GWP is a \$131 million grant program designed to address wildlife crime across 19 countries in Africa and Asia. The GWP serves as a platform for international coordination, knowledge exchange, and delivering action on the ground. The GWP builds and strengthens partnerships by supporting collaboration amongst national projects, captures and disseminates lessons learned, and coordinates with implementing agencies and international donors to combat IWT globally. National projects within the GWP form an integral part of a community of practice that promotes the sharing of best practices and technical resources. Ethiopia is a national project under the GWP and during the first year of implementation of the global program, Ethiopia already benefited from participation in two in person knowledge exchange events that were held in Kenya and Vietnam. These events brought the GWP countries together to exchange experiences on various anti-poaching, anti-trafficking, and demand reduction issues. During project execution, Ethiopia will also have access to the documentation and materials produced during other virtual- and in-person meetings of relevance to the activities to be carried out in country, especially those on efforts to improve protected area management and combatting poaching within and surrounding the protected areas, to combat trafficking of illegal wildlife products and live animals, and landscape level natural resources management. Ethiopia is committed to engaging with GWP partners on joint efforts that will help with the project implementation, including issues related to human wildlife conflict and other technical areas.

28. As such, the project's Theory of Change (ToC) is embedded within the overall ToC underlying the Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development<sup>16</sup> Programme (GWP). The project will directly contribute to three GWP Components (Table 1).

**Table 1. How the project components relate to the GWP components, outcomes and targets**

<sup>15</sup> For example, see <http://www.farmafrica.org/downloads/participatory-forest-management-in-ethiopia.pdf>, [http://www.moa.gov.et/documents/93665/3423237/PFM+Guideline+4-20-12\\_MoA%2BKH5update.pdf/0a45467d-cf3e-4732-b4f6-25affcc87ef](http://www.moa.gov.et/documents/93665/3423237/PFM+Guideline+4-20-12_MoA%2BKH5update.pdf/0a45467d-cf3e-4732-b4f6-25affcc87ef), <https://www.giz.de/en/worldwide/32891.html>, <http://www.fao.org/3/a-aq407e.pdf>

<sup>16</sup> See [https://www.thegef.org/gef/project\\_detail?projID=9071](https://www.thegef.org/gef/project_detail?projID=9071) for the comprehensive Programme Framework Document (PDF). The included TOC of the Global Programme focuses on strengthening the conservation of globally threatened species and reducing wildlife crime by ensuring that local communities feel the value of preserving healthy natural resources and populations of wildlife species in order to secure their own livelihoods.

| Child Component  | Program | GWP Component  | Program | GWP Program Outcomes   | GWP indicators and targets   |
|--|---------|--|---------|--|--|
| <b>Component One:</b><br>Protected area management and biodiversity conservation |         | 1.Reduce Poaching and Improve Community Benefits and Co-management |         | <u>Outcome 1:</u> Reduction in elephants, rhinos, and big cat poaching rates. (baseline established per participating country)   | <p><b>1.1:</b> Reduction in poaching rates of target species at program sites.</p> <p><b>1.2:</b> Number of poaching-related arrests derived from enforcement operations at program sites (increase at first, then decrease over time)</p> <p><b>1.3:</b> Number of investigations/patrols at program sites that result in poaching-related arrests (increase at first, then decrease over time)</p> <p><b>1.4:</b> Increase in the proportion of poaching-related arrests that result in prosecution</p> <p><b>1.5:</b> Increase in protected areas management effectiveness (METT) score for program sites</p> |
| <b>Component Two:</b><br>Implementation of anti-trafficking measures             |         | 2.Reduce Wildlife Trafficking                                      |         | <u>Outcome 4:</u> Enhanced national and international interagency collaboration to fight organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products. | <p><b>4.1:</b> Increase in number of dedicated wildlife law enforcement coordination mechanisms at program sites</p> <p><b>4.2:</b> Increase in number of joint enforcement operations at program sites that involve evidence from, or investigations, in multiple jurisdictions or by multiple agencies</p> <p><b>4.3:</b> Increase in use of intelligence-focused guided enforcement operations at program sites</p> <p><b>4.4:</b> Increase in random routine inspections at program sites</p> <p><b>4.5:</b> Increase in proportion of arrest, prosecution, and</p>  |

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|  |  |  | conviction rates relative to seizures   |
| <b>Component Three:</b><br>Landscape approach to forest landscape and agro-biodiversity conservation | 1.Reduce Poaching and Improve Communities Benefits       | <p><u>Outcome 2:</u> Increased incentives for communities to live with and manage wildlife, derived from wildlife management in support of sustainable development</p> <p><u>Outcome 3:</u> Integrated landscape management practices and restoration plans to maintain forest ecosystem services implemented by government, private sector and local community actors, both women and men</p> | <p><b>2.1:</b> Decrease in human-wildlife conflict (HWC) as measured by incident reports</p> <p><b>2.2:</b> Increase in benefits<sup>17</sup> received by communities from sustainable (community-based) natural resource management activities and enterprises</p> <p><b>3.1:</b> Increase in the number of policies, plans, and regulatory frameworks that support low GHG development (compared to baseline levels at start of project)</p> <p><b>3.2:</b> Increase in area of forest resources restored in the landscape, stratified by forest management actors (compared to baseline levels at start of project)</p> <p><b>3.3:</b> Increase in community benefits generated for managing forest ecosystems and restoration plans</p> |
| <b>Component Four:</b><br>Knowledge Management, gender mainstreaming, and M&E                        | Component 4. Knowledge, Dialogue Policy and Coordination | <u>Outcome 6:</u> Improved coordination among program stakeholders and other partners, including donors  | <p><b>6.2:</b> Program monitoring system successfully developed and deployed</p> <p><b>6.3:</b> Establishment of a knowledge exchange platform to support program stakeholders</p>  |

29. In addition to contributing to the GWP, the project is almost unique in the degree to which it is contributing to the implementation of the **Ethiopian Elephant Action Plan**<sup>18</sup> (2015). This is even more important because Ethiopia acts as Secretariat for the Elephant Protection Initiative (EPI) and is one of the founding signatories for the initiative. The project is first making significant contribution to carrying out the *Priority Actions for Elephant*

<sup>17</sup> Includes capacity building, trainings, equipment, jobs, revenue and income, products such as sustainably harvested meat, etc.) at the local and community level from wildlife management, sustainable livelihoods and economic development (i.e. tourism and other natural resources management and conservation activities)

<sup>18</sup> Ethiopian Wildlife Conservation Authority (2015) Ethiopian Elephant Action Plan 2015 – 2020. Addis Ababa, Ethiopia. March 2015.

*Conservation in Ethiopia* (as listed on page 7 of the EEAP). Second, the project is contributing to the achievement of EEAP Strategic Objectives One (*Ivory trafficking within and through Ethiopia stopped by 2025*) and Two (*Site-based law enforcement efforts including intelligence systems strengthened so that illegal killing is prevented by 2025*), and, in part, to EEAP Strategic Objectives Three (*Habitat extent and connectivity maintained at current levels and habitat quality improved by 2025 for all populations*), Four (*HEC reduced by 2025 with no injury or loss of human or elephant life and property destruction reduced to 25% of baseline*) and Five (*Elephant conservation and adaptive management decisions based on sound knowledge and quality monitoring data by 2020*). For SO-1, the project is covering all of the 12 actions identified in the EEAP; similarly, for SO-2, the project is covering all of the eight actions identified in the EEAP. For SO-3, the project is covering three (of six) actions. In addition, the project is contributing in small part to the remaining two Strategic Objectives (see Table 2). In addition, the project is also making a significant contribution to the Site Based Goals and Priorities for Action in the five selected pilot areas (Section E of the EEAP). In summary, the project is making a *significant* contribution to the implementation of the EEAP.

**Table 2. The Ethiopian Elephant Action Plan Strategic Objectives and the proposed project outcomes and outputs that make a contribution to the achievement of those strategic objectives.**

| EEAP strategic objectives and activities  | Project outcomes and outputs  |
|---|---|
| <b>1. Ivory trafficking within and through Ethiopia stopped by 2025</b>   |   |
| 1.1. Build awareness  | Output 2.9 (Information campaign)   |
| 1.2. Improve legal framework  | Output 2.5 (As necessary based on assessment carried out under Output 2.4)                                    |
| 1.3. Improve prosecution rates<br>1.4. Improve detection on land trafficking routes<br>1.8. Improve forensic support<br>1.11. Stop domestic sales/trade<br>1.5. Improve detection at BIA<br>1.12. Build EWCA and regional anti-trafficking capacity | Outputs 2.6 (Establishment of an Environmental Crime Unit, ECU, with intelligence and investigative capacity) |
| 1.6. Strengthen ivory management  | Output 2.7 (Management system for wildlife products – including ivory)  |
| 1.7. Improve monitoring and data management   | M&E framework of project including aerials surveys for elephants at project start up and at EOP               |
| 1.9. Strengthen national cooperation  | Outputs 2.2 and 2.3 (national and regional cooperation)   |
| 1.10. Strengthen international cooperation  | Output 2.1 (International Cooperation and agreements)   |
| <b>2. Site-based law enforcement efforts including intelligence systems strengthened so that illegal killing is prevented by 2025</b>   |   |
| 2.1. Strengthen legal framework and interagency cooperation at sites  | Outputs 1.3 and 2.5 (Site level law enforcement and improving law enforcement legislation, as necessary)      |
| 2.2. Build human resources for field operations   | Output 1.3 (Site level law enforcement)   |
| 2.3. Build site level intelligence systems  | Output 1.3 coupled with Output 2.6 (Establishment of ECU)   |
| 2.4. Provide infrastructure   | Output 1.1 (PA management plan implementation)  |
| 2.5. Support field patrolling   | Output 1.3 (Site level law enforcement)   |

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| 2.6. Investigate feasibility of a central rapid reaction force   | Output 2.6 (Establishment of ECU)   |
| 2.7. Develop and implement RBM systems   | Output 1.2 (Management systems)   |
| 2.8. Implement strategies to ensure local community Support  | Outputs 2.9, 3.1 and 3.2 (Information campaign, ILM plans and CBNRM agreements)                 |
| <b>3. Habitat extent and connectivity maintained at current levels and habitat quality improved by 2025 for all populations</b>    |   |
| 3.2. Work with land use planning and infrastructure development agencies   | Output 3.1 (Integrated landscape management plans)  |
| 3.4. Implement strategies to reduce illegal grazing  | Output 3.2 (CBNRM agreements)   |
| 3.6. Work with development actors on alternative livelihoods for pastoralists, rangeland use and family planning                   | Output 3.2, 3.3, 3.4 (CBNRM agreements, value chain analysis, microcredit schemes)              |
| <b>4. HEC reduced by 2025 with no injury or loss of human or elephant life and property destruction reduced to 25% of baseline</b> |   |
| 4.2. Establish participatory approaches for HEC mitigation   | Output 3.4 (microcredit schemes)  |
| 4.4. Undertake local land use planning   | Output 3.1 (Integrated landscape management plans)  |
| <b>5. Elephant conservation and adaptive management decisions based on sound knowledge and quality monitoring data by 2020</b>     |   |
| 5.1. Establish size and dynamics of all populations  | M&E framework of project including aerials surveys for elephants at project start up and at EOP |
| 5.4. Set up site level and central databases and reporting systems   | Output 1.2 (Management systems)   |

30. The components are designed to overcome the barriers, as identified above, through the achievement of outcomes. There are a number of assumptions that are associated with the achievement of the outcomes (see table below).

**Table 3. The project's Theory of Change**

| Outputs  | Outcomes   | Impacts and GEBs  | Assumptions   |
|--|--|---|---|
| <b>Component 1: Protected area management and biodiversity conservation</b>  |  |   |   |
| Having completed detailed analysis of each area, management plans will be developed and implemented for each of the selected PAs (Output 1.1). An important part of the work will be the development and implementation of SOPs to guide the day-to-day work of PA managers (Output 1.2). This will be coupled with targeted | The implementation of the SOPs and the management plans will lead to direct improvements in the management effectiveness of the PAs (Outcome One). The improved law enforcement will lead to successful prosecutions of arrestees and, therefore, an increased deterrent to perpetrators of wildlife | The improved management effectiveness of protected areas, coupled with improved law enforcement (as measured by prosecutions leading to appropriate sentences), will lead to a decrease in levels of poaching (mid-term impact), ultimately, lead to the recovery of wildlife populations – especially of | Management plans will be approved by appropriate government agencies.<br><br>The institutional functionality at the central level (which is not being addressed by this project) does not continue to present a barrier to effective management of protected areas.<br><br>Interagency cooperation and collaboration at the |

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| work to develop the law enforcement capacity in and around each of the selected PAs. This will be done with cooperation and collaboration among the relevant agencies and institutions (Output 1.3).   | crimes at the level of the selected PAs (Objective Outcome).  | elephants (long-term impact and GEB).   | <p>site level will be mutually beneficial for agencies involved.</p> <p>Government will provide sufficient human and financial resources to ensure efficient management of PAs.</p>   |
| <b>Component 2: <i>Implementation of anti-trafficking measures</i></b>   |   |   |   |
| Initially, a framework for countering illegal wildlife trafficking and trade will be built among the relevant actors at the national and regional levels (Output 2.1). An analysis of all applicable laws and legislation will be undertaken. Gaps will be identified and legislation to fill the gaps will be drafted (Output 2.2). An Environmental Crime Unit will be established to collect intelligence, carry out investigations and gather evidence for prosecuting perpetrators of wildlife crimes (Output 2.3). The storage and management of confiscated wildlife products (including ivory) will be improved (Output 2.4) and the effectiveness of the CITES authorities will be improved (Output 2.5). | All the Outputs will lead to improved national and local capacity to combat IWT (Outcome 2) and improved law enforcement. The improved law enforcement will lead to successful prosecutions of arrestees and, therefore, an increased deterrent to perpetrators of wildlife crimes (Objective Outcome). | Improved enforcement will lead to a decrease in levels of illegal trafficking and trade in wildlife (both as live animals and plants, and in the form of wildlife products (mid-term impacts) which, in turn, will lead to recovery of wildlife populations – including elephants and big cats (long-term impact and GEB) | <p>Interagency cooperation and collaboration at the site level will be mutually beneficial for agencies involved.</p> <p>Government will provide sufficient human and financial resources for the effective functionality of the Environmental Crime Unit.</p> <p>The deterrent effect of successful prosecutions will take effect and will, ultimately, lead to a decline in the number of seizures.</p> |
| <b>Component 3: <i>Landscape approach to forest and agro-biodiversity conservation</i></b>   |   |   |   |
| Landscape level plans will be developed in the areas surrounding the selected protected areas couple with detailed mapping of forest and agro-biodiversity resources (Output 3.1). The value of forest and agro-biodiversity products will be determined (Output   | Given the Outputs local people will start to understand value of agro-biodiversity and other NRs and their involvement in conservation and sustainable NR management will increase (Outcome 3). Community based sustainable NRM will eventually lead to   | Increased value placed on forest resources and agro-biodiversity will lead to reduced rates of loss of these resources via unsustainable use of natural resource, agricultural expansion, and grazing (mid-term impact) and finally to conservation and   | <p>The government will agree to allow access to and resource of natural resources by local communities both within and surrounding protected areas.</p> <p>Government will provide sufficient human and financial resources for the</p>   |



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| 3.2). Thereafter, microcredit schemes will be established to encourage local communities to engage in production and sustainable harvesting which will lead to an improvement of their wellbeing (Output 3.3). Demonstration farms will be established to conserve genetic diversity and promote learning (Output 3.4) | increase of community benefits from agro-biodiversity and other NRs (Objective Outcome)   | restoration of agro-biodiversity and forest complexes (long-term impact)  | demonstration farms.<br>The proposed microcredit schemes will be readily taken up by the communities.    |
| Component 4: Knowledge management, Gender Mainstreaming, and M&E   |   |   |  |
| The project will encourage national and international stakeholders to participate in the project M&E (Output 4.1) and will systemize lessons learned from the implementation (Output 4.2)  | Participatory and gender balanced approach in M&E and strong lesson learning system will allow effective Adaptive Management of law enforcement, gender mainstreaming and community based conservation. Successful techniques will be implemented at national and international level by other projects (Outcome 4) leading to increase of law enforcement and CBNRM effectiveness (Objective Outcomes) | Thus, effect of the project will be strengthened and multiplied leading to decrease of poaching and IWT (Mid-Term Impact) and restoration of wildlife and agro-biodiversity and forest complexes (Long-Term Impact) | Other stakeholders have interest to learn from lessons and successful practices developed by the project |

31. The strategy has been developed on the basis of consultation with the majority of stakeholders who have been active in conservation projects in Ethiopia over the past twenty years. This includes the UNDP-GEF project “Sustainable Development of the Protected Area System of Ethiopia” that was implemented from 2008 – 2016. Other projects and organisations that were consulted over the PPG period include FZS (who have been active since 2004 in protected areas projects – especially in the Bale Mountains National Park), African Parks (who have been previously active in Omo and Nechisar National Parks and who were, over the course of the PPG period, negotiating for a management agreement for Gambella National Park), HOAREC (who have been engaged in Gambella National Park), stakeholders working with AWF in Simien Mountains National Park, BFF and their Border Point Project and having a dedicated IWT Officer, and, of course, the MOEFCC, EBI, EWCA and representatives from the SNNPR Tourism & Culture Office (see Annex K for a list of the people consulted over the course of the PPG process). The project also draws off other ongoing initiatives, including other ongoing UNDP-GEF projects (Mainstreaming Incentives for Biodiversity Conservation in the Climate Resilient Green Economy Strategy, and Mainstreaming Agro-biodiversity into the Agricultural Production System of Ethiopia). The PPG included a

stakeholder workshop<sup>19</sup> in which comments and feedback was given on a draft of the project document. Finally, the project document was also endorsed by a broad group of stakeholders at a validation meeting<sup>20</sup>.

32. In short, the strategy is based on the insights that these people have provided and their opinions of what will be effective. In addition, the strategy is drawn from other initiatives that are ongoing across the globe at present as the response to the Ivory Crisis grows. Thus, it draws from successful regional initiatives in Mozambique, Uganda, Kenya, South Sudan and Tanzania.

33. The project is taking the approach of focusing on the ground up – rather than adopting a top-down approach; a top-down approach was adopted in the previous UNDP-GEF SDPASE project. The consensus among stakeholders is that a bottom-up approach – working with PA managers and local partners – will be successful in the context of the proposed project and its objectives.

34. **Selected project areas.** The project will work in selected areas of the country<sup>21</sup>; the sites were specifically selected because they contain the majority of the remaining elephant populations in the country<sup>22</sup>. They include the landscapes encompassing i) the Omo-Mago-Chebera Chochora NPs, ii) the Babilie Elephant Sanctuary and iii) the Kaft Shiraro NP (see Annex M for maps). It should be noted that the selected pilot sites cover the majority of the elephant range in the country and only one protected area has not been included: this is Gambella National Park and it was not included on the basis that HoAREC and potentially African Parks are investing in the area. At the Inception Phase of the project, the project implementers should determine whether this remains the case; if not, then the project should support some parallel activities in Gambella as well (especially those that reduce poaching of elephants and IWT through the South Sudan-Ethiopia in the area – see descriptions of Outcome One and Two in Section IV Results and Partnerships).

35. **Omo-Mago-Chebera Chochora NPs.** This is a landscape that straddles the Omo River in its southward journey into Lake Turkana in Kenya. *Omo National Park* was established in 1968 as a “proposed” National Park and was re-demarcated by the SNNPR in 2005. The total area of the park is 2,936km<sup>2</sup> and regionally gazetted by SNNP authority although it is currently managed by EWCA. It lies in a complex area with eight ethnic groups living in the area. Threats include poaching of wildlife and grazing by domestic livestock and, more recently, large areas of the park have been appropriated for commercial agriculture (specifically sugar plantations) and the infrastructure associated with this has created a barrier to movement of wildlife and exposed it to illegal killings. *Chebera Churchura National Park* (CCNP) was established in 2004 and covers an area 1,190km<sup>2</sup>. The area is managed regionally by the SNNPR Bureau of Culture and Tourism. The area contains an estimated population of 430 elephants. This population of elephants is threatened with poaching. Other threats to the area include expansion of subsistence agriculture and unsustainable use of natural resources. As with Omo NP, *Mago National Park* (MNP) was established in 1970 as a “proposed” National Park but the area was “re-demarcated” in 2003 to an area of 1,942km<sup>2</sup> (taking into account various anthropogenic pressures). The area is also managed by the SNNPR Bureau of Culture and Tourism. The park is threatened with overgrazing and illegal killing of wildlife – and the elephant population has declined by 52% since the 1980s. The commercial agriculture in Omo NP and adjacent areas has resulted in a loss of connectivity among the areas.

36. **Babilie Elephant Sanctuary.** The Babilie Elephant Sanctuary (established 1970 and covering 6,900km<sup>2</sup>) is in the semi-arid areas of the east of the country and contains an estimated population of 250 elephants. It is also from this area that the majority of animals (including lions, cheetahs and a number of antelope species) are caught for the trade. The animals are smuggled through the Ethiopian borders and the alleged destination is the Middle East.

37. The small, isolated elephant population is threatened with poaching and killings of elephants have resulted in a decline of the populations. In addition, illegal settlement, livestock grazing and agricultural expansion is also increasing with subsequent degradation of the habitat and escalation of human-wildlife conflict. High levels of

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<sup>19</sup> Held on 02 September 2016; see Annex K for a list of the participants.

<sup>20</sup> The Validation Meeting was held on 09 December 2016; see Annex K for a list of participants.

<sup>21</sup> The sites were selected on the basis of a discussion held within the Ethiopian Wildlife Conservation Authority (EWCA) on 09 June 2016.

<sup>22</sup> The only protected area that also harbours an elephant population that was not included as a direct recipient of the proposed project is Gambella National Park. During the PPG phase, Gambella NP was the recipient of other donors and partners, with the additional possibility that African Parks would also engage in the area. The idea was that practices would be shared such that efficiency and effectiveness was enhanced.

human-elephant conflict resulting in perceived injustices, high economic loss and loss of life among people living in the vicinity of the sanctuary. It is notable that Babille Elephant Sanctuary is at least twice the size of any of the other pilot protected areas. However, the project will build on a successful partnership (between the EWCA and the Born Free Foundation, BFF) that is already established in Babille and, in many ways is pioneering the sort of anti-poaching and anti-trafficking work that is proposed in this project. The partnership is already providing important lessons for replication in this project.

38. **Kafta Shiraro NP.** This protected area (of 2,176km<sup>2</sup>) lies in the far north of the country. It was originally established as a wildlife reserve but upgraded to a national park in 2007. It was formally gazetted in 2015. As with Babille, there is an isolated elephant population in the area (estimated at 300 animals): this is the most northern population of elephants on the continent and the population crosses the border into Eritrea. The area is threatened with habitat loss as a result of frequent fires, and corridor obstruction by irrigation schemes, settlement and agricultural expansion.

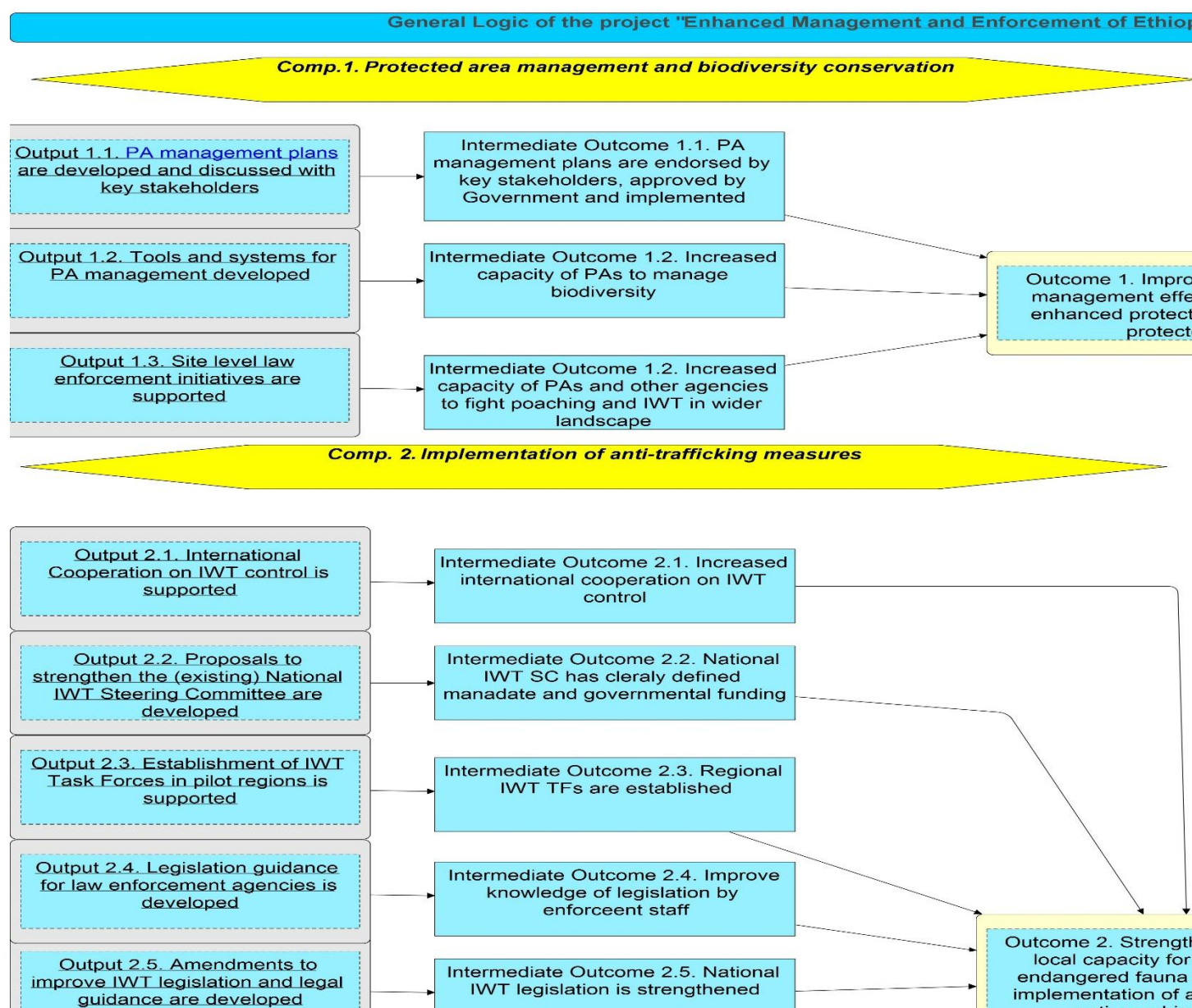


Figure 2. The proposed project's Theory of Change.

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## IV. RESULTS AND PARTNERSHIPS

### 39. Expected Results (Fig 2).

40. The section above describes the strategy and theory of change; the long-term goals – and hence the **long-term impacts** or **global environmental benefits** (GEB) – to which the project will contribute (in a 10-15-year timeframe) are:

- a. Recovery of wildlife populations in project sites Ethiopia, specifically targeting elephants (PIKE: baseline = 1; EOP target = 0.2), lions and cheetahs (EOP target: a 300% decline from peak seizure rates): these were selected as GWP flagship species to measure the success of the proposed project
- b. Forests and agro-biodiversity are valued and, as a consequence, there is no loss of habitat, species or varieties (EOP target: 50,000ha within implemented integrated land management plans)

41. These project will contribute in the mid-term (five – ten years) to these long-term impacts by reducing the threats to wildlife, agro-biodiversity and forest ecosystems (Fig.1), depicted as **Mid-Term Impacts** in the ToC: *Decreased IWT, Reduced Poaching, Decreased Unsustainable Use of Natural Resources, and Decreased Overgrazing* (particularly a decrease in elephant poaching: PIKE: baseline = 1; EOP target = 0.2; and a decrease in big cat seizures – both of live animals and animal products: EOP target: a 300% decline from peak seizure rates). Threat reduction will, in run, be achieved through the following objective level outcomes:

- a. Improved protection of key wildlife populations and ecosystems (EOP target: significant increases in management effectiveness in the five selected pilot PAs as measured using the METT from a baseline average of 23.4 to an EOP average target of 82.8; and 1,590,072ha of habitat under improved natural resource management);
- b. Increased deterrent effect of improved law enforcement (by EOP 90% of cases that are presented in court by the pilot PAs and >95% of the IWT cases that are presented in court will result in convictions with appropriate sentences)
- c. Improved well being of local communities (at least 1,200 beneficiaries of CBNRM and ILM by EOP from a baseline of zero)

42. The objective level outcomes will, in turn, be achieved during the project's lifetime through four outcomes (5 years):

- a. **Outcome One:** Improved protected area management effectiveness delivers enhanced protection in the targeted protected areas, as indicated by:
  - i. Five PAs have up-to-date management plans approved by the government and under implementation;
  - ii. ~ 300 of PA and wildlife agency staff have sufficient knowledge, skills and relevant tools for effective PA management and law enforcement;
  - iii. At least 5 inter-agency agreement to fight poaching and IWT with participation of target PAs are signed and implemented
- b. **Outcome Two:** Strengthened national and local capacity for conservation of endangered fauna and flora through implementation of anti-trafficking measures, as indicated by:
  - i. Four international agreement on IWT control are signed by Ethiopia and adjacent countries (Kenya, Somaliland, South Sudan, Sudan and Djibouti);
  - ii. National IWT Steering Committee has clear mandate and TOR and operates at full capacity;
  - iii. At least 2 IWT Task Forces are established and functional in pilot regions;
  - iv. Critical gaps in IWT legislation are eliminated;

- v. Environmental Crime Unit within the Federal Serious Crime Unit is established and have necessary staff and funding;
  - vi. Management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field is established and functional;
  - vii. National CITES management and scientific authorities have necessary knowledge and skills to facilitate its implementation;
  - viii. At least 10% of Ethiopia public are aware about negative impact of IWT and supportive to conservation;
  - ix. Capacity of government agencies on IWT control increased by at least 20%
- c. **Outcome Three:** Improved conservation of forestry and agro-biodiversity resources through a landscape approach based on community-based natural resource management, as indicated by:
- i. Two integrated landscape management plans covering 50,000ha are developed and are implemented
  - ii. Four stakeholder agreements on access to and sustainable use of natural resources within and surrounding target PA are signed and implemented;
  - iii. At least three new value chains for agro-biodiversity and forest products are used by local communities to generate sustainable income;
  - iv. Local communities in the project areas have access to funding (up to \$150,000 a year) for implementation of CBNRM projects;
  - v. ~35 sustainable small businesses are developed by local communities based on CBNRM principles;
  - vi. Average household impact of participating local communities increased by 30%
  - vii. Agro-biodiversity farms are established at the area of 100 ha.
- d. **Outcome Four:** Lessons learned by the project through participatory M&E, including gender mainstreaming, are used to fight poaching and IWT, and promote community-based conservation nationally and internationally, as indicated by
- i. Five project lessons used in other conservation projects;
  - ii. At least ten national and international organisations participate in project M&E.

43. To ensure achievement of above Outcomes the project will deliver following key Outputs (project products and services):

**Outcome One: Improved protected area management effectiveness delivers enhanced protection in the targeted protected areas**

44. There are **five** pilot sites that will be the focus of the project. These vary in size and management authority – but, critically, they include the greater majority of the elephant population in Ethiopia. The project will build on existing work and partnerships, where they exist, in the five pilot sites. It is notable that Babille Elephant Sanctuary is at least twice as large as any of the other pilot sites. However, the project is building on an existing partnership in this area between EWCA and the BFF: indeed, this partnership is proving successful and some of the already is acting as a demonstration for other protected areas across the country. This will be continued and enhanced under this project. The outputs necessary to achieve this outcome are as follows:

**45. Output 1.1. PA management plans are developed and supported for initial implementation**

46. The formulation of management plans for the **five** selected pilot PAs (Omo, Mago, Chebera Chuchura and Kafta Shiraro National Park and Babilie Elephant Sanctuary) will be supported<sup>23</sup>. Ideally, these would use a planning framework similar to the following: CDC PAPF Planning Unit (2007). Protected Areas Planning Framework: The Planning Manual, KWS, Nairobi, Kenya, 2<sup>nd</sup> Edition, September 2007 (downloadable from [www.kws.go.ke/download/file/fid/1471](http://www.kws.go.ke/download/file/fid/1471)). The management plans will include appropriate capacity development - based on detailed training needs assessments, and human and financial resource, infrastructure and equipment needs.

47. Detailed analysis of needs for human and financial resources, infrastructure and equipment (including, for example, vehicles, solar equipment, communications equipment, etc.). The analysis will demonstrate why any given piece of infrastructure or equipment is needed and how the resources, infrastructure and equipment will lead directly to achieving a targeted result and improvement of management. The linkage should be demonstrable.

48. An integral part of the plans will be the formation of a protected area management committee<sup>24</sup> with a clearly defined mandate. Where pertinent, the management plans will include i) business and/or sustainable financing plans, ii) tourism development plans, iii) infrastructure development plans, iv) disease management plans, and v) monitoring plans.

49. An action plan will be developed for their implementation and are linked to actions that lead to improvements in the METT scores.

50. Where pertinent, management plans will include discussions with local communities regarding access and use natural resources within PAs. Where possible, these discussions will lead to agreements with local communities being formulated, negotiated, agreed, signed and implemented.

51. The management plans will be submitted for approval by relevant authorities. Once approved, initial implementation of the MPs will be supported by the project.

## **52. Output 1.2. Tools and systems for PA management developed and initial operationalization supported**

53. At the site level, management systems developed and their initial implementation will be supported. A manual of standard operating procedures (SOPs) will be developed (with the participation of protected area managers) that will describe the different management systems that will guide the day-to-day work of protected area managers and their members of staff. The manual will include sections on: i) human resource systems (including appraisals and performance evaluations, professional development), ii) the maintenance of infrastructure, capital assets and equipment, iii) the use of equipment and tools, iv) patrolling plans (areas to be covered, frequency of patrolling, patrol data management, adaptive planning of patrolling), v) dealing with infringements (reporting, arresting procedures, gathering evidence and carrying out investigations, taking statements, developing cases for presentation in court, case presentation, monitoring cases), vi) intelligence systems (covert and overt operations, data analysis and interpretation, strategic decision making on case management), vii) data management and reporting, and viii) financial management.

54. The manual will be designed such that it is adaptive (both by site and through time) and can be amended and updated on a regular basis

55. Training will be initially provided for protected area staff (EOP target > 150 personnel) in the five selected pilot PAs on the use and implementation of the manual but by the EOP, the manual will be disseminated to all PAs in the country and training provided to a further 20 key personnel across the PA estate (who can then provide training to all PA staff).

56. The project will facilitate the operationalization of the management and reporting systems; once operationalized, the resulting reports will be submitted to the relevant authorities.

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<sup>23</sup> As with other tasks and activities, where possible, these will be contracted out on the basis of tendering processes.

<sup>24</sup> This will foster involvement and inclusion of key stakeholders in the management of the protected area and will include zonal, woreda and kebele authorities, private sector partners and local community structures.



### **57. Output 1.3 Site level law enforcement initiatives are supported**

58. At each of the five selected pilot PAs, the project will work to develop MOU and action plan among all LE agencies with the aim of improving collaboration and cooperation among the LE agencies (including the police, the judiciary and the NISS) (EOP target: five inter-agency agreements on anti-poaching and law enforcement). There will be a strong and demonstrable linkage between the site level LE agencies (including EWCA scouts and police) and the ECU that will be established with the support of the project (see Output 2.6 below).

59. Quarterly meetings among local level LE agencies to plan and review activities

60. Biannual meetings among regional level LE agencies to plan and review activities

61. Demonstrated collaboration and cooperation on a case by case basis

62. Training and awareness raising of law enforcement staff within the five selected pilot protected areas (including aspects covered within the PA management systems manual, see Output 1.2); training also for police, prosecutors, magistrates and other relevant authorities (at a site level for each of the five pilot PAs) in laws and legal space; training includes use of legal manual (see Output 2.4). At least 150 people will be trained in total.

63. An analysis of the resources and equipment that is necessary to facilitate law enforcement in the five selected pilot PAs will be carried out. This will include: vehicles, field equipment and tools that will make law enforcement more efficient and effective. There are various technologies (e.g., the use of CAT phones using Cybertracker linking to SMART – to name but one) that have been developed over the past few years; the analysis will analyse all the options available and determine i) which is most applicable to the Ethiopian context, ii) which is most adaptable to the language demands within Ethiopia, iii) which is most appropriate for the *law enforcement results* that are being targeted by the project and by the protected area system of the country<sup>25</sup>. On the basis of the analysis, a law enforcement system will be procured and implemented in the five selected pilot PAs (and with the partner law enforcement agencies that work with these PAs). There will be funding in the budget to *adapt* the selected software system to ensure that the law enforcement requirements are optimised<sup>26</sup>. In summary, the project will support the development and testing of IT solutions law enforcement for the Ethiopian context (in the five selected pilot PAs). The system will also work within the GSM network to automatically build databases both within the PA HQs and the HQ of EWCA and the ECU.

64. A database for all law enforcement activities will be built, presented to the government agencies and linked through either the internet or GSM to a central database at EWCA HQ in Addis Ababa.

65. PA law enforcement staff will be trained in the five selected pilot PAs and project staff will continue to mentor them through the project's life to ensure that all law enforcement systems are fully operational, efficient and effective by the EOP.

**Outcome Two: Strengthened national and local capacity for conservation of endangered fauna and flora through implementation of anti-trafficking measures.** The outputs necessary to achieve this outcome are as follows:

66. First, the different stakeholders and actors that are implicated in anti-trafficking work at different levels will be brought together to ensure synergies, cooperation and collaboration. This will involve i) connecting international actors, especially in adjacent countries, ii) strengthening the existing IWT Steering Committee that operates at a national level and, finally, iii) establishing IWT Task Forces in pilot regions.

### **67. Output 2.1 International cooperation on IWT control is supported**

68. Contacts will be made among relevant law enforcement agencies and partners in adjacent countries (particularly Kenya, Somaliland, South Sudan, Sudan and Djibouti) with the aim of developing at least **four** agreements to share information, cooperate and collaborate as and when necessary and mutually beneficial. The project will facilitate this process by covering the costs of holding meetings among the relevant representatives

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<sup>25</sup> This acknowledges that each of the systems has flaws – including SMART (which has significant limitations with respect to law enforcement).

<sup>26</sup> For example, under the leadership of Dr. Andrew Lemieux, the Netherlands Institute for the Study of Crime and Law Enforcement (NSCR) is working to develop a software package that is specifically designed for law enforcement in protected areas. The project will work with NSCR as appropriate to develop these solutions.

from the different countries such that agreements can be developed. The project will also support bringing together the appropriate decision makers once the draft agreements are finalised and ready for signing.

**69. Output 2.2 Proposals to strengthen the (existing) National IWT Steering Committee are developed**

70. The continuation and strengthening of the existing coordination mechanisms for combatting IWT – the National IWT Steering Committee – will be supported. This is in recognition that combatting IWT requires the coordination, collaboration and cooperation of a number of different government agencies – with their non-state actors. The Steering Committee brings together the actors (including the EWCA, the Federal Serious Crimes Unit, the Customs Authorities, the NISS and non-state partners) (see Figure 3). As such, the project is not creating a new institution but, rather, it will work to harmonize and strengthen this existing institution while ensuring coordination and collaboration among them.

71. The TOR and mandate for the IWT SC will be redefined (including descriptions of the roles and responsibilities of each of the members). Membership and structure will be reviewed and international partners will be considered (e.g., US and UK Government representatives based in Addis Ababa). These proposals will be submitted to the government for approval and implementation.

72. The IWT SC will be chaired by an independent Commissioner (who functions as an independent National Rapporteur on IWT). The Commissioner or National Rapporteur is a mechanism to assess trends in wildlife crime – including trafficking, and it will monitor and measure the anti-trafficking activities of actors, gather statistics and report findings. Through the project's CTA and through linkages with other GWP projects, the IWT SC's capacity will be increased as they are exposed to the scale of the issues and the different mechanisms and tools that are being used to overcome the threat of IWT.

73. Quarterly meetings of IWT SC ensuring synergies, collaboration and cooperation of all key stakeholders will be held

74. Regions included, by invitation, in federal IWT SC as deemed necessary and pertinent

75. Demonstrate collaboration and cooperation overall and on a case by case basis



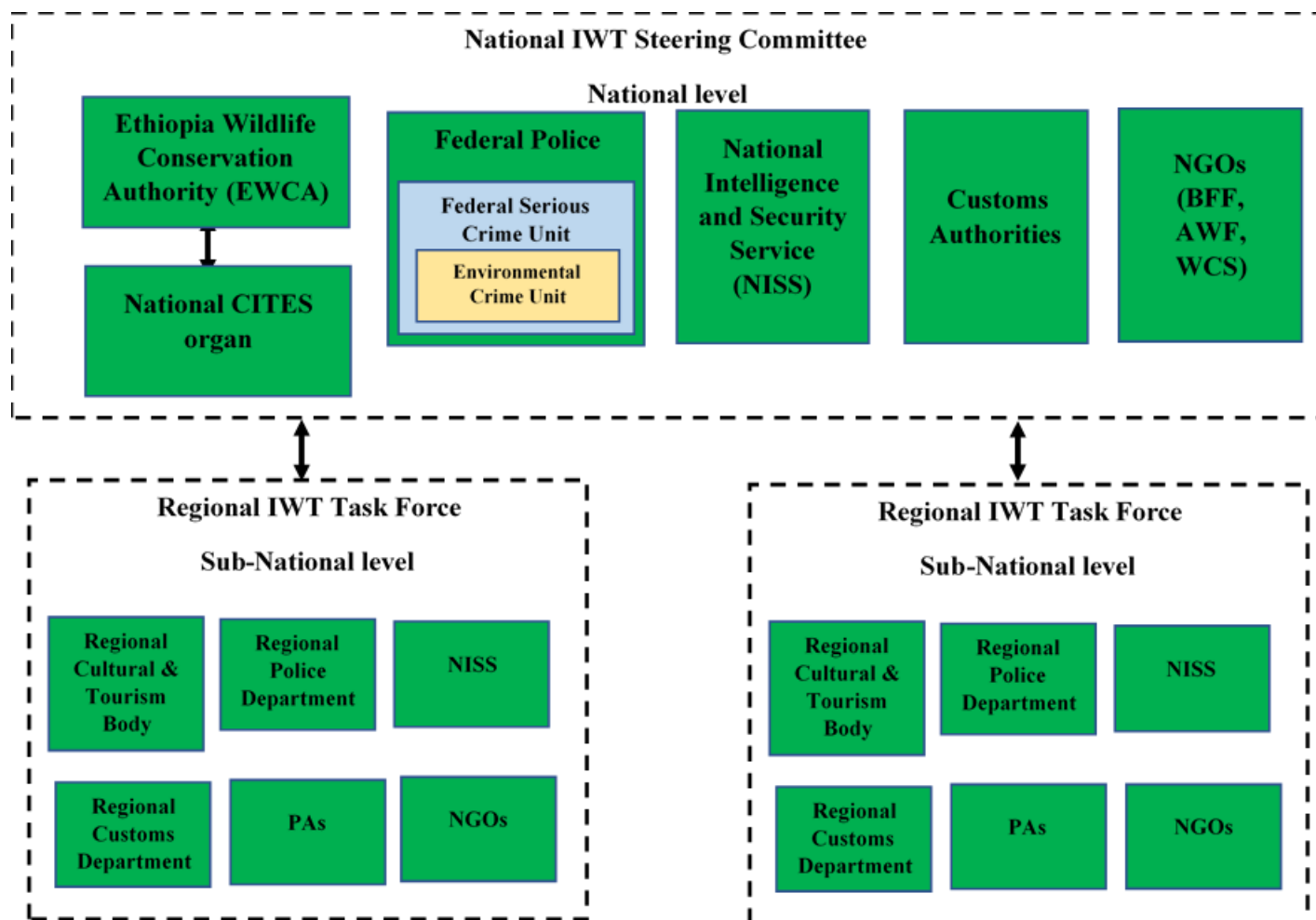


Figure 3. Proposed IWT Law Enforcement Structure in Ethiopia

#### 76. Output 2.3 Establishment of IWT Task Forces in pilot regions is supported

77. In order to similarly ensure coordination and collaboration at the regional (i.e., sub-national) level, **two** Regional IWT Task Forces (IWT RTF) will be established (Fig.3). These will simply mirror the federal structure (see Output 2.2 above) and be established along similar lines, with a similar mandate and structure. As such, the TOR and mandate for the two IWT RTF (for the SNNPR and the Somali Region) will be defined, including mechanisms for its functionality but it is envisaged that the roles and responsibilities will include (but not be limited to): i) a mechanism for bringing together key actors at a regional level, ii) a mechanism to monitor trends in wildlife crime at a regional level as well as monitoring and measuring the anti-trafficking activities of the actors. The documents will be submitted to Government for approval and official establishment of regional IWT TFs.

78. Once established, quarterly meetings of the pilot regional IWT RTFs ensuring collaboration and cooperation of all key organisations (including – but not limited to – the following organisations: the regional equivalent of EWCA, the regional police, the NISS, the judiciary) will be held. Through the project's CTA and through linkages with other GWP projects, the IWT SC's capacity will be increased as they are exposed to the scale of the issues and the different mechanisms and tools that are being used to overcome the threat of IWT.

79. Demonstrated collaboration and cooperation overall and on a case by case basis

#### 80. Output 2.4 Legislation guidance for law enforcement agencies is developed

81. In order to broaden the tools that are available to combating illegal killing of wildlife and illegal wildlife trade and trafficking – including **poor knowledge** among the law enforcement agencies of the actual laws that can be

applied, the project will support an analysis of all applicable laws for prosecuting illegal activities in the vicinity of protected areas and IWT cases (including all aspects of wildlife crimes, illegal killing of wildlife and trafficking live animals and wildlife products). The analysis will not be simply restricted to **wildlife laws** but, as has been seen in other countries, there are many other laws, policies, regulations and guidelines that can be used in assisting the actors to prosecute wildlife crimes and illegal activities within and surrounding protected areas (e.g. in the **Penal Code** and within laws associated with the **customs authorities and tax laws**).

82. The output from this work will be **to produce a handbook** that will describe all applicable laws and the circumstances in which the different laws may be applied. The project will use this output to train relevant actors (including but not limited to: protected area authorities, police, the judiciary (prosecutors and magistrates, and the customs authorities – in total at least 150 people) in the legal tools that are available to them to prosecute perpetrators of wildlife crimes. Therefore, the project will support the training of these actors and disseminating the output to them. The handbook will be disseminated to **all** regions and PAs of the country.

### **83. Output 2.5 Proposals for improving law enforcement and IWT legislation (as necessary) are developed**

84. Following on from the above analysis, any gaps, in consistencies or other issues in the laws will be noted and recommendations for how the gaps can be filled will be put forward, including drafting amendments to the laws, as required, and submitted to the government. Because the *number* of laws that will need to be amended depends on the analysis (as described above), it is impossible to say how many this will be.

85. If there is anything that the project can do to support the approval of the resulting drafted legislation (including facilitating discussions and editing the draft legislations), it will do so. This will be treated on a case-by-case and as needed basis.

### **86. Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported**

87. During the PPG stage, political support for the establishment of an Environmental Crime Unit was secured. Indeed, when the discussion was held with the existing IWT SC for the establishment of a Wildlife Crime Unit, the response from the partners was that the establishment of an Environmental Crime Unit was preferred – such that its mandate would cover the whole gamut on environmental crimes. However, the project will focus specifically on IWT. Thus, with support from IWT SC and to build on existing knowledge elsewhere, study tours (e.g., to Tanzania, Kenya and/or Mozambique) will be organised. For this, key people (including, for example, the Head of the Federal Police, the Head of the Customs Authority, the Head of the NISS and the ED of EWCA) will be identified. The study tour will be organised, in cooperation with partner organisations in other countries, such that wildlife crime units that have been established (or are in the process of being established) will be demonstrated to the participants of the study tour. The participants will focus on the set up of the wildlife crime units, the mandates that they have, the composition of the teams, the tools that they are using and the successes that they are having – all with the aim of bringing these lessons to Ethiopia as the Environmental Crime Unit is established.

88. Develop the institutional structure and mandate for the ECU (intelligence, investigations, detection, analysis and enforcement capacity), including the resources (human, canid and financial) and equipment (and technological solutions) that will be required to allow it to function effectively and efficiently and the partnerships through which it will function. The resulting documents will be submitted to the government for approval to establish the ECU (and given that the process to develop the documents will be done in a participatory way, it is expected that there will be no barriers to approval).

89. The project will facilitate the signing of MOUs with partners specifying roles and responsibilities. As has been already agreed (during the PPG stage), the ECU will be established by the GOE within the Federal Serious Crime Unit with support from other agencies (including NISS, Customs authorities, border police) (Fig. 3).

90. The project will support i) the recruitment of personnel for ECU (ideally through secondments from existing agencies), ii) the procurement of equipment and technological solutions; and iii) additional training for personnel. A key part of the structure of the ECU will be covert (usually through informers and investigative and other intelligence operations) and overt (usually through patrols and other overt functions such as making arrests) operations and having sufficient analytical capacity in the form of analysts. Other positions within the ECU will

include a briefing officer whose responsibilities include maintaining linkages between overt and covert operations. The ECU will also need data entry clerk(s). The Head of the ECU will have the responsibility to lead the ECU, including providing briefings to relevant authorities (e.g., Minister of EFCC, ED of EWCA and the leadership within NISS and the Federal Police). The ECU will probably have at least 15 people<sup>27</sup> (not including covert and overt operatives).

91. The project will support the development of the ECU strategy and action plan, with budgets, indicators and targets. The project will also make suggestions to ensure implementation of the strategy and action plans. The project will support initial implementation but all proposals will be submitted to the government for approval, allocation of resources and implementation.

92. On the basis of intelligence gained from the ECU, building detection capacity in key points of exit (both land border points and international airports) will be supported.

93. It is expected that the ECU will build solid cases through the collection of information (through intelligence gathering and covert operations) and through arrests and collection of evidence (through overt operations) – such that when the arrested parties are taken to court, by the end of the project, at least 95% will be convicted and given with appropriate sentences.

**94. Output 2.7 Management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field is developed**

95. Based on an assessment of best practice for the establishment of secure storage facilities for and for the management of such products, a proposal for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collected in the field will be developed. The management system will include the provision for a biennial audit by an independent audit company. The proposal will be developed in a participatory manner with key stakeholders and submitted to the government for approval and implementation.

96. Once approved (Intermediate Outcome 2.6), the project will support the process of putting the systems into place, with secure storage facilities being built in strategic locations around the country. The project will start the process (and demonstrate success) in the five selected pilot sites and at the central level in Addis Ababa. Thereafter, the project will make efforts to replicate the system throughout the rest of the country. It is expected that the system will be linked to *existing* staff (e.g., in regional police centres) such that no additional staff will be recruited – only existing staff will be trained. There will be linkages with the PAs – such that, by the end of the project, the system (including associated infrastructure) will not only be in place but at least 25 people will be trained to manage the system.

**97. Output 2.8 Capacity development for the national CITES management and scientific authorities is supported**

98. The implementation of CITES within Ethiopia is a discrete part of the picture – but has links because it is the mechanism by which trade and transport of wildlife and wildlife products can be deemed as being legal or illegal. Currently, EWCA plays the role of both CITES scientific and management authorities for the country. While some of the functions are performed (e.g., the preparation of export permits), it is thought that i) the management may be being done adequately (although it is estimated that there is room for improvement) but ii) the scientific authority needs to be clarified – especially given the high degree of endemism in Ethiopia (with the associated tasks for the CITES scientific authority). In summary, then, the project will support the reassessment of the institutional setting for CITES scientific and management authorities in the country. The assessment will result in a series of recommendations for the development of the capacity and functionality of the CITES authorities. It is anticipated that i) EWCA will remain the CITES management authority – but will require additional training, especially with the use of electronic technologies as they develop, and ii) the CITES scientific authority will be shifted away from EWCA, possibly to a small committee or board, chaired by academics from Addis Ababa University and drawing in (occasionally by invitation) other experts from both institutions within and outside of Ethiopia. It is also anticipated that the resulting CITES scientific authority will benefit from some exposure and

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<sup>27</sup> This will include: the Head of the ECU, one head and one deputy-head of the intelligence and overt units, respectively, five analysts, a briefing officer (who bridges between the overt and covert operatives), two data entry clerks.

training in their roles and responsibilities, and, in addition, planning how the two bodies can be made functional and sustainable in the long-term.

99. The project will facilitate implementation of development process to ensure that the CITES authorities fulfil their mandate and obligations.

**100. Output 2.9 An information campaign to increase public knowledge and responsiveness regarding wildlife and wildlife crime is implemented**

101. Information dissemination in mass media including publications, social media, TV, radio – Using the NTV Wild and the work of Wildlife Direct in Kenya as a model.

102. The campaign will be designed to target a number of different audiences, including (but not limited to): the decision makers in the government and parliament; the civil servants across all branches of government; the general public. It is estimated that in excess of 10,000 people will be impacted by the campaign. One of the key objectives of the information sharing will be to demonstrate the value of conservation (and wildlife and agrobiodiversity in particular) to a variety of targeted local, sub-national and national audiences, and to build confidence in the value of long-term planning – using the project's successes as examples. The success of the awareness campaign will be measured using an adapted KAP survey among the different target groups.

**Outcome Three: Improved conservation of forest and agro-biodiversity resources through a landscape approach based on community-based natural resource management.** The outputs necessary to achieve this outcome are as follows:

**103. Output 3.1 Integrated Landscape Management (ILM) plans are developed**

104. The project will support detailed mapping of forests and agro-biodiversity in **two** of the pilot areas (most especially the Omo-Chebera Chuchura landscape but also the Babille Elephant Sanctuary). **Two** integrated Landscape Management plans will be developed (with appropriate participation from local communities and stakeholders) on the basis of this mapping process. The plans will be discussed and agreed among the key stakeholders and submitted to the appropriate authorities for approval.

105. Initial implementation of the ILM plans will be supported by the project.

**106. Output 3.2. Stakeholder agreements on access to and use of natural resources within and surrounding each selected PA developed**

107. The project will facilitate negotiation and development of agreements with local communities that includes access to and use of natural resources within the landscape (including piloting the use of and access to resources within protected areas). The project will support the implementation of the agreements, including the development of the capacity of local communities.

108. The project will use the well-established Participatory Forest Management (PFM) methodology as a basis for the natural resource agreements<sup>28</sup>.

109. In total, the project will target a **maximum of three communities** with which to develop PFM-based natural resource management agreements. These will be the communities around Omo and Chebera Chuchura National Parks and the Babille Elephant Sanctuary. According to the PFM methodology, the agreements will regulate access to and use of natural resources, how the natural resources will be managed, and the M&E processes to ensure that use is sustainable. The project will focus on developing the capacity of the communities and the PA staff and other local administrations to ensure that use is sustainable.

**110. Output 3.3 Value chains for forestry and agro-biodiversity products are developed and presented to the local communities for implementation**

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<sup>28</sup> See, for example: <http://www.fao.org/3/a-aq407e.pdf>; <http://www.moa.gov.et/documents/93665/3423237/PFM+Guideline+4-20-12+MoA%2BKH5update.pdf/0a45467d-cf3e-4732-b4f6-25affcc87ef>; [http://www.cifor.org/publications/pdf\\_files/articles/AKassa0901.pdf](http://www.cifor.org/publications/pdf_files/articles/AKassa0901.pdf); <http://www.farmafrica.org/downloads/participatory-forest-management-in-ethiopia.pdf>; <http://www.farmafrica.org/downloads/resources/Key%20Steps%20in%20Establishing%20Participatory%20Forest%20Management.pdf>

111. The project will support the following studies:

- a. Study to determine the economic viability for local communities to grow different varieties of crops
- b. Study to examine value chains (mechanisms to provide sustainable income, including growing, marketing, and selling production) for selected crops and their products, and the viability for local communities in the vicinity of selected PAs growing those crops and products
- c. Study to examine value chains for NTF products (e.g., spices) and the economic viability for local communities to harvest them on a sustainable basis

112. The aim of these studies is to determine the potential economic value of different varieties of crop – including in different climate change scenarios – for local communities. The studies will, therefore, determine how the local communities can maximize their benefits (both economic as well as resilience to shocks) from growing, marketing and selling those crops and livestock that are species or varieties endemic to Ethiopia. This has the further aim of persuading local communities in sustainable production, harvesting, value-added processing, marketing and certification of forest and agro-forestry products.

113. The project will support piloting the implementation of the findings of the study including sustainable production, harvesting, value-added processing, marketing and certification of forest and agro-biodiversity products; as such it is difficult to estimate how many value-chains will be developed but it is likely that it will be for between three – five.

#### **114. Output 3.4 Microcredit schemes for local communities are developed and implemented**

115. Household surveys will be conducted to estimate the number of households in the vicinity of the selected PAs, and to collect other socio-economic data: i) the current access to and use of natural resources, and ii) levels of income.

116. Microcredit line offered to households wishing to develop products on the basis of the value chain studies (see Output 3.3) and the microcredit schemes will focus on two areas: i) those schemes requiring investments to promote the use of agro-biodiversity, ii) applicable livelihood strategies that are aligned with the conservation objectives of the project, and/or iii) those schemes that demonstrably reduce the incidence of HWC. Microcredit facilities are a well-established and well-known mechanism for catalysing change in Ethiopia. The project will partner with a non-state actor to implement the microcredit facility – selected through a tendering process. One of the criteria for selecting the microcredit facility implementer will be their history (and successes) of implementing similar schemes in the country. Moreover, the project is designed on the assumption that the microcredit facility will be taken up by people; this assumption appears to be justified when considering that microcredit schemes have a *higher* take up rate than the majority of other countries (for example, see the review Tarozzi, A. et al (2015) The Impacts of Microcredit: Evidence from Ethiopia. American Economic Journal, 7(1), 54-89).

117. The microcredit grants will adhere to UNDP-GEF's microcredit grant policy. A total of USD 150,000 will be budgeted for microcredit loans, with a minimum of USD 2,000 and a maximum of USD 20,000 for any single loan. Stakeholders will be brought together to determine the criteria for the microcredit facility and the modus operandi (thus, it will be developed in a participatory way). The facility will be implemented in the same areas mentioned above (Outputs 3.2, 3.3) such that there is synergy and they will be developed on a sound foundation of knowledge.

#### **118. Output 3.5 Demonstration farm(s) for the conservation of agro-biodiversity are established**

119. Identify land to be transferred to EBI and arrange for allocation of that land (i.e., site selection and acquisition). A maximum of two sites (each of a maximum of 50ha) will be selected. One will be selected in the vicinity of Chebera Chuchura National Park while the other will be selected in the vicinity of Omo-Mago National Parks. People from the local communities will be recruited to farm the demonstration areas. It is estimated that there will be up to ten full-time employees in these areas, with additional seasonal workers, as required.

120. Identification of rare and valuable genetic stock to be planted (and consequently preserved) in the agrobiodiversity farms on the basis of the value-chain analysis: the farms will demonstrate economic value of growing and harvesting these crops (adding to the financial sustainability of the demonstration farms).

121. Infrastructure put into place (using state-of-the-art eco-friendly technologies)

122. Farms (e.g., field gene banks and livestock ranch) used as demonstration sites for raising awareness

123. Visitor's facilities put in place at the farms

**124. Outcome 4 Lessons learned by the project through participatory M&E, including gender mainstreaming, are used to fight poaching and IWT, and promote community based conservation nationally and internationally**

**125. Output 4.1. M&E provides sufficient information for adaptive management, gender mainstreaming, and learning via active participation of key stakeholders in the project implementation**

126. The activities, as described above, will be monitored (see also Section VI for a description of the M&E framework for the project). The project team and partners (balanced for gender inclusion) will monitor the implementation of all activities that are undertaken (i.e., not simply the project results as specified in the PRF). In other words, when the project undertakes any activity, the implementation and results of that activity will be monitored. This will lead to the project team and partners making conscious decisions about the activities that are undertaken – questioning why the activity is necessary, what will be the intended result or impact, and how the result or impact should be demonstrated through monitoring processes. This will also include those activities that are undertaken adaptively.

127. The project will also monitor the use of the outputs of the project – including, for example, the PA management plans, the PA management system manual and the handbook of laws available to law enforcement agencies to prosecute wildlife crimes.

128. In addition, the project will support direct surveys to demonstrate the results of the project. For example, the project will support aerial surveys of elephant populations (and carcasses) at the beginning, at the MTR stage and at the EOP. Other monitoring will include big cat (lions and cheetah) surveys, the knowledge and use of the whole gamut of laws in the prosecution of wildlife crime cases, the implementation of the plans and strategies that will be developed by the project, KAP surveys to determine the impact of information dissemination an awareness campaigns – as well as possible changes to people's attitudes to well-planned projects such as this one.

129. Throughout M&E processes, relevant stakeholders will be involved – with five aims: i) to build their capacity to carry out such M&E processes, ii) to demonstrate the value of the results to them, iii) to ensure gender balance in M&E processes, iv) to transfer a degree of ownership and responsibility to them and v) to demonstrate the value of well-planned (and implemented) projects such as this. The stakeholders that are most obviously involved in the M&E processes are the members of the PB. Where pertinent, the project will invite other people to the PB meetings, especially when there are aspects relevant to them being discussed. In all other cases, when M&E processes are being carried out, stakeholders will be involved to the degree that is practicable. Furthermore, during the MTR and TE of the project, extensive meetings with all relevant stakeholders will be carried out.

**130. Output 4.2. Lessons learned from law enforcement strategies and community based conservation, including gender mainstreaming, are shared on national and international levels**

131. The project team will go to great lengths to share the lessons learned from the project – focusing on sharing case studies, recommendations and methodologies. The emphasis will be to share lessons nationally and regionally (East and North East Africa) as well as with other projects that are being implemented under the GWP.

132. Lessons will be shared using the following platforms: i) the project website that will be established especially for this purpose, ii) symposia and workshops that will be carried out expressly for sharing the information and lessons, and iii) through the GWP network through the world.

133. One of the key objectives of the information sharing will be to demonstrate the value of conservation (and wildlife and agrobiodiversity in particular) to a variety of targeted local, sub-national and national audiences, and to build confidence in the value of long-term planning – using the project's successes as examples.

### 134. Partnerships

135. The project is taking the approach that partnerships are pivotal both to the success of the project and to the long-term sustainability and impacts within the biodiversity conservation sector in Ethiopia. The project will, therefore, collaborate with a number of on-going projects and programmes within the country with the objective of leveraging funding and avoiding duplications. The collaborations will also allow for lessons and best practices to be shared and, therefore, to increase the overall positive impact on wildlife in Ethiopia.

**Table 4. Proposed partnerships and synergies for the project**

| Project/Programme   | Synergies and/or relationship with project  |
|---|---|
| CRGE, Government of Ethiopia Policy – the CRGE is one of the principal development policies for the country. It recognises that following a conventional development path results in “unsustainable use of natural resources”. It recognises i) the role that agro-biodiversity (both crops and livestock) play in food security, and ii) the role of biodiversity for its economic and ecosystem services.   | The CRGE provides the springboard and framework for this project. Thus, the project has been designed to fit within this framework.   |
| On going UNDP-GEF projects: Mainstreaming Incentives for Biodiversity Conservation in the Climate Resilient Green Economy Strategy, and Mainstreaming Agro-biodiversity into the Agricultural Production System of Ethiopia   | There are synergies between the project and these other on going projects and the project managers will meet regularly to ensure that there is a good exchange of information, best practices and lessons.  |
| KfW Biodiversity Programme – in 2013, KfW added the conservation of biodiversity and sustainable management of natural resources as one (of three) pillars of investment in Ethiopia. In the coming years, KfW will be focusing on protected area management and larger capital investments in protected area infrastructure.   | As one of the key actors in biodiversity conservation in the country, the project will collaborate and cooperate with KfW. In order to facilitate dialogue and to foster collaboration, i) the selected PAs for this project are <i>not</i> currently receiving funding from KfW, and ii) KfW will be invited to be a member of the PB (as the representative of the donor community). Because of the synergies, GIZ’s financing of the protected areas in Ethiopia is considered as co-finance for this project. |
| GIZ Protection Areas Programme – in parallel with the KfW investment in protected areas, GIZ is also investing in protected areas. The program aims to put institutions charged with the management of protected areas in a position to implement strategies, instruments and measures for the protection and sustainable management of biological diversity on a broad scale. The program will work at local, regional and national level in order to strengthen the capacities for managing selected national parks (NechiSar, Awash, Hallidegh, Borena-Saint National Parks), biosphere reserves and other protected areas and create benefit-sharing mechanisms for the population; and at regional level it will strengthen administrative structures that are responsible for the management of nine protected areas (composed of 5 national parks, two biosphere reserves and two national forest priority areas). | Synergies, coordination and collaboration with the GIZ programme will be assured by including their representative in the PB (as a representative of conservation actors in the country). Because of the synergies, GIZ’s financing of the protected areas in Ethiopia is considered as co-finance for this project.  |
| Born Free Foundation, Border Point Project – this project is designed to strengthen law enforcement and   | There are strong synergies between the activities of the BFF and this project: indeed, BFF could apply for  |



|   |  |
|---|--|
| <p>the role of the criminal Justice in IWT (funded by the UK's DEFRA).</p> <p>BFF also operates in Babilie Elephant Sanctuary on a conservation project that aims to halt or reduce significantly elephant poaching in the Babilie Elephant Sanctuary and reduce other anthropogenic pressures at the site.</p>   | <p>implementation of some of the aspects of the project (both Component One – activities in Babilie, and Component Two – IWT activities – this would ensure synergy and build on their previous activities in the area). The funding that BFF is using to implement both of these activity sets as co-finance for the proposed project.</p>  |
| <p>FZS has been working in Ethiopia in the field of wildlife conservation and supporting protected area management since 2008 and mainly focusing in the protection of the Afro-alpine ecosystem mainly in Bale and Simien Mountain National Parks as well as the community conserved areas of Guassa-Menz and Abune Yoseph. Major activity has been capacity building and provision of logistic for effective running of the protected areas and conducting ecological monitoring of threats in the protected areas.</p> | <p>FZS is a partner mainly in the area of protected area management and capacity building of protected area management based on their many years of experience working in the country. They have available experience in this regard and as a co-financing partner to the project (Component One). If and when necessary, technical cooperation and collaboration with FZS will be sought.</p> |
| <p>AWF – this NGO has two programmes of interest to the project – i) a cultural tourism programme in northern Ethiopia (both for the concept and the proximity to Kafta Shiraro NP – one of the proposed project's selected areas), ii) a “Canines for Conservation” initiative which is attempting to place sniffer dogs at Bole International Airport, and iii) working to train the law enforcement bodies such as the police and judiciary<sup>29</sup>.</p>  | <p>Both of AWF's projects are of significance to the project and the project will have much to learn from their experiences. The PMU will seek to establish good relationships with the AWF staff in Ethiopia to foster this joint learning.</p>   |

### 136.Stakeholder Engagement

**Table 5. The stakeholders were identified during PPG phase (including their current mandate and existing roles, and potential involvement in the project)**

<sup>29</sup> For example, see <http://www.ifaw.org/international/news/wildlife-law-enforcement-agencies-gather-enhance-skills-wildlife-law-prosecution>



| <b>Stakeholder</b>   | <b>Mandate</b>   | <b>Roles &amp; responsibility in project</b>  |
|--|--|---|
| FDRE Ministry of Environment, Forestry and Climate Change (MoEFCC)   | MOEFCC was established under proclamation 803/2013 to coordinate and ensure that the environmental objectives provided under the Constitution and the basic principles set out in the environmental policy of Ethiopia are realized. It also ensures participatory environmental management for sustainable development and governs the use of environmental resources by the present and future generations in each sector at each administrative level. It is an agency in the administrative structure of the central government for the planning, promotion, co-ordination and overseeing the implementation of Ethiopia's climate, environmental and forestry policies and programmes. The MoEFCC's mandate includes coordinating national development efforts with the aim of avoiding duplication among stakeholders and promoting sustainable utilization of environmental resources | The MoEFCC is the Ministry in which the GEF OFP sits; as Implementing Partner, it is also the key ministry for the oversight, coordination and implementation of this project.                                      |
| FDRE Ministry of Culture & Tourism   | The main mission of the ministry is to study, preserve, develop and promote the cultural wealth and the national tourism attractions of the nations, nationalities and peoples of Ethiopia and to build the positive images of Ethiopia with a view to adding a sustainable socio-economic and political values with popular and stakeholder's participation. The Ethiopian Wildlife Conservation Authority is under this Ministry.  | EWCA is (currently) housed in this ministry and thus falls under its mandate <sup>30</sup> .  |
| Ministry of Finance and Economic Cooperation , Ministry of Agriculture and Natural Resources and Ministry of Livestock and Fisheries | These are other government ministries that responsibilities in different sectors that have some bearing on the project (most pertinently, agriculture – for the large-scale agricultural projects that are being carried out in the vicinity of some protected areas, natural resources and livestock)   | The project will ensure contact with these key stakeholders is maintained throughout the project's implementation and that they are consulted as necessary and included as stakeholders in all consultative forums. |
| FDRE of Police Commission (FPC)  | The Federal Police Commission was established under proclamation no. 720/2004 based on the principles of non-partisanship, impartial service to the society, and commitment to policing ethics, competence and quality of service. The   | Beneficiaries of Component Two<br>By the virtue of power vested in it by the Government of Ethiopia, the police force is entitled to prevent any crime including environmental crime. The police force              |

<sup>30</sup> At the point of the PPG phase, it was apparent that some institutional restructuring was being discussed with a significant possibility that EWCA was to be moved from the Ministry of Culture and Tourism into the MOEFCC. If this move does not occur before project commencement, the Ministry of Culture and Tourism will be a member of the PB.

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|  | mission of the Federal Police Commission is to contribute to the development and prosperity of the nation by respecting and enforcing respect of the constitution and other laws of the land, preventing crime and criminal threats and ensuring prevalence of peace and security through active participation of the people. It envisages delivery of policing services that match public satisfaction and trust in line with international standards.  | will be a prime partner in the implementation of activities to counter IWT and put in place measures to counter trafficking of wildlife and their products/derivatives (Component Two). A high-ranking member of the Federal Police will also serve as a member of the Project Steering Committee. The Federal Police will also house the Environmental Crime Unit (ECU) that will be established under the project (Component Two). |
| FDRE National Security & Security Service        | The NISS is the State's intelligence and investigative agency.   | Beneficiaries of Component Two<br>Given the issues of national security and sovereignty that are associated with IWT, the NISS will be an essential partner to the project and member of the IWT SC. The project proposes that members of organisations including NISS second staff members to the ECU (Component Two).  |
| Ethiopian Wildlife Conservation Authority (EWCA) | EWCA is a governmental organization under the Ministry of Culture & Tourism, which undertakes conservation and sustainable utilization of wildlife in Ethiopia. EWCA works closely with national and international stakeholders' on wildlife conservation and protected area management. EWCA manages and protects Ethiopia's wildlife and its habitat with a network of protected areas in collaboration with the communities and other stakeholders for the ecological, economical and social benefits of the present and the generations to come. | Beneficiaries of Components One and Two<br>Three of the selected pilot PAs fall under its jurisdiction: Omo National Park, Babilie Elephant Sanctuary and Kafta-Shiraro National Park.   |
| Ethiopian Biodiversity Institute (EBI)           | EBI is a government institution under the MoEFCC with the mandate to carry out research on the proper conservation of Ethiopia's Biodiversity and associated indigenous knowledge; establish participatory conservation mechanisms; ensure fair and equitable Access and Benefit Sharing; and promote sustainable utilization of biodiversity for sustainable development.   | Beneficiaries of Component Three<br>EBI is the principal government partner in the implement of the third component of the project.  |
| Ethiopian Revenue & Customs Authority (ERCA)     | The Ethiopian Revenues and Customs Authority (ERCA) is the body responsible for collecting revenue from Customs duties and Domestic taxes. In addition to raising revenue, it is responsible to protect the society from adverse effects of smuggling and contraband. It seizes and takes legal action on the people involved in the act of smuggling, tax evasion and avoidance while it facilitates the legitimate movement of goods and people across the border.   | Beneficiaries of Component Two<br>ERCA is a key partner given their responsibility in countering smuggling and trafficking. Also, can be a member of the national steering committee for IWT and the ECU (Component Two).  |
| Southern Nation, Nationality &                   | The Bureau works to preserve and sustainably develop the region's natural, cultural, language,   | Beneficiaries of Components One, Two and Three   |

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| Peoples' Region Culture and Tourism Bureau                               | historical heritages and other cultural assets; and improve the capacity of tourist service rendering institutions, thereby increasing the sector contribution in the development of economy and ensures community benefits.  | The Bureau manages PAs involved in this project (Mago and Chebera Churchura National Parks). The Bureau will, as a result, be a key partner in these areas and will be targeted for capacity development. The Bureau also has the mandate to approve some of the outputs of the project (e.g., management plans for regional protected areas). The Bureau will also have representation on the PB. |
| Somali Region Culture and Tourism Bureau                                 |   | Beneficiaries of Components Two and Three<br>The Bureau will be primarily involved in i) working with the relevant organisations to counter IWT (Component Two), and also Integrated Landscape Plans in the vicinity of Babilie Elephant Sanctuary.  |
| Tigray Region Culture and Tourism Bureau                                 |   | Beneficiaries of Components Two and Three<br>The Bureau will be primarily involved in i) working with the relevant organisations to counter IWT (Component Two), and also Integrated Landscape Plans in the vicinity of Kafta Shiraro National Park.   |
| KfW Development Bank   | KfW supports effective management of important protected areas in the country; it focuses on park management and financing for investment in park infrastructure. In consultation with the government in 2013, it has been agreed that the Bank would broaden its engagement in biodiversity conservation and sustainable management of natural resources.  | KfW is a co-financing partner for this project – financing protected areas work in the country (Component One). KfW will represent the donor community on the PB.  |
| Ethio-German Technical Cooperation Biodiversity Forest Project (GIZ-BFP) | GIZ-BFP focuses on the conservation of biodiversity and sustainable use of natural resources. The program aims to put institutions charged with the management of protected areas in a position to implement strategies, instruments and measures for the protection and sustainable management of biological diversity on a broad scale. The program will work at local, regional and national level in order to strengthen the capacities for managing selected national parks (with no overlap with the project's selected pilot areas), biosphere reserves and other protected areas. The program will also create benefit-sharing mechanisms for the population; and at regional level, it will strengthen administrative structures that are responsible for the management of nine protected areas (composed of 5 national parks, two biosphere reserves and two national forest | The role of this program in the project is participate in the management and protection of other protected area (sharing lessons, experiences and best practices) and also participate as co-financing institution for this project (Component One). In addition, the program is carrying out a key institutional re-engineering of EWCA (see section on Feasibility & Risks)                      |

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|   | priority areas). It envisages strengthening the management of national parks; integration of biosphere reserves and Forest Priority Areas into the national protected area system; contributing to the development of the forest sector; and improving the coordination and knowledge management for the conservation of biodiversity  |  |
| Frankfurt Zoological Society (FZS)                                  | The FZS has been working in Ethiopia in the field of wildlife conservation and supporting protected area management since 2008 and mainly focusing in the protection of the Afro-alpine ecosystem mainly in Bale and Simien Mountain National Parks as well as the community conservation areas of Guassa-Menz and Abune Yoseph. The major focus has been capacity building and provision of logistic support for effective management and operation of the protected areas and conducting ecological monitoring of threats in the protected areas.  | FZS is a partner in the area of protected area management and capacity building of protected area management based on their many years of experience working in the country. They are a co-financing partner to the project (Component One). If and when necessary, technical cooperation and collaboration with FZS will be sought.   |
| Born Free Foundation (BFF)  | The BFF has been operating in Ethiopia since 2008 (although it has been supporting the EWCP – see below – since the late 1990s). BFF manages the Wildlife Rescue, Conservation and Education Centre for rescued animals (usually associated with illegal trade in live animals or animals kept unlawfully). BFF also run the Border Point Project, designed to strengthen law enforcement and the role of Criminal Justice in IWT, and funded by the Department for Environment, Food and Rural Affairs in UK. BFF operates in Babilie Elephant Sanctuary on a conservation project aims to halt or significantly reduce elephant poaching and reduce other anthropogenic pressures. | Two of the BFF projects, the Border Point Project and the Babilie Elephant Conservation and Awareness project, are in line with the proposed GEF project. As such, BFF could be a key partner (if not Responsible Party) for the project.  |
| Horn of African Regional Environment Centre and Network (HoA-REC/N) | HoAREC is a Sub-regional environmental network operating in the Horn of Africa countries of Sudan, South Sudan, Ethiopia, Kenya, Djibouti, Somalia and Uganda. It focuses on environmental concerns and sustainable development options within the Horn of Africa. It facilitates, strengthens and advocates for initiatives related to environmental conservation and natural resource management. The Network works with a number of learning institutions, research centres, civil society and community-based organisation in the Sub-Region.  | This Network manages a project entitled Strengthening Biodiversity Management in the Boma-Gambella landscape Gambella Region (Ethiopia) and Boma Landscape (South Sudan). This is a multifaceted project but it has a component of designing and implementation of an integrated law enforcement strategy over the Boma – Gambella landscape. It aims to conduct a survey on the extent of IWT, and training and capacity building of the park rangers as well as training on IWT for law enforcement authorities and partners in the region. In general, this project will implement activities in the Boma – |

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|  |   | Gambella landscape (Component Two).  |
| Horn of Africa Wildlife Enforcement Network (HAWEN)                            | The idea of the network was initiated by the Ethiopian Wildlife Conservation Authority (EWCA), the US Embassy in Ethiopia and Addis Ababa University (HoAREC/N) with a number of member countries and other institutions. The objective is to facilitate the establishment of the Horn of Africa Wildlife Enforcement Network – HAWEN. The Network was established with one representative from each country (Djibouti; Ethiopia; Kenya; Sudan; South Sudan; Somaliland; Somalia and Uganda). It aims to communicate and work with the concerned national authorities and work with intergovernmental organizations like IGAD, the new partnership for Africa’s Development (NEPAD), CITES, etc. However, in recent years HAWEN has struggled to operate. | The network could play an important role to control inter-boundary IWT among the Horn of African countries. The project will work with representatives of the Network to seek synergies <sup>31</sup> .  |
| Ethiopian Wolf Conservation Programme (EWCP)                                   | The Programme is founded in collaboration between the EWCA and the WildCRU of University of Oxford. It works on all existing Ethiopian wolf populations to secure their future survival. The main activities of the programme include monitoring the wolf populations in all wolf ranges and restoration of wolves to available habitat within their historical range. It also works with all stakeholders, especially decision makers at the national, regional, and local levels to ensure that they are involved in and committed to conserving wolves and their habitat.  | The programme is a conservation partner for the Afroalpine areas and helps in exchanging experience in monitoring and management of single species. Because of the historic role of EWCP as a catalyst for conservation in Ethiopia, a close working relationship will be established with the EWCP.   |
| African Wildlife Foundation (AWF)  | AWF in Ethiopia works in the Simien Mountains National Park on community-based sustainable tourism. AWF has also been involved in supporting work to counter IWT through the provision of dogs at Bole International Airport. Finally, it has had a program to assist with the training of law enforcement agencies (including the judiciary and police).   | There are strong synergies with the law enforcement and IWT work that has been carried out by AWF. As such, they are a co-financier to the project and have the potential to play various roles in the project related to these areas> (Component Two).  |
| Zone, <i>woreda</i> and <i>kebele</i> level authorities, and local communities | Below the level of the regional governments, there are three administrative levels: the zonal, <i>woreda</i> and <i>kebele</i> authorities. There are law enforcement and judicial functions at these levels – particularly at the zonal and <i>woreda</i> levels – as well as key leadership and administration among local communities.   | Beneficiaries of Components One, Two and Three<br>Because of the judicial and administrative functions of the zonal and <i>woreda</i> authorities, these people are important for all law enforcement activities of the project and to coordinate activities with local communities. The project actors at a local level will engage and coordinate all the activities with these authorities. One mechanism – the |

<sup>31</sup> If the Network is fully operational, it may have representation on the PB, to be confirmed during the Inception Phase.

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|  |  | IWT WG at the regional level – will contribute to ensuring that this will function optimally.   |
| Federal and Regional Protected areas Authorities | The protected area system in Ethiopia operates through federally- and regionally-managed protected areas. There are offices at the federal and regional levels that oversee the management; the day-to-day management activities are carried out by staff on the ground led by the Warden. | Beneficiaries of Components One, Two and Three. The project will work with the protected areas that have been selected as pilots and demonstration sites (specifically Omo, Mago, Chebera Chochora and Kafta Shiraro National Parks and Babille Elephant Sanctuary). All three components of the project have implementation implications for these protected areas. Representatives from the protected areas will sit on the PB. |
| Indigenous communities                           | Many of the people living in the vicinity of the protected areas targeted by this project (as described above) fall under the definition of “indigenous peoples” – most particularly in (but not limited to) the vicinity of the Omo and Mago National Parks.                              | Beneficiaries of Component Three. One of the principal outcomes that is being sought by the project is to pilot agreeing on mechanisms to allow indigenous people access to and use of resources within and surrounding protected areas. As such, working with these indigenous communities is a key part of Component Three.   |

**137. Stakeholder Engagement Plan.** The project will be implemented on the principle that little will be achieved in isolation and as such whenever and wherever possible, the project activities will be implemented through partnerships and/or in collaboration with other actors. This is described in detail in the Stakeholder Engagement Plan (see Annex N). There will be a number of key mechanisms through which this will function. For example, the Project Board (PB) will be an inclusive forum and will offer an opportunity for state and non-state actors to provide oversight to the project (see Section VIII and the TOR of the PB in Annex E). In addition, a Technical Working Group may be convened if deemed useful to bring together principal technical actors to enhance collaboration, coordination and partnerships<sup>32</sup>. At a local level, the project will collaborate with all relevant actors. There are a number of mechanisms through which this could be achieved – for example, through the regional IWT WGs that will be formed by the project.

**138. Gender.** Details of the gender analysis under the PPG process are to be found in Annex G. Awareness-building on gender for both men and women, is critical, in order to enable mutual understanding and to contribute jointly to achieving greater gender equality and women’s empowerment. Gender awareness training is important for both men and women, so that men can better understand the pressure or workload women have and its impact on the household. Raising of the risks of climate change and potential adaptation and mitigation measures is important, and increasing the participation of women in NRM interventions. Women’s interests in environmental protection and sustainability are high given their dependence on primary natural systems such as soil, water, and forests for household supplies.

**139.** On the basis of the value chain analyses for agro-biodiversity products (carried out under Output 3.3), access to credit for women to support livelihood activities directly linked to the results of the value chain analyses and products highlighted therein can bolster household income and, specifically, that portion over which women have

<sup>32</sup> During the PPG phase, the PPG consultants were informed that a Technical Working Group was not “how things were done in Ethiopia” despite the value of such forums in other countries for similarly complex projects that potentially involve large numbers of stakeholders. As such, the PMU deemed that if it would be useful at any stage of the project (most especially during the Inception Phase of the project) they will make the case to the PB. The PPG team considers such a Working Group would be of value to the implementation of the project; in part, the IWT SC fulfills this role but the PMU will have to determine if this mechanism is sufficient to ensure coordination and collaboration – especially for Components One and Three (as the IWT SC specifically targets Component Two).

control. Indeed, agro-processing is a way to improve the economic status of the women and this can be linked to the value chain analyses, and could be linked to more targeted and effective extension services. Greater support will be required from other existing women's organizations, NGOs, networks and cooperatives, particularly those working on NRM and agriculture, to make this a reality. It is also important that in monitoring, assessment and learning from local experience, across the board collection of gender-responsive and sex-disaggregated data takes place in order to ensure that differential impacts are understood and results fed back into policy, practice and budgeting. The project will draw off existing human resources (including in UNDP and UN WOMEN) to ensure sustainability and equality of gender-responsive approaches, and to take charge of periodically reviewing progress in use of gender-sensitive monitoring and assessment indicators. This project takes a hybrid approach combining targeted programs and gender mainstreaming, with monitoring and learning approaches under multi-stakeholder platforms, enabling effective gender-equal feedback and learning from target groups. To ensure strong implementation, a gender strategy document will be produced to guide implementation, follow-up and dissemination of knowledge under Outcome 4.

#### **140. Mainstreaming gender**

141. Over the course of the PPG process, gender screening was conducted using UNDP methodology. As with the majority of similar scenarios across sub-Saharan Africa, the following issues were identified from the screening: there is a strong bias towards male employment within state actors, especially within law enforcement agencies. Within EWCA, the law enforcement rangers are entirely male. Indeed, the PPG team met with very few women over the course of the PPG process. However, there are some female employees in the judiciary (including magistrates and prosecutors). In addition, coupled with their role in reproduction and nurture of children, women are very much involved if not central to some aspects of use of natural resources and they spend a large part of their time collecting fuelwood, collecting water, collecting many NTF products. They are also involved in some aspects of agriculture and livestock husbandry (e.g., cutting grass and fodder, milking, processing milk and animal products, ploughing with hand hoes, tilling, applying manure, weeding, watering, harvesting, threshing, winnowing, and processing the products for consumption. They generally have limited technology to help them in these tasks. It is possible (although it did not emerge during the PPG process) that women are pivotal to ensuring that youth do not engage in illegal activities such as poaching wildlife.

142. It should also be recognised that the project sites cover a vast area of a vast and diverse country. There are diverse ethnic and cultural differences – including how these interact with gender issues – across the country and among the project sites and it would be difficult to simplify or generalise.

143. In response to the findings of the PPG process, the project will incorporate gender considerations in a number of different ways. As such, the intervention design incorporates and recognizes the differences between men and women in the context of labor, knowledge, needs, and priorities. Special mechanisms are envisaged under the project to enhance the role of women in various conservation and livelihood activities, such as:

- a. Empower women by involving them in intelligence networks, in the shaping of attitudes and in law enforcement processes
- b. There will be a strong focus on gender within Component Three, with an emphasis on providing microcredit loans to female led households, and/or to households that apply for loans with activities that have an emphasis on female-led activities (e.g., collection of fuelwood, water and/or NTF products) – as they relate to the value chain for agro-biodiversity products. As a result, women leadership will be enhanced
- c. All awareness creation activities will specifically target women and encourage them to take responsibilities including for engagement with the authorities with respect to natural resource management, illegal killing of wildlife and illegal trafficking in wildlife products and live animals.
- d. Where possible and where they exist, women's organisations will be targeted for involvement and capacity development
- e. Women leadership in the natural resource management agreements that will be negotiated (Output 3.2) will be encouraged

- f. To the extent feasible, landscape planning and implementation will have local women community mobilizers who would be involved in social mobilization to encourage greater participation of women from local communities.
- g. Awareness and communication campaigns with a specific gender focus (Output 2.9).
- h. Capacity building programs for the Landscape Planning and Implementation teams on gender equality and gender analysis
- i. Periodic reviews of the portfolio and highlight of best practices in mainstreaming gender in the project.
- j. Documentation of gender roles in the management of resources in the selected pilot areas
- k. Use of gender-sensitive indicators and collection of sex-disaggregated data for monitoring project outcomes and impacts.
- l. Encouragement of qualified women applicants for positions, including social mobilizers under the project as per UNDP rules and regulations.

144. In addition to these activities, the project will adopt the following principles: i) gender stereotypes will not be perpetuated, ii) women and other marginalised peoples will be actively and demonstrably included in projects processes whenever possible, and iii) derogatory language or behaviours will not be tolerated.

145. As such, the project falls within the **Gender Targeted** ranking – primarily because changes to the status quo will require long-term work beyond the project's life. Project interventions will seek a greater and more even gender representation with the potential for gender mainstreaming related activities. Furthermore, relevant gender representation on various levels of project governance will be pursued. All project staff recruitment shall be specifically undertaken inviting and encouraging women applicants. The TORs for key project staff all incorporate gender mainstreaming related responsibilities.

146. The project will promote gender mainstreaming and capacity building within its project staff to improve understanding of gender issues, and will appoint a designated focal point for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming internally and externally. This will include facilitating gender equality in capacity development and women's empowerment and participation in the project activities. The project will also work with UNDP experts in gender issues and the UNWOMEN based in Addis Ababa to utilize their expertise in developing and implementing GEF projects. These requirements will be monitored by the UNDP Gender Focal Point during project implementation. Gender mainstreaming will be monitored under the project Component 4. More detailed project interventions to promote gender mainstreaming are listed in the table below:

#### Proposed gender mainstreaming actions for project implementation

| <i>Outcome/ Output</i>   | <i>Gender Mainstreaming Actions</i>   |
|--|---|
| <b>Component 1: Protected area management and biodiversity conservation</b>            |   |
| Output 1.1. PA management plans are developed and supported for initial implementation | <ul style="list-style-type: none"> <li>• Proactive inclusion of local women and women organizations in working groups and committees involved in the development of PA Management Plans;</li> <li>• Gender Mainstreaming will be addressed in the PA MPs.</li> <li>• For monitoring purposes all participants of the management planning will be disaggregated by gender in the reporting documents</li> <li>• The management plans are expected to lead to the development of PA Management Committees; such committees will be comprised of at least 40% women</li> </ul> |



| <i><b>Outcome/ Output</b></i>  | <i><b>Gender Mainstreaming Actions</b></i>   |
|--|--|
| Output 1.2. Tools and systems for PA management developed and initial operationalization supported   | <ul style="list-style-type: none"> <li>• Proactive inclusion of women staff in the trainings and workshops on the PA Management</li> <li>• Gender disaggregated reporting on the training participants</li> </ul>  |
| Output 1.3 Site level law enforcement initiatives are supported  | <ul style="list-style-type: none"> <li>• Involvement of women staff in the law enforcement and surveillance systems on poaching where possible</li> </ul>  |
| <b>Component 2: Implementation of anti-trafficking measures</b>  |  |
| Output 2.1 International cooperation on IWT control is supported   | <ul style="list-style-type: none"> <li>• Involvement of women experts in the Working Groups to develop and discuss international agreements on IWT control</li> <li>• Gender disaggregated reporting on the Working Groups' participants</li> </ul>  |
| Output 2.2 Proposals to strengthen the (existing) National IWT Steering Committee are developed  | <ul style="list-style-type: none"> <li>• Involvement of women experts in the work of IWT SC where possible</li> </ul>  |
| Output 2.3 Establishment of IWT Task Forces in pilot regions is supported  | <ul style="list-style-type: none"> <li>• Involvement of women staff in the work of IWT Task Forces were possible.</li> </ul>   |
| Output 2.4 Legislation guidance for law enforcement agencies is developed  | <ul style="list-style-type: none"> <li>• The review of the legislation will also examine whether there is inherent discrimination on the laws as they exist</li> <li>• Involving women experts in development of law enforcement guidance</li> <li>• Involving women staff in the trainings on law enforcement</li> <li>• Gender disaggregated reporting on the training participants</li> </ul> |
| Output 2.5 Proposals for improving law enforcement and IWT legislation (as necessary) are developed  | <ul style="list-style-type: none"> <li>• Involving women experts in the Working Groups to develop legislation amendments</li> <li>• Gender disaggregated reporting on the participants of the Working Groups</li> </ul>  |
| Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported                 | <ul style="list-style-type: none"> <li>• Involvement of women staff in the work of ECU where possible</li> <li>• Women will be encouraged to apply for positions in all recruitment processes</li> </ul>   |
| Output 2.7 Management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field is developed | <ul style="list-style-type: none"> <li>• Involvement of women staff in the development and implementation of the system</li> <li>• Involving women staff in the trainings on the system management</li> <li>• Gender disaggregated reporting on the training participants</li> </ul>   |
| Output 2.8 Capacity development for the national CITES management and scientific authorities is supported                                    | <ul style="list-style-type: none"> <li>• Involvement of women experts in the trainings and work of the National CITES authorities</li> </ul>   |
| Output 2.9 An information campaign to increase public knowledge and responsiveness regarding wildlife and wildlife                           | <ul style="list-style-type: none"> <li>• All awareness creation activities will specifically target women and encourage them to take responsibilities including for engagement with the authorities with respect to natural resource management, illegal killing of wildlife and illegal</li> </ul>  |

| <i><b>Outcome/ Output</b></i>  | <i><b>Gender Mainstreaming Actions</b></i>  |
|--|---|
| crime is implemented   | trafficking in wildlife products and live animals.  |
| <b>Component 3: Landscape approach to forest and agro-biodiversity conservation</b>  |   |
| Output 3.1 Integrated Landscape Management (ILM) plans are developed   | <ul style="list-style-type: none"> <li>Proactive inclusion of local women and women organizations in working groups and committees involved in the development of the Integrated Landscape Management Plans;</li> <li>Gender Mainstreaming will be addressed in the IMPs.</li> <li>For monitoring purposes all participants of the management planning will be disaggregated by gender in the reporting documents</li> </ul>  |
| Output 3.3 Value chains for forestry and agro-biodiversity products are developed and presented to the local communities for implementation  | <ul style="list-style-type: none"> <li>Experts that are women will be specifically sought to carry out the value-chain analyses</li> <li>Involve local women in the trainings on new value chains</li> <li>Gender disaggregated reporting on the training participants</li> </ul>   |
| Output 3.4 Microcredit schemes for local communities are developed and implemented   | <ul style="list-style-type: none"> <li>There will be an emphasis on providing microcredit loans to female led households, and/or to households that apply for loans with activities that have an emphasis on female-led activities (e.g., collection of fuelwood, water and/or NTF products) – as they relate to the value chain for agro-biodiversity products. As a result, women leadership will be enhanced</li> <li>Inclusion of women in the work of micro-loan committees to make decision on micro-loans</li> <li>Gender disaggregated reporting on receivers of the micro-loans</li> </ul> |
| Output 3.5 Demonstration farm(s) for the conservation of agro-biodiversity are established   | <ul style="list-style-type: none"> <li>Promotion of gender balance in the initiative groups to develop demonstration farms</li> <li>Gender disaggregated reporting on the participants of the pilot projects</li> </ul>   |
| <b>Component 4: Knowledge Management, Gender mainstreaming, and M&amp;E</b>  |   |
| Output 4.1. M&E provides sufficient information for adaptive management, gender mainstreaming, and learning via active participation of key stakeholders in the project implementation | <ul style="list-style-type: none"> <li>Requirement for gender-disaggregated information for appropriate indicators in the M&amp;E Plan</li> <li>Specific monitoring of gender mainstreaming progress during project implementation</li> <li>Promotion of women participation in the project M&amp;E process</li> <li>Gender disaggregated reporting of M&amp;E participants</li> </ul>  |
| Output 4.2. Lessons learned from law enforcement strategies and community based conservation, including gender mainstreaming, are shared on national and international levels          | <ul style="list-style-type: none"> <li>Reporting of gender oriented lessons learned from the project</li> <li>Inclusion of women in generating and discussion of the lessons learned from IWT management and CBNRM</li> </ul>   |

| <i>Outcome/ Output</i>    | <i>Gender Mainstreaming Actions</i>   |
|---------------------------|---|
| <b>Project Management</b> | <ul style="list-style-type: none"> <li>• Apply gender clause to human resource recruitment, encouraging the applications from women candidates and their hiring</li> <li>• At inception: gender screening of design</li> <li>• TORs of all staff to include specific responsibilities that support mainstreaming of gender throughout project implementation</li> </ul> |

## **147. South-South and Triangular Cooperation (SSTrC)**

148. The proposed project will draw off and contribute to the SSTrC in the following ways:

149. Sustainable development pathways. The best (and worst) experiences of the project will be shared among the GWP community and other interested partners. Similarly, the project will draw off the best experiences in other countries. There are two outputs which explicitly facilitate this – i) the establishment of the Environmental Crime Unit (Output 2.6) will draw off best experiences in Kenya, Tanzania and Mozambique (including through study tours that will be facilitated by the project); this will also prove to be a mechanism to promote political support for the ECU, and ii) the international cooperation and collaboration over IWT (Output 2.1) is dependent on cross-fertilization of ideas with neighboring countries.

150. The development of much of the project, in the PPG process, is already drawing off good experiences and practices that are being implemented in adjacent countries and those further afield. The practices that will be promoted and tested in the selected sites – including facilitating access to and use of natural resources by local communities – draw off long-term experiences elsewhere. The project will facilitate learning in both directions to ensure that good practices are shared. By having a fourth component dedicated to monitoring and knowledge management, this is integral to the project's design.

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## **V. FEASIBILITY**

151. Cost efficiency and effectiveness: The project will use a number of different strategies to ensure cost efficiency and to ensure effective attainment of results, including (but not limited to) the following:

152. First, the project will use standard UNDP rules for procurement; these are specifically designed to optimise value for money. All activities will be included in the Annual Work Plan, which will be discussed and approved by the Project Board to ensure that proposed actions are relevant and necessary. When the activities are to be implemented and project outputs monitored and evaluated, cost-effectiveness will be taken into account but will not compromise the quality of the outputs. When hiring third party consultants or contractors, the project will follow a standard recruitment and advertising process to have at least three competitors for each contract. Selection will be based on qualifications, technical experience and financial proposal, to ensure hiring the best consultant (individual or organization) for an optimal price. Economy fares will be applied for necessary air and road travel, and appropriate lodging facilities will be provided to the project staff ensuring staff safety and cost-effectiveness. Similarly, the project will follow a tendering process for equipment purchase and any printing/publishing that accounts for more than USD 10,000, comparing at least three vendors. In case there is a single vendor only for any activity, appropriate official norms will be followed to obtain approval from UNDP and GEF. Expenses will be accounted for according UNDP rules and in line with the GEF policy.

153. Second, the project will be working with all the relevant stakeholders within Ethiopia through partnerships and collaborations (see Section IV) thereby reducing the risk of duplication and redundancy. In addition, the partnerships and collaborations will also ensure complementarity of the work. Thus, for example, the GIZ is planning to work on institution building, most specifically with EWCA. This work will directly complement the work

proposed under this project and, moreover, will reduce the risks to the project (see the section on risk management below). Third, the project has been designed by drawing off best practices in countering IWT and poaching across the continent today – including the introduction of recently developed technologies and tools (and which are continuing to develop rapidly). For example, the project has been designed drawing off lessons that have been learned i) in Kenya, Tanzania and Mozambique (the formation of a specialised unit for countering illegal trafficking of wildlife animals and products); and ii) the on-going learning processes associated with technology, and tools for monitoring illegal activities and, more pertinently, for improved law enforcement and achieving higher conviction rates (as described in sections above). In addition, in the design of Component Three, the project is also drawing off the outstanding experiences of and results achieved by Participatory Forest Management (PFM) practices in Ethiopia: these specifically allow people access to and use of natural resources – while transferring the responsibility of managing those resources to the people following an extended period of negotiation, agreement and capacity development. Over and above these lessons and good practices, there is much to learn, demonstrate and test, and this project has been designed to do just that and, further, to do it in the context of Ethiopia.

154. The project's budgets have been prepared for all investments; where tools and technologies are being introduced, the most recent developments are being used – and further developments will be tried and tested during the project's life, while being cost efficient because they are being tried and tested to achieve the project's results.

155. Risk Management: As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

156. A number of risks were identified in the PIF; these have been updated during the PPG phase (see Table 6).

**Table 6. Project risks, updated during the PPG phase**

| Description  | Type                | Impact & Probability  | Mitigation Measures   | Owner                                | Status                          |
|--|---------------------|---|---|--------------------------------------|---------------------------------|
| Limited institutional capacity to manage PAs effectively and to counter IWT effectively <sup>33</sup>  | Organizational      | Institutional issues and institutional functionality could significantly undermine the project's ability to be implemented in an effective and efficient way. This would undermine the impacts that the project might have.<br><br>Probability: 4<br>Impact: 4<br>HIGH  | While addressing such systemic and institutional issues are beyond the scope of this project, its success is dependent on systemic improvements and an institution building process. GIZ has the intention to implement a programme to address these systemic issues that afflict EWCA (in particular) and, as a result, the aim of this project shall remain strictly focused at the level of the protected areas. Nonetheless, the project's success is dependent on the successful implementation of GIZ's programme and the project will support GIZ in anyway possible (e.g., providing co-finance letters, representation, as necessary). | UNDP-CO; UNDP-GEF RTC (Addis Ababa). | Increasing over past two years. |
| While there have been significant improvements in the allocation of resources, resource allocation by GoE to ensure efficient and effective implementation of project and to ensure sustainability of processes that the project initiates and impacts that the project may have remains a high risk <sup>34</sup> . | Financial/strategic | The project requires a reciprocal increase in resources being allocated by the GoE. This will allow the plans and processes that the project develops and implements, respectively, to be fully realised. These resources will be needed for: i) scaling up and replication of the project's successes, ii) maintenance and depreciation of infrastructure, equipment and technological solutions procured by the project | The project will seek firm commitments from the GoE to ensure that there is a reciprocal increase in resources being allocated to all areas covered by the project, both during its lifetime and beyond. Where possible, the project will seek signed commitments from the government and to find mechanisms to ensure that implementation of the plans developed under the project   | UNDP-CO                              | No change                       |

<sup>33</sup> The PPG consultants note that the UNDP-CO expressed concern about the rating of this risk, especially after the previous UNDP-GEF project inputs to build capacity. Given the Scores in the Capacity Scorecard (see Annex J), the PPG consultants recommended leaving the rating as it appears here with a reassessment of the risks, as is usual, in the project's Inception Phase. In addition, the GIZ would not have a specific institution building program as this was not an issue.

<sup>34</sup> For evidence to back up this statement, see (relatively low) annual budgets allocated to the five selected PAs in the GWP Tracking Tool (Annex D; appended to proposal). If necessary, the risk rating

| Description   | Type                | Impact & Probability   | Mitigation Measures   | Owner   | Status                           |
|---|---------------------|--|---|---|----------------------------------|
|   |                     | and iii) overall financial sustainability of the processes and impacts.<br>Probability: 4<br>Impact: 4<br>HIGH   | (e.g., PA management plans – Output 1.1, ILM plans – Output 3.1) are approved at the highest levels – thereby increasing the likelihood of them being appropriately resourced. This will help ensure sustainability of the project’s processes and impacts.   |   |                                  |
| The situation in Ethiopia during the PPG phase culminated in a State of Emergency (Oct 2016).   | Political           | If the political situation in Ethiopia deteriorates, the project’s implementation and, importantly, its ability to achieve impacts will become compromised – most especially because travel around the country will be difficult or impossible.<br>Probability: 2<br>Impact: 4<br>MODERATE | Mitigation of this risk remains beyond scope of project. However, if the situation deteriorates, the UNDP-CO will need to make a decision regarding the implementation of the project in collaboration with the PB.   | UNDP-CO   | The State of Emergency is lifted |
| Ethiopia’s land-use policies currently do not encompass the identification, selection and appropriation of suitable areas for development (including conservation and/or natural resource management) <sup>35</sup> | Political/strategic | Further appropriation of land designated as protected areas and/or loss of areas used for agro-biodiversity crops would significantly undermine project impacts.<br>Probability: 3<br>Impact: 3<br>MODERATE  | The project will try to influence the further development of policies, including land use policies by aligning itself closely with the Ministry of Environment, Forest and Climate Change. The project is also undertaking a mass media campaign (Output 2.9) design to garner public support and to increase understanding of the value of biodiversity, ecosystem services and agro-biodiversity. | Project team; Ministry of Environment, Forest and Climate Change; UNDP-CO | No change                        |

can be updated during the project’s Inception Phase.

<sup>35</sup> This risk remains unchanged from the PIF. Further evidence for this risk is the appropriation (without consultation) of 20,000ha of Omo National Park for sugar cane plantation.

| Description  | Type          | Impact & Probability   | Mitigation Measures  | Owner  | Status     |
|--|---------------|--|--|--|------------|
| Other development sectors and processes are prioritised above the environment (and particularly the conservation) sector – which results in low levels of funding, staffing and political leverage <sup>36</sup>   | Political     | If the environment sector continues to be marginalized, some of the key outcomes targeted by the project, and the sustainability of the processes and impacts that the project may have may be undermined.<br>Probability: 5<br>Impact: 3<br>MODERATE  | One of the key strategies that will be adopted by the project is to bring in other pertinent actors, especially with regard to law enforcement. By doing this with actors that are trusted and empowered (e.g., the <i>woreda</i> authorities, the police and judiciary for Component One, and the federal police, the NISS and the Customs Authority for Component Two), the project should overcome some of the risks associated with marginalization of the environment sector. | UNDP-CO  | No change  |
| Climate change will lead to a more variable climate in Ethiopia, with increased temperatures, more extreme climatic events; weather events associated with climate change may impact the livelihoods of people living in the vicinity of protected areas because of their economic dependence on crops or livestock. Failures of crops or livestock losses may | Environmental | The project is putting in place strategies that should mitigate the impacts of climate change (both through the increased effectiveness of protected area management as well as work on protecting agro-biodiversity). However, the project will have to take care to ensure, for example, that local communities (and their use of natural resources) remain adaptable in the face of climate change. | Although over the life of the project, the impact of climate change is estimated to be moderate, the project is putting in place strategies that should mitigate the impacts of climate change (both through the increased effectiveness of protected area management as well as work on protecting agro-biodiversity). However, the project will have to take care to ensure, for example, that local communities (and their use of   | Ministry of Environment, Forest and Climate Change | Increasing |

<sup>36</sup> UNDP-CO comment on this risk: “There is huge improvement in government resource allocation for PA. This is illustrated by allocated Birr 87 million for the conservation of the core areas of Simien Mountains National Park ensuring the sustainable use of the park and its accreditation by UNESCO is currently under way. There are a number of projects that are complimentary to this effort, being pursued with the wild context of the horn of Africa. Government funding to conservation will continue to increase as the economy grows and in line with the SDGs and GTPII goals. We don’t see a situation where government would under-prioritize conservation when its medium term development frame and the CRGE strategy all indicate the need for allocating more resources to ensure sustainable growth and development. The fact that Govt has mainstreamed CRGE and SGDs in the GTPII is a clear testimony that conservation is safeguarded from budget cuts. The risk rating need to be revised downward.” PPG consultants response: the UNDP-CO comment is noted but, as with the previous risk, the evidence on hand is that the budgets for the five selected pilot PAs are very low (see GWP TT, Annex D to the PRODOC) and in the appropriation of 20,000ha of Omo National Park for sugar cane plantations. In summary, the PPG consultants recommend that the risk rating remains the same but that this could be reviewed during the project’s Inception Phase.

| Description   | Type | Impact & Probability               | Mitigation Measures   | Owner | Status |
|---|------|------------------------------------|---|-------|--------|
| exacerbate poaching as these people become increasingly dependent on natural resources. |      | Probability: 3<br>Impact: 2<br>LOW | <p>natural resources) remain adaptable in the face of climate change.</p> <p>The agro-biodiversity aspects of the project are designed to protect different varieties that should, in principle, allow for efficient adaption to all climate change scenarios. The targeted communities will have to be empowered through information to ensure that they remain adaptable.</p> |       |        |



157. Social and environmental safeguards: The project has a **low risk** rating as indicated in the UNDP Social and Environmental Screening Procedure, included as Annex F to this project document. There is little social risk in this Project because it is designed in a way that ensures gender and socially responsiveness by placing adequate consideration on differential needs of men and women, and other disadvantaged groups (see section on gender mainstreaming), and Component Three directly responds to the resource requirements of people living in the vicinity of protected areas as well as finding mechanisms to increase the value of endemic varieties of crops and livestock. These aspects will be implemented with relevant planning and guidelines based on the best practices and lessons learned from the past 20 years of experience of Participatory Forest Management (PFM) in Ethiopia, including ensuring good governance, building capacity and reaching equitable agreements.

158. In contrast, there are social risks associated with the political situation in Ethiopia (at the moment when the PRODOC was being finalized). This has been identified as a project risk (see above).

159. In addition, two of the pilot landscapes (Omo-Mago-Chebera Chochora and Babille) have a long history of resource conflicts (primarily over grazing mediated through control of water resources). Such resource conflicts are exacerbated by perceived (and often real) injustices over loss of access to and use of resources; thus, for example, the loss of grazing area to large scale agricultural projects within and surrounding Omo National Park will likely lead to an escalation of tension and potential conflict. Such projects also lead to displacement of the people into protected areas. A similar situation exists in Babille: here there has been encroachment of smallholding agriculture and grazing/browsing of domestic livestock well into the protected area. It should also be noted that conflict is also exacerbated by the availability of weapons (particularly small arms) in these areas. In summary, while the project is focusing on addressing and better managing the risks, SEPS considerations need to be taken into account during project planning, implementation and monitoring.

160. Overall, from an environmental perspective, the project does not pose any significant risk. In contrast, it has been designed to promote environmental safety by ensuring continued existence of environmental resources including wildlife habitats and species, and for sustainable access to and use of natural resources by people living in the vicinity of protected areas.

161. In line with UNDP standard procedures, the Project will set up and manage a grievance redress mechanism (GRM) as recommended by UNDP (2014) that would address project affected persons' (PAP) grievances, complaints, and suggestions. The GRM will be managed and regularly monitored by the PMU. It will comply with the following requirements:

- a. **Uptake. The GRM will have multiple uptake locations and channels.** PAPs in the project areas will be able to submit complaints or suggestions to PMU or members of PB in person, by phone, via delegated people, via mail, email, and/or via special page of the Project web-site. These channels will be locally-appropriate, widely accessible and publicized in written and verbal forms on all project communication materials, and in public locations in the project areas.
- b. **Sort & process. All grievances will be registered by PMU.** All complaints submitted to PMU or members of PB will be registered by the PMU and the complaint will be assigned a unique tracking number upon its submission. The PMU will maintain a database with full information on all submitted complaints and responses taken. These data are important to assess trends and patterns of grievances across the Project regions and for monitoring & evaluation purposes.
- c. **Investigate and act. Strict complaint resolution procedures will be developed and observed, and personnel at the PMU will be assigned to handle the grievances.** The PMU will develop clear and strict grievance redress procedures, and assign responsibilities. To the extent possible, complaints will be handled at the level of PMU, as close as possible to the complainant. Difficult situations and conflicts will be brought to the attention of PB and UNDP-CO if PMU is unable to find appropriate solution. Complaints that are beyond the Project scope will be conveyed by PMU to relevant local or regional authorities in the project areas.

- d. **Provide feedback.** Feedback will be provided in response to all registered grievances. The PMU will provide feedback by contacting the complainant directly (if his/her identity is known), by reporting on actions taken in community consultations and/or by publishing the results of the complaints on the Project web-site, local newspapers and as part of project materials.
  - e. **Enable appeals.** Complainants will be notified of their right to appeal the decision taken by the PMU. If complainants are not satisfied with PMU response to their grievance, they will be able to appeal the PMU decision to members of SC and UNDP CO via mail, e-mail or the Project web-site.
- Monitor & Evaluate.**

162. **The performance of the GRM will be regularly monitored.** As all information about the grievances and their resolution will be recorded and monitored. This data will be used to conduct in-depth analyses of complaint trends and patterns, identify potential weaknesses in the Project implementation, and consider improvements. Environmental and social grievances will be reported to the GEF in the annual PIR. The full SESP screening report is included in Annex F.

163. **Sustainability and Scaling Up:** The project will invest considerable resources to increase the likelihood of sustainability of the processes that it establishes and the results that it will have. The project will take into account various aspects of sustainability – including financial, socio-political, institutional and governance, and environmental sustainability.

164. First, the likelihood of **financial sustainability** will be enhanced through both the design of the project but also at each stage of the project's implementation. The PMU will consider the financial implications of each of the activities and processes that are being implemented. The PMU will consider which institution is implicated in the continuation (and replication or upscaling) of the processes beyond the life of the project. The PMU will implement all processes in partnership with the implicated institutions and work to garner commitments from those institutions such that the likelihood that they will continue beyond the life of the project will be increased. Many of the assumptions identified in the project's results frameworks pivot on aspects of financial sustainability and uptake by different institutions – especially government partners. The project's approach will be inclusive and participatory, transferring ownership and responsibility where possible.

165. Successful project implementation will also catalyse increased interest from the donor community in Ethiopia, particularly in those with a focus on poverty reduction, governance and rule of law, and natural resource management.

166. Second, the likelihood of **institutional and governance sustainability** will be primarily increased through the participatory approach that the project will undertake. The risks to institutional sustainability lie in the project's aim i) to establish an Environmental Crime Unit (ECU) and ii) to work with people living in the vicinity of protected areas to develop agreements that will allow them access to and use of resources.

167. The ECU is being established within the Federal Serious Crimes Unit; this has been negotiated and agreed – and, indeed, the project has responded to the request that the ECU cover not only wildlife crimes but also to cover other environmental aspects.

168. As stated above, the work with people living in the vicinity of protected areas will specifically draw off lessons learned and best practices from 20 years of PFM work in Ethiopia and, as a result, the likelihood of sustainability will be enhanced.

169. Further institutional sustainability will be ensured through the inclusive approach that the project will adopt, encouraging and facilitating collaboration and cooperation among key stakeholders. Where necessary, Memoranda of Understanding (MOUs) will be developed and implemented such that the different roles and responsibilities of the partners will be clarified. The aim will be to institute long-term partnerships that extend beyond the life of the project, which will therefore ensure the project results for at least 5-15 years after project completion and high probability of prolonged government and community support.

170. Third, the project will ensure **socio-political sustainability** by working directly with the key stakeholders, including and involving them in project implementation. While some aspects of political sustainability are clearly beyond the scope of the project (e.g., the political volatility within Ethiopia over the course of the PPG process),

the project's inclusive approach built on the foundation of strong partnerships will enhance socio-political sustainability. Central to this will be the work with people living in the vicinity of protected areas, and the project expects to improve those people's livelihoods and wellbeing. Social sustainability is also enhanced because of the compliance with the Social and Environmental Screening Procedure conducted during project preparation (see Annex F for the SESP summary). The SESP identified no expected issues that would result in negative social impacts. The project will promote gender mainstreaming and capacity building within local communities to improve socio-economic understanding of gender issues, and will appoint a designated focal point (or focal points in each site) for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming. This will include facilitating gender equality in capacity development and women's empowerment and participation in the project activities. The project will also work with the Ethiopia Country Office of UNWOMEN and UNDP experts in gender issues to utilize their expertise in developing and implementing GEF projects.

171. Capacity development will be a theme that runs through all aspects of the project – partly through the partnerships that the project will enable – and this will be the primary mechanism by which sustainability will be ensured.

172. Finally, the project will enhance the likelihood of **environmental sustainability** through achievement of its overall objective, which is “to build Ethiopia's capacity for biodiversity conservation through increased effectiveness of protected area management and anti-trafficking measures”. This will, in turn, contribute to Ethiopia's commitment to a number of international conventions, including those supported by GEF focal areas. The overall environmental impact of the project is expected to be very positive – not only within the country but, by having a significant impact on illegal wildlife trafficking and trade, beyond its borders as well. In addition, the project will contribute to the sustainable development of the country through protection of its national biodiversity assets.

173. Finally, in the fourth year of project implementation, the PMU will review the processes that have been started by the project, the results that the project has attained by that point and the results that the project expects to attain by the end of the project. Each of these will be reviewed with the aim of considering the risks to their sustainability – thereby allowing the project to plan to mitigate any risks to sustainability in its final two years.

174. **Upscaling.** The project has a detailed M&E system (see Section VII); the M&E will be carried out in a participatory way and the lessons that are learned through the project's implementation will be made available nationally, regionally and globally for replication through the dissemination of project results, recommendations and experiences including demonstration of best practices. One key aspect of this will be the production of materials that will be pertinent throughout the country (e.g., the PA management systems manual and the handbook on policies, laws, regulations and guidelines that are applicable for law enforcement – Outputs 1.2 and 2.4, respectively). The project will ensure dissemination of these materials to all relevant stakeholders and, where possible and pertinent, extend invitations to relevant stakeholders to attend trainings and other capacity development processes.

175. Further, the project outputs will be made available via a project website. The project falls under the umbrella of the GWP, which will also provide a mechanism to disseminate lessons and practices to the global community that are concerned with and working in this thematic area. In summary, the upscaling potential of the project in the country is significant.

## VI. PROJECT RESULTS FRAMEWORK

| Strategy   | Indicators  | Baseline   | MTR target   | EOP target  | Assumptions   |
|--|---|--|--|---|---|
| <b>Project Objective:</b> To build Ethiopia's capacity for biodiversity conservation through increased effectiveness of protected area management and implementation of measures to reduce Illegal Wildlife Trade (IWT) and poaching | <b>Mandatory Indicator 1.</b><br><i>IRR Output 2.5 indicator</i><br>2.5.1: Extent to which national legal, policy, and institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems. |  |  |   | Assumes that the government will use project Outputs to improve legislation and institutions, develop international cooperation, and provide funding beyond the life of the project to sustain all operations to counter wildlife crime at a site-, regional-, and federal level. |
|  | A) Number of international agreements on IWT control signed   | Zero   | One  | Four  |   |
|  | B) Number of legislation documents strengthened <sup>37</sup>   | Zero<br>Baseline is current state of legislation | Amendment(s) to legislation drafted and submitted to the government, as necessary, following analysis of gaps and inconsistencies in legislation | Amendment(s) are in the process of approval (or approved) by the government |   |
|  | C) Number of regional IWT Task forces established   | Zero   | One (SNNPR)  | Two (SNNPR & Somali region)   |   |
|  | D) Presence of wildlife derivatives management system   | No system in place                               | System in place and functioning  | System in place, functioning and audited                                    |   |

<sup>37</sup> Under Output 2.4, the project will carry out a detailed analysis of the current legislation (in order to produce a handbook that will describe all applicable laws and the circumstances in which the different laws may be applied, see Section IV). As described there, gaps or contradictions in the legislation will also be identified and this will lead to the drafting of legislation, if and as necessary.

| Strategy | Indicators  | Baseline   | MTR target  | EOP target  | Assumptions   |
|----------|---|--|---|---|---|
|          | <b>Mandatory Indicator 2.</b><br>Number of direct project beneficiaries:<br>- Number of local people in project areas benefiting from engagement in CBNRM (male/female) | Zero   | 600   | 1,200   | Local people have economic and security interest in the development of CBNRM<br><br>Government support development of CBNRM   |
|          | <b>Indicator 3.</b> Number of flagship species poached:   |  |   |   | Assumes that following an increase in the number of seizures, the deterrent effect will take effect and will, ultimately, lead to a decline in the number of seizures and animals killed by poachers. |
|          | a) Proportion of illegally killed elephants <sup>38</sup> (total number of dead elephants in parentheses)   | Omo NP: 1 <sup>39</sup> (n = 1)<br>Mago NP: 1 (n = 6)<br>CCNP: 1 (n = 7)<br>Babille: 1 (n = 5)<br>Kafto Shiraro: 1 (n = 6)   | Omo NP: 0.5<br>Mago NP: 0.5<br>CCNP: 0.5<br>Babille: 0.5<br>Kafto Shiraro: 0.5  | Omo NP: 0.2<br>Mago NP: 0.2<br>CCNP: 0.2<br>Babille: 0.2<br>Kafto Shiraro: 0.2  |   |
|          | b) Number of Big Cats (specifically lions, cheetahs and leopards) seized (at project sites per unit effort <sup>40</sup> )  | Omo NP: 0<br>Mago NP: 0<br>CCNP: 0<br>Babille: 1 (leopard)<br>Kafto Shiraro: 0<br>(The numbers in the PAs reflect the lack of patrolling in the past years – i.e., there are no data).<br>Border crossing points: baseline to be established<br>Bole International Airport: baseline to be established | It is possible that the number will <i>increase</i> at the time of the MTR because of increased successful efforts (at least a 300% increase in seizures) | Demonstrated decline in seizures per unit effort as deterrent impact takes effect at least a 300% decline from peak seizure rates). |   |
|          | <b>Indicator 4.</b> METT for PAs  | Omo NP: 13<br>Mago NP: 15<br>CCNP: 30  | Omo NP: 62<br>Mago NP: 61<br>CCNP: 62   | Omo NP: 83<br>Mago NP: 84<br>CCNP: 81   | PAs will use and implement management plans and management  |

<sup>38</sup> This indicator is selected because it complies with the Monitoring of Illegal Killings of Elephants (MIKE) program.

<sup>39</sup> In other words, all killed elephants that were found had been illegally killed.

<sup>40</sup> This represents an adaption of the GWP TT indicators (which is worded “number of Big Cats poached at program sites)

| Strategy  | Indicators  | Baseline  | MTR target   | EOP target   | Assumptions  |
|---|---|---|--|--|--|
|   |   | Babille: 13<br>Kafto Shiraro: 46  | Babille: 60<br>Kafto Shiraro: 68   | Babille: 82<br>Kafto Shiraro: 84   | systems manuals; PAs will use new skills to increase management effectiveness<br><br>Government will provide sufficient funding to PAs during and then beyond the life of the project for effective management plan implementation<br><br>Improvement in the management of the PAs is dependent on institutional functionality       |
| <b>Component One:</b><br>Protected area management and biodiversity conservation<br><br><b>Outcome One:</b> Improved protected area management effectiveness delivers enhanced protection in the targeted protected areas | <b>Indicator 1.</b> Number of PAs that have up-to-date management plans approved by the government and under implementation   | Zero<br><br>No management plans (although “abbreviated” management plans are under development for Kafta Shiraro NP and CCNP) | One  | Five<br><br>Management plans for five protected areas formulated, approved and being implemented leading to demonstrable improvement in management (management systems in place and in use; staff trained and training being used; appropriate tools and technologies in place and in use) | Assumes that: <ul style="list-style-type: none"> <li>EWCA and regions will approve MPs</li> <li>Government will allocate resources to implement MPs, including for maintenance and depreciation of infrastructure and equipment</li> <li>Capacity and institutional space to implement</li> </ul> Barriers to implementation removed |
|   | <b>Indicator 2.</b> Proportion of successful prosecutions of wildlife crimes in PAs and surrounding areas (measured annually) | Baseline data only for CCNP:<br><br>Other baseline to be established in YR1 of project <sup>41</sup>                          | Of the cases that are presented in courts, at least 60% result in convictions with appropriate sentences | Of the cases that are presented in courts, at least 90% result in convictions with appropriate sentences   | Assumes LE agencies take wildlife crime seriously enough to allocate time and resources<br><br>Government will provide   |

<sup>41</sup> The proportional baseline data do not exist for the remaining PAs but in Kafta Shiraro NP, four cases are on-going at the PPG phase

| Strategy  | Indicators  | Baseline   | MTR target   | EOP target   | Assumptions   |
|---|---|--|--|--|---|
|   |   |  |  |  | enough funding to implement IWT control   |
| <b>Component Two:</b><br>Implementation of anti-trafficking measures<br><br><b>Outcome Two:</b><br>Strengthened national and local capacity for conservation of endangered fauna and flora through implementation of anti-trafficking measures  | <b>Indicator 1.</b> Proportion of successful prosecutions of crimes related to wildlife trafficking at national level (measured annually) | No baseline data; baseline to be established in YR1 of project | At least 60% of IWT cases presented in court leading to convictions with appropriate sentences | >95% of IWT cases presented in court leading to convictions with appropriate sentences | Assumes that seizures lead to arrests, presentation of well documented cases (with sufficient evidence) at court and the conviction of perpetrators   |
|   | <b>Indicator 2.</b> Capacity of government agencies on IWT control as indicated by customized UNDP Capacity Development Scorecard         | 29%  | 10% increase across all possible scores  | A 20% improvement across all possible scores   | Government agencies will use project Outputs to increase their capacity on IWT control  |
| <b>Component Three:</b><br>Landscape approach to forest landscape and agro-biodiversity conservation<br><br><b>Outcome Three:</b> Improved conservation of forestry and agro-biodiversity resources through a landscape approach based on community-based natural resource management | <b>Indicator 1.</b> Approved landscape/ ecosystem level plans <sup>42</sup><br><br>Total area covered by approved ILM plans (ha)          | Zero<br><br>Plans and agreements do not exist<br><br>0ha       | One<br><br>15,000ha  | Two.<br><br>Approved plans in place and being implemented<br><br>50,000ha              | Assumes that: <ul style="list-style-type: none"> <li>Agreement can be reached on use of land within and surrounding selected PAs</li> <li>Government will approve landscape/ ecosystem level plans</li> </ul> |
|   | <b>Indicator 2.</b> Natural resource use agreements with stakeholders – including local and indigenous communities <sup>43</sup>          | Agreements do not exist  | Two agreements with communities and indigenous people in place and being implemented           | Four agreements with communities and indigenous people in place and being implemented  | Government will agree to allow natural resource use by local communities and indigenous people within   |

<sup>42</sup> Based on the principle and best practice of the HOAREC/IGAD project in Gambella but on a biologically meaningful (landscape or ecosystem) scale including and surrounding the selected protected areas. The landscape/ecosystem plans include the zonation of the area and will be linked to core conservation areas and natural resource use by stakeholders (with natural resource use, in principle, including grazing and hunting rights). The landscape level plans will also take into account the sugarcane developments in the Omo valley.

<sup>43</sup> The agreements with stakeholders will include, but not be limited to: i) the establishment of PA management committees that include all relevant stakeholders (especially local communities and indigenous people) and which have the mandate to make all decisions relating to PA management, ii) the use of natural resources within the landscape as per the zonation plan. This indicator represents an adaption of the GWP TT indicator: “Number of formal agreements with local communities on (conservation and) natural resource use”

| Strategy  | Indicators  | Baseline  | MTR target  | EOP target  | Assumptions  |
|---|---|---|---|---|--|
|   |   |   |   |   | and surrounding PAs<br><br>Local people will see livelihood benefits from implementation of ILM plans  |
|   | <b>Indicator 3.</b> Total number/area of small sustainable businesses developed by local people – recipients of microcredit schemes | Zero  | 10  | 35  | Local people have economic and social interest to develop CBNRM systems, sustainable agriculture and forestry  |
|   | <b>Indicator 4.</b> Average percentage of household income increase of recipients of microcredit schemes in the project areas       | Baseline to be determined on selection of recipients of microcredit schemes | Household income increased by at least 15% above baseline | Household income increased by at least 30% above baseline | Assumes local communities will readily take up microcredit schemes   |
|   | <b>Indicator 5.</b> Area (ha) of demonstration farm(s) protecting rare and valuable genetic agro-biodiversity                       | Zero  | At least one area of 50ha                                 | At least 100ha  | Assumes that the government will be willing to acquire the land for the demonstration farms<br><br>Assumes that the farm(s) will be sustainably managed following closure of the project |
| Component Four: Knowledge Management, Gender mainstreaming, and M&E<br><br>Outcome Four: Lessons learned by the project through participatory M&E, including gender mainstreaming, are used to fight poaching and IWT, and promote community based conservation | <b>Indicator 1.</b> Number of the project lessons used in development and implementation of other conservation projects             | 0   | 2   | 5   | Other stakeholders are interested in the lessons learned by this project   |



| Strategy                       | Indicators   | Baseline              | MTR target | EOP target  | Assumptions  |
|--------------------------------|--|-----------------------|------------|-------------|--|
| nationally and internationally |  |                       |            |             |  |
|                                | <b>Indicator 2.</b> Number of national and international organizations that participate in the project M&E and provide feedback to the Management Team | The members of the PB | At least 6 | At least 10 | <ul style="list-style-type: none"> <li>Other stakeholders are interested to participate in the project M&amp;E</li> </ul> Government of Ethiopia welcomes broad participation of organizations in M&E activities |

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## VII. MONITORING AND EVALUATION PLAN

176. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Supported by Component/Outcome Four: Knowledge Management and M&E, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.

177. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF policies<sup>44</sup>.

178. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.<sup>45</sup>

### 179. M&E Oversight and monitoring responsibilities:

180. Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

181. The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy, etc.) occur on a regular basis. In addition to the project management function, the Project Manager will also have a technical function in the project, including oversight of the technical M&E for the project.

182. Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

183. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

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<sup>44</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

<sup>45</sup> See [https://www.thegef.org/gef/gef\\_agencies](https://www.thegef.org/gef/gef_agencies)

184.UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

185.The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

186.The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

187.UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

188.**Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.<sup>46</sup>

**189.Additional GEF monitoring and reporting requirements:**

190.Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a. Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b. Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c. Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e. Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f. Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g. Plan and schedule Project Board meetings and finalize the first year annual work plan.

191.The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

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<sup>46</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

192. GEF Project Implementation Report (PIR): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

193. The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

194. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

195. GEF Focal Area Tracking Tools: The following GEF Tracking Tool will be used to monitor global environmental benefit results: the Global Wildlife Program Tracking Tool (which includes the METT). The baseline/CEO Endorsement GEF Focal Area Tracking Tool(s) – submitted as Annex D to this project document – will be updated by the Project Manager (not the evaluation consultants hired to undertake the MTR or the TE) and shared with the mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated GEF Tracking Tool(s) will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

196. Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the third PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

197. Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

198. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

199. **Final Report:** The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**Table 7.** Mandatory GEF M&E Requirements and M&E Budget

| GEF M&E requirements  | Primary responsibility                                    | Indicative costs to be charged to the Project Budget <sup>47</sup> (US\$) |                                       | Time frame  |
|---|---|---|---------------------------------------|---|
|   |   | GEF grant   | Co-financing                          |   |
| <b>Inception Workshop</b>   | UNDP Country Office                                       | USD 11,000  | None                                  | Within six months of project document signature   |
| <b>Inception Report</b>   | Project Manager   | None  | None                                  | Within two weeks of inception workshop  |
| <b>Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP</b>             | UNDP Country Office                                       | None  | None                                  | Quarterly, annually   |
| <b>Monitoring of indicators in project results framework</b>  | Project Manager   | USD 124,000 <sup>48</sup>   | USD 4,000                             | Annually  |
| <b>GEF Project Implementation Report (PIR)</b>  | Project Manager and UNDP Country Office and UNDP-GEF team | None  | None                                  | Annually  |
| <b>NIM Audit as per UNDP audit policies</b>   | UNDP Country Office                                       | None  | USD 4,000 per year (total USD 24,000) | Annually or other frequency as per UNDP Audit policies  |
| <b>Lessons learned and knowledge generation</b>   | Project Manager   | Total USD 15,000  | None                                  | Annually  |
| <b>Monitoring of environmental and social risks, and corresponding management plans as relevant</b> | Project Manager<br>UNDP CO                                | None  | 4,000                                 | On-going  |
| <b>Addressing environmental and social grievances</b>   | Project Manager<br>UNDP Country Office<br>BPPS as needed  | None for time of project manager, and UNDP CO                             | None                                  | <i>Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.</i> |
| <b>Project Board meetings</b>   | Project Board<br>UNDP Country Office                      | USD 4,000/year (total USD   | 2,000                                 | At minimum annually   |

<sup>47</sup> Excluding project team staff time and UNDP staff time and travel expenses.

<sup>48</sup> This figure includes the cost of annual monitoring of indicators (at an estimated annual cost of USD 4,000/year) plus the costs of aerial and ground surveys (@USD 50,000 each) at the beginning and EOP to establish baseline and EOP levels for the indicators (particularly elephant and big cat population sizes and level of poaching).

| GEF M&E requirements  | Primary responsibility                                    | Indicative costs to be charged to the Project Budget <sup>47</sup> (US\$) |              | Time frame                                       |
|---|---|---|--------------|--|
|   |   | GEF grant   | Co-financing |  |
|   | Project Manager   | 24,000)   |              |  |
| Supervision missions  | UNDP Country Office                                       | None <sup>49</sup>  | 2,000        | Annually   |
| Oversight missions  | UNDP-GEF team   | None  | 2,000        | Troubleshooting as needed                        |
| Knowledge management as outlined in Outcome 4   | Project Manager   | 72,944.94   | 5,000        | On-going   |
| GEF Secretariat learning missions/site visits   | UNDP Country Office and Project Manager and UNDP-GEF team | None  | 2,000        | To be determined.                                |
| Mid-term GEF Tracking Tool  | Project Manager   | USD 10,000  | 3,000        | Before mid-term review mission takes place.      |
| Independent Mid-term Review (MTR) and management response   | UNDP Country Office and Project team and UNDP-GEF team    | USD 30,000  | 3,000        | Between 2 <sup>nd</sup> and 3 <sup>rd</sup> PIR. |
| Terminal GEF Tracking Tool  | Project Manager   | USD 10,000  | 10,000       | Before terminal evaluation mission takes place   |
| Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response        | UNDP Country Office and Project team and UNDP-GEF team    | USD 40,000  | 4,000        | At least three months before operational closure |
| <b>TOTAL indicative COST</b><br>Excluding project team staff time, and UNDP staff and travel expenses |   | 336,944.94<br>(4.9% of GEF grant)   | 71,000       |  |

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

200. Roles and responsibilities of the project's governance mechanism:

201. The project will be implemented over a period of six years (thus, a total of 72 months). The additional eight months will allow UNDP and the project partners to start up the project in an effective way. This will enable the Responsible Party to be contracted (see below for details) and for project staff (for the Responsible Party) to be recruited. It will then also allow the project partners to collect baseline data for those indicators for which no baseline data were available during the PPG.

202. The project will be implemented following UNDP's national implementation modality (NIM), according to the Standard Basic Assistance Agreement between UNDP and the Government of Ethiopia, and the Country Programme.

203. The **Implementing Partner** for this project is the Ministry of Environment, Forestry and Climate Change (MOEFCC), using UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Ethiopia, and the Country Programme, and with UNDP's support to the project (CO). The Implementing Partner is accountable and responsible for oversight of the project implementation. The Implementing Partner will also appoint a National Project Director. This will be a high-ranking official and this person will be responsible to ensure cooperation, collaboration and efficient

<sup>49</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

implementation of the project. The Implementing Partner will also assign a National Project Coordinator (NPC) to the Project Management Unit (PMU, see below).

204. Under the overall leadership of the MOEFCC, the EWCA will oversee the implementation of Components One and Two (the components on protected areas and anti-trafficking, respectively), the Ethiopian Biodiversity Institute (EBI) is implicated in the implementation of Component Three. The EBI will, therefore, oversee the implementation of Component Three and it will be represented in the Project Board (PB, see below).

205. The day-to-day implementation of the project will be supported by Responsible Party(ies), the selection of which will be done based on a competitive selection process as follows (as per UNDP POPP):

- The awarding of the contract will be based on a Quality-Based Fixed Budget Selection (QB-FBS). This means that the budget will be disclosed at the time of the Call for Proposal, and the bidders will submit proposals based on that fixed budget.

206. The selection of the RP(s) shall be formalized through the signing of a Responsible Party Agreement(s) (RPA) – as requested by the Government (see letter of request). In order to participate in the competitive selection process, RPs must be legally constituted and fully registered. The Vendor Sanctions policy of UNDP also applies to potential bidders and their members, regardless of the process undertaken to engage them as RPs.

207. When selecting the RP(s), the UNDP-CO will conduct a mandatory HACT (capacity) assessment(s).

208. Because the selection is being conducted for a specific TOR without existence of a roster:

- a. The first step will be the development of the engagement TOR.
- b. Sending RFI & CACHE can be combined in a single step
- c. Steps to conduct the capacity assessment and the risk assessment will remain significantly the same although at this stage it will be conducted from the TOR perspective

209. The procurement process will also use the following guidelines:

- a. The RP will be selected immediately after the PRODOC has been signed (thus, once the project has officially started and an additional eight months have been added to the project's life to accommodate this recruitment process)
- b. A tendering process that adheres to UNDP procurement rules and regulations will be prepared and bids will be solicited from potential organisations.
- c. The organisations could include government, private sector or non-governmental organisations (NGOs).
- d. The bids will be evaluated on the basis of a number of criteria, including (but not limited to): the proposed composition of the team that will comprise the Project Management Unit (PMU), the relevance of the organisation's experience to working in the sector and on similar projects, the relevance of the organisation's experience to working in the context of Ethiopia, a micro-capacity assessment of the bidding organisations.
- e. The *process* of selecting the RP will be audited by an independent audit company. The purpose of the audit will be to ensure that the process is free and fair, and without any undue interference

210. The Responsible Party Agreement (RPA) will be on the following basis:

- a. The agreement with the RP will be a delivery-based contract and, as such (with the exception of an agreed cashflow), payments will be made to the RP on the basis of agreed milestones, outputs and deliveries
- b. The payments for the RP will be provided by UNDP Direct Project Services under the request of the Government.

211. The selection of the RP on this basis is based on previous experiences in Ethiopia (e.g., the UNDP-GEF project “Sustainable Development of the Protected Area System of Ethiopia”) and the fact that the Government of Ethiopia is familiar with such a modality as it is used by a number of donors working in the country.

212. Therefore, while the Implementing Partner will be responsible and accountable for the project – including monitoring and evaluation of project interventions, and achieving project outcomes, this will be done with the support of the Responsible Party (see draft TORs for the Responsible Party in Annex E). As such, the Responsible Party will appoint a **Project Manager** to run the project on a day-to-day basis on behalf of the IP/Responsible Party within the constraints laid down by the PB. The Project Manager will have both project management and technical functions (see Annex E for TOR). It is expected that the Project Manager will be supported by a **Procurement & Financial Officer** (PFO), and together they will form the Project Management Unit (PMU). The suggested TORs for both the Project Manager and the PFO are included in Annex E.

213. In addition, it is expected that one (or more) **Technical Adviser(s)**<sup>50</sup> will be recruited on a part-time basis by the PMU to cover the technical aspects of the three different components (see Annex E for draft TOR for TA(s)).

214. The Responsible Party will prepare annual workplans and budgets in consultation with IP for approval by the Project Board. In addition, the IP will be responsible for the preparation of all project reports with support of the RP including the project’s Inception Report and the Project Implementation Reports (PIR) (see Section VII). The Responsible Party will be responsible for contracting consultants, partner organisations and/or contractual service companies that will be engaged to carry out the different aspects of the specific output of project, as necessary and as required.

215. In addition, the IP, with the support of the RP, may sub-contract other partners to implement different components or sub-components of the project. For example, a sub-contractor could be hired to implement the project in the different selected sites for Component One; a sub-contractor could be hired to implement the whole of Component Two; while a sub-contractor could be hired to implement the micro-credit schemes or the NRM processes under Component Three. How this is managed will be at the discretion of the Implementing Partner under the guidance and oversight of the UNDP and the PB.

216. Through the Implementing Partner and Responsible Party, the UNDP will provide Direct Project Services (DPS), according to UNDP policies on GEF funded projects as and when necessary. DPS costs are those incurred by UNDP for the provision of services that are execution driven and can be traced in full to the delivery of project inputs. Direct Project Services are over and above the project cycle management services. They relate to operational and administrative support activities carried out by UNDP. DPS include the provision of the following estimated services: i) Payments, disbursements and other financial transactions; ii) Recruitment of staff, project personnel, and consultants; iii) Procurement of services and equipment, including disposal; iv) Organization of training activities, conferences, and workshops, including fellowships; v) Travel authorization, visa requests, ticketing, and travel arrangements; vi) Shipment, custom clearance, vehicle registration, and accreditation. As is determined by the GEF Council requirements, these service costs are assigned as Project Management Cost, identified in the project budget as Direct Project Costs. They should be calculated on the basis of estimated actual or transaction based costs and should be charged to the direct project costs account codes.

217. The PMU will **not** be housed within either EWCA or EBI but it will, instead, be housed in rented office space in a mutually convenient but neutral location for the EWCA, EBI and UNDP-CO.

218. The functions of the Responsible Party will end when the final project terminal evaluation report and corresponding management response, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project).

219. The **Project Board** is responsible for making, by consensus, management decisions when guidance is required by the IP (with the Project Manager and RPs), including recommendation for UNDP approval of project plans and revisions. In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the

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<sup>50</sup> If only one, s/he will be the Chief Technical Advisor (CTA) on a long-term consultancy basis.



Board, final decision shall rest with the UNDP Programme Manager. The terms of reference for the Project Board are contained in Annex E. The Project Board is comprised of the following institutions<sup>51</sup>: MoEFCC (with the Minister of State as the Chairman of the PB), EWCA and the protected areas, EBI, UNDP, NISS, Federal Serious Crime Unit, Customs Authorities, a representative from the judiciary, representatives from the Regional governments (SNNPR), a representative from the donor community (KfW), BFF, GIZ, and African Parks<sup>52</sup>. The Project Board will meet after the Inception Workshop and at least once each year thereafter. Attendance of the PB meetings will be monitored and attendance rates of the delegated people is expected to be no less than 80%.

220. The **project assurance** roll will be provided by the UNDP Country Office and additional quality assurance will be provided by the UNDP Regional Technical Advisor. Given that the project falls under the Global Wildlife Program, it is expected that additional support and quality assurance will be provided, as required, by the GWP teams within the UNDP and the World Bank Group.

221. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>53</sup> and the GEF policy on public involvement<sup>54</sup>.

## IX. FINANCIAL PLANNING AND MANAGEMENT

222. The total cost of the project is USD 90,705,976. This is financed through a GEF grant of USD 7,294,495 and a further USD 200,000 in cash (co-financing from UNDP). Both of these grants are to be administered by UNDP. The project will also include a total of USD 83,211,481 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

223. Parallel co-financing: The actual expenditure of project co-financing will be monitored throughout the project's implementation by the project team<sup>55</sup>. The co-finance expenditure will be verified during the mid-term review and terminal evaluation process and will be reported to the GEF.

**Table 8. The planned parallel co-financing and how it will be used**

| Co-financing source         | Co-financing type | Co-financing amount, USD | Planned Activities/Outputs   | Risks   | Risk Mitigation Measures                              |
|-----------------------------|-------------------|--------------------------|--|---|---|
| Recipient Government – EWCA | Parallel cash     | 30,868,725               | Significant inputs into Outcomes One and Two: <ul style="list-style-type: none"> <li>Salaries and operations of staff in selected pilot PAs</li> <li>Salaries of staff at EWCA HQ with involvement in oversight of PAs, and countering IWT</li> <li>Time of high level staff in</li> </ul> | Current crises in Ethiopia may lead to delays in necessary increase in funding of | Support key functions for project from project budget |

<sup>51</sup> There was concern that there are no local administration or woreda representatives on the PB; however, the project has included a number of different structures and opportunities for involvement of these people in project management and activities (e.g., Outputs 2.3 and various places in Outcome 3).

<sup>52</sup> If, that is, African Parks are active in the country: it was unclear during the PPG phase what their status will be in the coming years.

<sup>53</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>54</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

<sup>55</sup> This will use the best practice for monitoring co-finance expenditure – see the methodology for monitoring co-finance expenditure in the UNDP-GEF project “Mainstreaming biodiversity in Uzbekistan’s oil-and-gas sector policies and operations”.

|                            |               |            |  |   |    |
|----------------------------|---------------|------------|--|---|----|
|                            |               |            | <p>project oversight, approval processes for outputs</p> <ul style="list-style-type: none"> <li>• Involvement in project and other associated structures (e.g., IWT SC)</li> </ul>   | PAs   |    |
| Recipient Government - EBI | Parallel cash | 3,161,356  | <p>Significant input into Outcome Three, especially the aspect that relate to agro-biodiversity conservation:</p> <ul style="list-style-type: none"> <li>• Salaries of staff in selected pilot areas</li> <li>• Salaries of staff in developing demonstration farms</li> <li>• Time of high level staff in PB</li> </ul> |   |    |
| CSO: BFF                   | Parallel cash | 1,500,000  | Significant involvement in Outcome Two and also involvement in Outcome One, specifically: involvement in IWT (through the Border Point Project)  | Little risk – fully committed for project period and beyond | -- |
| CSO: FZS                   | Parallel cash | 1,800,000  | Involvement in Outcome One specifically though their   | Little risk – fully committed for project period and beyond |    |
| CSO: AWF                   | Parallel cash | 5,000,000  | Involvement in Outcome Two, specifically: continuation of the canine detection project (at Bole International Airport) and training of the law enforcement agencies (including the police and judiciary)   | Little risk – fully committed for project period and beyond |    |
| CSO: WCS                   | Parallel cash | 1,000,000  | Significant involvement in Outcomes One and Two, specifically: engagement in Omo and Mago National Parks and potential engagement in Gabella National Park (dependent on African Parks engagement there) and involvement in IWT  | Little risk – fully committed for project period and beyond |    |
| Private sector: GIZ        | Parallel cash | 12,234,400 | Significant involvement in Outcome One (PA management) although specifically in protected areas other than those selected for the proposed project. Leading the institutional analysis and restructuring of EWCA: building EWCA.   | Little risk – fully committed for project period and beyond |    |
| EU/IFAD/HoAREC             | Parallel cash | 6,380,000  | Significant involvement in Outcome One (PA management) although specifically in protected areas other than those selected for the proposed project.  | Little risk – fully committed for project period            |    |

|                   |               |            |   |                           |  |
|-------------------|---------------|------------|---|---------------------------|--|
| Donor agency: KfW | Parallel cash | 21,267,000 | Significant involvement in Outcome One, specifically in protected area management and larger capital investments in protected area infrastructure         | No risk – fully committed |  |
| GEF Agency – UNDP | Cash          | 200,000    | The UNDP's cash is being used to bolster the project management budget and specifically to contribute to covering the costs of the PM and PFO's salaries. | No risk – fully committed |  |

224. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF:

- a. Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more;
- b. Introduction of new budget items/or components that exceed 5% of original GEF allocation.

225. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

226. Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

227. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

228. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

229. Financial completion: The project will be financially closed when the following conditions have been met:

- a. The project is operationally completed or has been cancelled;
- b. The Implementing Partner has reported all financial transactions to UNDP;
- c. UNDP has closed the accounts for the project;
- d. UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

230. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

## X. TOTAL BUDGET & WORKPLAN

|  |   |   |          |
|--|---|---|----------|
| <b>Atlas Proposal of Award ID:</b>         | 00100238  | <b>Atlas Primary Output Project ID:</b> | 00103276 |
| <b>Atlas Proposal or Award Title:</b>      | Enhanced Management and Enforcement of Ethiopia's Protected Area Estate |   |          |
| <b>Atlas Business Unit:</b>                | ET10  |   |          |
| <b>Atlas Primary Output Project Title:</b> | Enhanced Management and Enforcement of Ethiopia's Protected Area Estate |   |          |
| <b>UNDP-GEF PIMS no.:</b>                  | 5609  |   |          |
| <b>Implementing Partner:</b>               | Ministry of Environment, Forest and Climate Change (MOEFCC)             |   |          |

| GEF Outcome/Atlas Activity   | Atlas IA | Fund ID | Donor Name | Atlas Budgetary Account Code | ATLAS Budget Description               | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Amount Year 5 (USD) | Amount Year 6 (USD) | Total (USD)      | See Note: |
|--|----------|---------|------------|------------------------------|--|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|------------------|-----------|
| <b>Component One:</b><br>Protected area management and biodiversity conservation<br>Outcome 1: Improved protected area management effectiveness delivers enhanced protection in the targeted protected areas                   | MOEFCC   | 62000   | GEF TF     | 71200                        | International Consultants              | 50,000              | 45,000              | 45,000              | 35,000              | 25,000              | 15,000              | 215,000          | 1         |
|  |          |         |            | 71300                        | National consultants                   | 25,000              | 40,000              | 40,000              | 20,000              | 20,000              | 15,000              | 160,000          | 2         |
|  |          |         |            | 71400                        | Contractual Services - individuals     | 14,000              | 14,000              | 14,000              | 14,000              | 14,000              | 14,000              | 84,000           | 3         |
|  |          |         |            | 71600                        | Travel                                 | 15,000              | 17,000              | 17,000              | 17,000              | 15,000              | 15,000              | 96,000           | 4         |
|  |          |         |            | 72100                        | Contractual services - companies       | 40,000              | 395,000             | 395,000             | 244,000             | -                   | -                   | 1,074,000        | 5         |
|  |          |         |            | 72200                        | Equipment and Furniture                | -                   | 245,000             | 245,000             | 38,000              | 33,000              | -                   | 561,000          | 6         |
|  |          |         |            | 72400                        | Communication & Audio Visual Equipment | -                   | 30,000              | 35,000              | -                   | -                   | -                   | 65,000           | 7         |
|  |          |         |            | 72800                        | Information Technology Equipment       |                     | 35,000              | 3,000               |                     |                     |                     | 38,000           | 8         |
|  |          |         |            | 75700                        | Training, Workshops and Conferences    | 30,000              | 95,000              | 95,000              | 45,000              | 45,000              | 18,000              | 328,000          | 9         |
|  |          |         |            |                              | <b>Total GEF Outcome 1</b>             | <b>174,000</b>      | <b>916,000</b>      | <b>889,000</b>      | <b>413,000</b>      | <b>152,000</b>      | <b>77,000</b>       | <b>2,621,000</b> |           |
| <b>Component Two:</b><br>Implementation of anti-trafficking measures<br>Outcome 2: Strengthened national and local capacity for conservation of endangered fauna and flora through implementation of anti-trafficking measures | MOEFCC   | 62000   | GEF TF     | 71200                        | International consultants              | 30,000              | 30,000              | 30,000              | 30,000              | 20,000              | 15,000              | 155,000          | 10        |
|  |          |         |            | 71300                        | National consultants                   | 15,000              | 40,000              | 40,000              | 40,000              | -                   | -                   | 135,000          | 11        |
|  |          |         |            | 71400                        | Contractual Services - individuals     | 14,000              | 14,000              | 14,000              | 14,000              | 14,000              | 14,000              | 84,000           | 12        |
|  |          |         |            | 72100                        | Contractual Services - companies       | -                   | 120,000             | 120,000             | 100,000             | 70,000              | 60,000              | 470,000          | 13        |
|  |          |         |            | 75700                        | Travel                                 | 5,000               | 25,000              | 25,000              | 25,000              | 25,000              | 25,000              | 130,000          | 14        |
|  |          |         |            | 74200                        | Audio Visual & Print Prod Costs        | -                   | -                   | -                   | 30,000              | -                   | 7,000               | 37,000           | 15        |
|  |          |         |            | 72200                        | Equipment and Furniture                | -                   | 95,000              | 155,000             | 33,000              | 30,000              | -                   | 313,000          | 16        |
|  |          |         |            | 75700                        | Training, Workshops and Conferences    | 25,000              | 80,000              | 90,000              | 90,000              | 60,000              | 40,000              | 385,000          | 17        |
|  |          |         |            |                              | <b>Total Outcome 2</b>                 | <b>89,000</b>       | <b>404,000</b>      | <b>474,000</b>      | <b>362,000</b>      | <b>219,000</b>      | <b>161,000</b>      | <b>1,709,000</b> |           |
| <b>Component Three:</b><br>Landscape approach to   | MOEFCC   | 62000   | GEF TF     | 71300                        | National consultants                   | 38,000              | 38,000              | 38,000              | 38,000              | 20,000              | 20,000              | 192,000          | 18        |
|  |          |         |            | 71400                        | Contractual Services                   | 80,000              | 80,000              | 80,000              | 80,000              | 80,000              | 80,000              | 480,000          | 19        |

| GEF Outcome/Atlas Activity  | Atlas IA | Fund ID | Donor Name | Atlas Budgetary Account Code | ATLAS Budget Description            | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Amount Year 5 (USD) | Amount Year 6 (USD) | Total (USD)      | See Note: |
|---|----------|---------|------------|------------------------------|-------------------------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|------------------|-----------|
| forest landscape and agro-biodiversity conservation<br>Outcome 3: Improved conservation of forestry and agro-biodiversity resources through a landscape approach based on community-based natural resource management   |          |         |            | 71600                        | Travel                              | 20,000              | 20,000              | 20,000              | 20,000              | 20,000              | 20,000              | 120,000          | 20        |
|   |          |         |            | 72100                        | Contractual services - companies    | 30,000              | 175,000             | 175,000             | 94,000              | 49,000              | 35,000              | 558,000          | 21        |
|   |          |         |            | 72200                        | Equipment and Furniture             | -                   | 45,000              | 65,000              | 20,000              | 20,000              | 20,000              | 170,000          | 22        |
|   |          |         |            | 72600                        | Grants                              | -                   | -                   | 150,000             | 150,000             | 150,000             | 150,000             | 600,000          | 23        |
|   |          |         |            | 75700                        | Training, Workshops and Conferences | 7,000               | 20,000              | 35,000              | 35,000              | 35,000              | 20,000              | 152,000          | 24        |
|   |          |         |            |                              | <b>Total Outcome 3</b>              | <b>175,000</b>      | <b>378,000</b>      | <b>563,000</b>      | <b>437,000</b>      | <b>374,000</b>      | <b>345,000</b>      | <b>2,272,000</b> |           |
| Component Four: Knowledge Management, Gender Mainstreaming, and M&E<br>Outcome 4: Lessons learned by the project through participatory M&E, including gender mainstreaming, are used to fight poaching and IWT, and promote community based conservation nationally and internationally | MOEFCC   | 62000   | GEF TF     | 71200                        | International consultants           |                     |                     | 35,000              |                     |                     | 35,000              | 70,000           | 25        |
|   |          |         |            | 71300                        | National consultants                |                     |                     | 25,000              |                     |                     | 25,000              | 50,000           |           |
|   |          |         |            | 72100                        | Contractual services - companies    | 58,000              |                     |                     |                     | 42,000              |                     | 100,000          |           |
|   |          |         |            | 74200                        | Audio Visual & Print Prod Costs     |                     | 11,000              |                     | 11,000              |                     | 11,000              | 33,000           |           |
|   |          |         |            | 75700                        | Training, Workshops and Conferences | 27,082              | 16,082              | 16,083              | 16,083              | 16,083              | 16,082              | 107,495          | 26        |
|   |          |         |            |                              | <b>Total Outcome 4</b>              | <b>85,082</b>       | <b>27,082</b>       | <b>76,083</b>       | <b>27,083</b>       | <b>58,083</b>       | <b>87,082</b>       | <b>360,495</b>   |           |
| Project management unit   | MOEFCC   | 62000   | GEF TF     | 71400                        | Contractual Services - individuals  | 24,000              | 24,000              | 24,000              | 24,000              | 24,000              | 24,000              | 144,000          | 27        |
|   |          |         |            | 71600                        | Travel                              | 8,056               | 15,000              | 8,000               | 8,000               | 8,000               | 8,700               | 55,756           | 28        |
|   |          |         |            | 72200                        | Equipment and Furniture             | 55,000              | 6,479               | 6,000               | 3,000               | 3,000               | 2,000               | 75,479           | 29        |
|   |          |         |            | 72500                        | Supplies                            | 5,000               | 5,000               | 5,000               | 5,000               | 5,000               | 5,000               | 30,000           | 30        |
|   |          |         |            | 74500                        | Miscellaneous Expenses              | 2,500               | 2,500               | 2,500               | 2,500               | 2,500               | 2,500               | 15,000           | 31        |
|   |          |         |            | 74598                        | Direct Project Costs                | 3,889               | 1,660               | 1,168               | 2,712               | 1,168               | 1,168               | 11,765           | 32        |
|   |          |         |            |                              | <b>Sub-total PMU (GEFTF)</b>        | <b>98,421</b>       | <b>55,590</b>       | <b>47,753</b>       | <b>44,850</b>       | <b>42,369</b>       | <b>43,017</b>       | <b>332,000</b>   |           |
|   |          | 04000   | UNDP       | 71400                        | Contractual Services - individuals  | 27,500              | 27,500              | 27,500              | 28,000              | 28,000              | 27,500              | 166,000          | 33        |
|   |          |         |            | 74100                        | Professional Services               | 4,000               | 4,000               | 4,000               | 4,000               | 4,000               | 4,000               | 24,000           | 34        |
|   |          |         |            | 75700                        | Training, Workshops and Conferences | 2,000               | 2,000               | 2,000               | 2,000               | 2,000               | -                   | 10,000           | 35        |
|   |          |         |            |                              | <b>Sub-total PMU - Donor 2</b>      | <b>33,500</b>       | <b>33,500</b>       | <b>33,500</b>       | <b>34,000</b>       | <b>34,000</b>       | <b>31,500</b>       | <b>200,000</b>   |           |
|   |          |         |            |                              | <b>Total PMU</b>                    | <b>134,421</b>      | <b>88,790</b>       | <b>80,953</b>       | <b>78,050</b>       | <b>75,569</b>       | <b>74,217</b>       | <b>532,000</b>   |           |
|   |          |         |            |                              | <b>SUB-TOTAL GEF</b>                | <b>621,527</b>      | <b>1,779,721</b>    | <b>2,048,751</b>    | <b>1,284,295</b>    | <b>846,751</b>      | <b>713,450</b>      | <b>7,294,495</b> |           |
|   |          |         |            |                              | <b>UNDP Co-financing</b>            | <b>33,500</b>       | <b>33,500</b>       | <b>33,500</b>       | <b>34,000</b>       | <b>34,000</b>       | <b>31,500</b>       | <b>200,000</b>   |           |

| GEF Outcome/Atlas Activity | Atlas IA | Fund ID | Donor Name | Atlas Budgetary Account Code | ATLAS Budget Description | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Amount Year 5 (USD) | Amount Year 6 (USD) | Total (USD) | See Note: |
|----------------------------|----------|---------|------------|------------------------------|--------------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|-------------|-----------|
| PROJECT TOTAL              |          |         |            |                              |                          | 655,027             | 1,813,221           | 2,082,251           | 1,318,295           | 880,751             | 744,950             | 7,494,495   |           |

#### Budget Notes (see also Table 9).

| Component 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
|-------------|--|--|--|--|--|--|--|--|--|--|--|--|--|
| 1           | <p>The budget line will cover the costs of two international technical advisers (although it could possibly be the same person), one to guide the overall process for PA management development (Output 1.1 and 1.2), and one to advise on the site-level law enforcement processes, including the optimal tools for law enforcement and mentoring teams (Output 1.3); the TOR will include advising aerial and ground surveys (to establish the baseline and EOP statuses of wildlife populations – including the elephants, big cats and proportion of illegally killed elephants – in the five selected pilot PAs).</p> <p>The budget also will cover the cost of tendering process for the selection of responsible party - International consultant to assist with developing and finalising documentation to tender for a Responsible Party. (It should be noted that a <b>total of USD 57,000</b> has been allocated for the procurement of the RP; this is bifurcated over a number of budgetlines as, overall, it includes an international consultant to assist with the process of finalizing Terms of Reference and the procurement documents, as well as negotiating the delivery-based contract with the RP, a national consultant – included in Budget Note 11 - to assist with the process of carrying out all due diligence on the bidding organizations, a budget for travel and advertising the process, time for screening the bids that are submitted – see Budget Note 20, and sufficient budget to include an independent audit company to audit the process to ensure that it is free and fair – see Budget Note 33.)</p> <p>It should also be noted that the total cost of national and international consultants is 13% of the total cost of the project (GEF + UNDP funds). <b>Total: USD 215,000</b></p>   |  |  |  |  |  |  |  |  |  |  |  |  |
| 2           | <p>The budget line will cover the cost of various expert contracts to support the development of PA management plans (Output 1.1), information systems (including management of the systems – the databases for PA management and for the digital information that will be produced as a result of patrols, arrests, distributions of wildlife encountered during patrols, offenders' database – including photographs and fingerprints – see Output 1.3). <b>Total: USD 160,000</b></p>   |  |  |  |  |  |  |  |  |  |  |  |  |
| 3           | <p>The budget line will cover the cost of 20% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) &amp; Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and FO's salaries will be drawn from the other components and PMU budget (see below). <b>Total: USD 84,000</b></p>   |  |  |  |  |  |  |  |  |  |  |  |  |
| 4           | <p>The budget line will cover the cost of fuel and travel for meetings: PA management plan formulations (working group meetings, workshops); multi-partner coordination groups (PA mgt staff, judiciary); fuel and travel for surveys in Component Four. <b>Total: USD 96,000</b></p>  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5           | <p>The budget line will cover the cost of services for the <b>implementation of the PA management plans (Output 1.1)</b>: it is expected that there will be a need for construction/rehabilitation priority infrastructure for PAs (according to detailed needs assessments); similarly, this will include contracts for construction of <b>law enforcement related infrastructure (Output 1.3)</b>. The aim of the PPG was not to pre-empt the needs assessment but to assign sufficient budget to cover the costs of the expected construction/rehabilitation: <u>REHABILITATION OF HQ BUILDINGS</u>: Senior Staff House, Dining/ social center, Barracks - 8 room, Ablutions, Generator shed, Lock-up for poachers, Guard house at gate, Guard house at airstrip, Kitchen+Food store, Office, Workshop, Containers, Water tanks, Boreholes, Solar Power, Septic Tank, Airstrip. <u>OUTPOSTS</u>: Barracks - 4 room, Dining 4m x4m open, Ablutions open, open Kitchen, Office, Containers, Water tank, Borehole, Solar Power, Septic Tank, Additional Remote Area Establishment. <u>GATE POSTS</u>: Barracks - 4 room, Dining 4m x4m open, Ablutions open, open Kitchen, Containers, Water tank, Borehole, Solar Power, Septic Tank, Containers, Additional Remote Area Establishment.</p> <p>In addition to the allocated costs for construction/rehabilitation, further budget has been allocated to the printing and dissemination/distribution costs (SOP manual)</p> <p>This budget line will also cover the costs of services for: i) the development of five PA management plans for the targeted PAs (Output 1.1 including needs assessments @ an estimated USD 100,000/PA management plan); ii) the development of PA SOP manual (Output 1.2 @ an estimated USD 80,000); iii) the analysis of the LE needs (human and financial resources, and equipment @ an estimated cost of 70,000). These are key outputs for the project. <b>Total: USD 1,074,000</b></p> |  |  |  |  |  |  |  |  |  |  |  |  |
| 6           | <p>The budget line will cover the cost of equipment and furniture necessary for the <b>implementation of the PA management plans (Output 1.1)</b>: it is expected that there will be a need for equipment (primarily) and furniture (secondarily) for PAs (according to detailed needs assessments); similarly, equipment of <b>law enforcement activities (Output 1.3)</b>. The aim of the PPG</p>  |  |  |  |  |  |  |  |  |  |  |  |  |

|                    |   |
|--------------------|---|
|                    | was not to pre-empt the needs assessment but to assign sufficient budget to cover the costs of the expected equipment and furniture: 5 vehicles in year 2 (for patrolling); 5 vehicles in year 3 (for law enforcement and anti-poaching) @ 50,000 USD each; computers for PA offices (on which data from CAT smart phones can be downloaded and on which preliminary analysis can take place), electrical systems (solar equipment, inverters, lighting – both for HQ and outposts), basic office furniture; equipment for ranger posts; bed rolls, mosquito nets; boots and uniforms; binoculars; CAT smart phones (for use with cyber-tracker for building cases). <b>Total: USD 561,000</b>  |
| 7                  | The budget line will cover the cost of communication equipment for the <b>implementation of the PA management plans (Output 1.1)</b> and for <b>law enforcement activities (Output 1.3)</b> : communication equipment for PAs - main offices, coordination group members and ranger outposts & patrols; VHF radios and repeaters, GPS based tracking materials. <b>Total: USD 65,000</b>  |
| 8                  | This budget line will cover the costs of procuring IT equipment necessary for the <b>implementation of the PA management plans (Output 1.1)</b> and for <b>law enforcement activities (Output 1.3)</b> . The aim of the PPG was not to pre-empt the needs assessment but to assign sufficient budget to cover the costs of computers for PA offices (on which data from CAT smart phones can be downloaded and on which preliminary analysis can take place), and CAT smart phones (for use with Cyber-tracker for building cases). <b>Total: USD 38,000</b>  |
| 9                  | Training, workshops & conferences: this budget lines will cover the costs of training of PA staff including LE staff (Outputs 1.1 and 1.3) & mentoring the staff over the life of the project – including law enforcement (Output 1.3) and use of SOP manual (Output 1.2); training judiciary and other law enforcement agencies (Output 1.3); developing MOU among LE agencies (Output 1.3); adaption of law enforcement software and Cybertracker for Ethiopian context (Output 1.3); building automated system for uploading data from smart phones (Output 1.3); building a database for wildlife crimes cases, including offenders' database (Output 1.3)/ <b>Total: USD 328,000</b>   |
| <b>Component 2</b> |   |
| 10                 | The budget line will cover the cost of the international technical advisor (TA) for guiding all IWT components – this could potentially be the same international TA mentioned in budget note 1 – if so, the number of days for the contracts would be added together – thus, this budget line would be coupled with that; this depends on the availability of someone to take on all these different aspects of the project. <b>Total: USD 155,000</b>   |
| 11                 | The budget line will cover the cost of various national expert contracts to support the development of information systems (crime database, database for confiscated, seized or collected wildlife products or live animals; including management of the data – Outputs 2.6, 2.7); analysis of CITES authorities (Output 2.8)<br><br>The budget also will cover the % cost of tendering process for the selection of responsible party - national consultant to assist international consultant to carry out due diligence on bidders. <b>Total: USD 135,000</b>  |
| 12                 | As above, the budget line will cover the cost of 10% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) & Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and FO's salaries will be drawn from the PMU budget (see below). <b>Total: USD 84,000</b>  |
| 13                 | The budget line will cover the cost of services for: i) study of the existing legislation and production of handbook of all relevant legislation for use in combatting wildlife crimes (and drafting amendments to legislation, as necessary)(Outputs 2.4 & 2.5); ii) development of TOR for IWT TF and SC (Outputs 2.2, 2.3); iii) development of strategy and action plan for ECU (Output 2.6); iv) carrying out awareness campaign (TV, radio, output 2.9), v) assessment of best practice for and designing a system for managing wildlife products and live animals that are confiscated, seized and/or collecting in the field, and construction of the facilities (both for the base in Addis Ababa and at selected locations in the country) (output 2.7). <b>Total: USD 470,000</b>  |
| 14                 | The budget line will cover the cost of fuel and travel for meetings (international, national and regional – IWT SC and regional TF, estimated at USD 25,000/year). <b>Total: USD 130,000</b>  |
| 15                 | The budget line will cover the cost of printing, dissemination and training on use of legislation handbook (output 2.4; estimated at USD 30,000 with a further USD 7,000 for re-prints towards the EOP). <b>Total: USD 37,000</b>   |
| 16                 | The budget line will cover the cost of materials for office space and field equipment for ECU (IT, furniture, software; field equipment, vehicles – output 2.6); materials for secure facilities for confiscated, seized and/or collected wildlife products (output 2.7); IT equipment for database on confiscated, seized and/or collected wildlife products (output 2.7). <b>Total: USD 313,000</b>   |
| 17                 | The budget line will cover the cost of study tour(s) for relevant people to Kenya, Tanzania and/or Mozambique to examine crime units (under output 2.6, estimated at USD 15,000)<br><br>The budget line will cover the cost of training law enforcement and legislation (PA level, local level police and judiciary, national police and judiciary; output 2.4); expert trainers in intelligence and investigations, IT security, risk analysis, covert and overt operations, analysis and case development, case preparation for prosecution, case monitoring (output 2.6); analysis of CITES authorities and training for CITES authorities (Output 2.8). An audit company will be contracted for auditing the management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field (Output 2.7). <b>Total: USD 385,000</b> |
| <b>Component 3</b> |   |

|                           |  |
|---------------------------|--|
| 18                        | The budget line will cover the cost of national TA to guide development of ILM (Output 3.1), NRM agreements with people living in the vicinity of protected areas (Output 3.2); various expert inputs in process to establishment of demonstration farms (Output 3.5). <b>Total: USD 192,000</b>   |
| 19                        | <p>As above, the budget line will cover the cost the 20% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) &amp; Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and FO's salaries will be drawn from the PMU budget (see below)</p> <p>The budget line will also cover the costs of services to map natural resources (including distribution of agro-biodiversity) and develop integrated landscape management plans (Output 3.1);</p> <p>The budget line will also cover the costs of three contracted studies: i) study to determine the economic viability for local communities to grow different varieties of crops, ii) study to examine value chains for selected crops and their products, and the viability for local communities in the vicinity of selected PAs growing those crops and products and iii) study to examine value chains for NTF products (e.g., spices) and the economic viability for local communities to harvest them on a sustainable basis; dissemination of the results to stakeholders (Output 3.3).</p> <p>The budget line will also cover the costs of services to determine location for establishment of two demonstration farms and mechanisms to establish the farms; contract to develop microcredit schemes including selection criteria and mechanisms for its operation (Output 3.5)</p> <p>The budget line will also cover the costs to negotiate, develop and implement NRM agreements with people living in the vicinity of protected areas – including building the capacity of the beneficiaries (Output 3.2)</p> <p>The budget line will also cover the costs to carry out socio-economic surveys among local communities (in line with the ILM plans) and to design and implement the microcredit scheme (including criteria for selecting recipients and mechanisms for its operation) (Output 3.4). <b>Total: USD 480,000</b></p> |
| 20                        | <p>The budget line will also cover the costs of travel – fuel, vehicle maintenance, etc and travel for meetings (all outputs)</p> <p>The budget line will also cover a percentage of the cost of tendering process for selection of Responsible Party - expenses to cover the costs of the process (meetings, travel, communications, materials). <b>Total: USD 120,000</b></p>  |
| 21                        | The budget line will also cover the costs of services for the <b>development of the demonstration farms (Output 3.5)</b> : it is expected that there will be a need for construction/rehabilitation of infrastructure associated with the farms. The aim of the PPG was not to pre-empt the needs assessment but to assign sufficient budget to cover the costs of the expected construction/rehabilitation: fencing; <b>MAIN BUILDINGS</b> : Senior Staff House, Dining/ social centre, Accommodation - 2 room, Ablutions, Guard house at gate, Kitchen+Food store, small workshop, Water tanks, Boreholes, Solar Power, Septic Tank. <b>VISITOR CENTRE</b> : Building - 2 room, Ablutions. <b>Total: USD 558,000</b>   |
| 22                        | The budget line will cover the cost of equipment & furniture - for the establishment of two demonstration farms including visitor facilities (Output 3.5). <b>Total: USD 170,000</b>   |
| 23                        | The budget line will cover the cost of microcredit grant facility for local communities (@ USD 150,000/yr for four years) (Output 3.4); The microcredit grants will be applied according to UNDP GEF microcredit grant policy. <b>Total: USD 600,000</b>   |
| 24                        | The budget line will cover the cost of training for staff to manage demonstration farms including provision of visitor services (Output 3.5); identification of species to include in the demonstration farms and mechanisms for propagation (Output 3.5); building capacity of local communities re. implementation of NRM agreements (Output 3.2). <b>Total: USD 152,000</b>   |
| <b>Component 4</b>        |  |
| 25                        | This budget lines will cover the cost of activities that are related to Output 4.1: implementation of M&E plan, including surveys to establish baselines and MTR and EOP levels (aerial and ground surveys of target areas); mid-term and terminal evaluation. See full M&E plan in Table 6. <b>Total: USD 253,000</b>   |
| 26                        | This budget line will cover the costs associated with the implementation of the M&E plan and knowledge management, including holding meetings (e.g., Inception workshop and PB meetings) and website development and hosting – Output 4.1 and 4.2. <b>Total: USD 107,495</b>   |
| <b>Project Management</b> |  |
| 27                        | The budget line will cover 20% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) & Procurement & Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and PFO's salaries will be drawn from the technical components. <b>Total: USD 144,000</b>   |
| 28                        | The budget line will cover the costs of PMU travel (including car maintenance and fuel supplies), related to project oversight and operationalization, including site inspections and participation in activities in the project sites. Also includes travel to inception workshop, mid-term review and final evaluation. <b>Total: USD 55,756</b>   |



|    |   |
|----|---|
| 29 | The budget line will cover the cost of office equipment, office equipment and furniture for the PMU office, up to 4 computers (at up to USD 1,000 per computer), printers, scanners etc. communication equipment (telephones, cell phones). One PMU vehicle for field visits; one small vehicle for errands in Addis Ababa (this final vehicle may be hired on a needs basis). <b>Total: USD 71,000</b> |
| 30 | The budget line will cover the cost of PMU office supplies, paper, cartridges and other consumables. <b>Total: USD 30,000</b>   |
| 31 | Miscellaneous Expenses: on demand. <b>Total: USD 15,000</b>   |
| 32 | The budget line will cover the cost of services provided by UNDP as per the LOA signed by the Government  |
| 33 | The budget line will cover 30% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) & Procurement & Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and PFO's salaries will be drawn from the technical components. <b>Total: USD 166,000</b>  |
| 34 | The budget line will cover the costs related to Annual Audit fee and other related services; Professional services to international, independent audit company to audit the process of selecting a Responsible Party. <b>Total: USD 24,000</b>  |
| 35 | The budget line will cover the cost of trainings and meeting related to UNDP producers to the project staff and IPs. <b>Total: USD 10,000</b>   |

#### Summary of Funds:

|              | Amount<br>Year 1 | Amount<br>Year 2 | Amount<br>Year 3 | Amount<br>Year 4 | Amount<br>Year 5 | Amount<br>Year 6 | Total            |
|--------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>GEF</b>   | <b>621,527</b>   | <b>1,779,721</b> | <b>2,048,751</b> | <b>1,284,295</b> | <b>846,751</b>   | <b>713,450</b>   | <b>7,294,495</b> |
| <b>UNDP</b>  | <b>33,500</b>    | <b>33,500</b>    | <b>33,500</b>    | <b>34,000</b>    | <b>34,000</b>    | <b>31,500</b>    | <b>200,000</b>   |
| <b>TOTAL</b> | <b>655,027</b>   | <b>1,813,221</b> | <b>2,082,251</b> | <b>1,318,295</b> | <b>880,751</b>   | <b>744,950</b>   | <b>7,494,495</b> |

**Table 9. The budget codes associated with the outputs and the activities there under.**

| Output   | Activity   | Budget code                             |
|--|--|---|
| Output 1.3 Site level law enforcement initiatives are supported  | LE tools   | Communication & audio visual equipment  |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | Recruitment  | PMU                                     |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | Needs assessments for PAs  | Contractor                              |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | Development of PA Mgt Plans (with participation and working groups)  | Contractor                              |
| Output 1.2. Tools and systems for PA management developed and initial operationalization supported                           | consultation for all sections of manual, completion of manual  | Contractor                              |
| Output 1.3 Site level law enforcement initiatives are supported  | Analysis of capacity and resource needs for optimal law enforcement; negotiate contracts to deliver best LE solutions; procurement of tools, materials and equipment | Contractor                              |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | Infrastructure   | Contractual services – companies        |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | Equipment, uniforms, vehicles  | Equipment & furniture                   |
| Output 1.3 Site level law enforcement initiatives are supported  | LE tools   | Equipment & furniture                   |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | Develop TOR for development of PA management plans   | PMU                                     |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | Submission of Mgt Plans for approval   | PMU                                     |
| Output 1.1. The formulation of PA management plans and initial implementation supported                                      | PA Mgt Plan implementation   | PMU                                     |
| Output 1.2. Tools and systems for PA management developed and initial operationalization supported                           | Develop TOR for developing PA SOP manual, recruitment,   | PMU                                     |
| Output 1.2. Tools and systems for PA management developed and initial operationalization supported                           | Monitoring of the use of the manual  | PMU                                     |
| Output 1.3 Site level law enforcement initiatives are supported  | Develop and negotiate MOUs among LE agencies at different levels   | PMU                                     |
| Output 1.3 Site level law enforcement initiatives are supported  | Facilitate meetings among LE agencies  | PMU                                     |
| Output 1.2. Tools and systems for PA management developed and initial operationalization supported                           | Training for PA staff on use and implementation of the manual  | Professional services                   |
| Output 1.3 Site level law enforcement initiatives are supported  | Training and mentoring of LE staff and agencies  | Professional services                   |
| Output 1.3 Site level law enforcement initiatives are supported  | Training LE staff  | professional services                   |
| Output 1.3 Site level law enforcement initiatives are supported  | Build LE IT solutions, including database  | Professional services                   |
| Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported | Design structure and mandate for ECU; determine resource, equipment needs; submit to government for approval to formally establish ECU, including signing MOU        | Communications & audio visual equipment |

| Output   | Activity  | Budget code                             |
|--|---|---|
|  | specifying roles and responsibilities   |   |
| Output 2.7 Support for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field | Construct storage facilities, put management system into place  | Communications & audio visual equipment |
| Output 2.4 Legislation guidance for law enforcement agencies is developed  | Study analysing applicable laws for prosecuting IWT & illegal killing of wildlife   | Contractor                              |
| Output 2.5 Support the development of proposals for improving legislation (as necessary)   | Drafting amendments to law, as necessary, and submission to government  | Contractor                              |
| Output 2.4 Legislation guidance for law enforcement agencies is developed  | Publication and dissemination of handbook   | Contractual services – companies        |
| Output 2.7 Support for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field | Assessment of best practice for managing wildlife products and live animals; develop proposal   | Contractual services                    |
| Output 2.2 Proposals to strengthen the (existing) National IWT Steering Committee are developed  | TOR and mandate for the IWT SC will be defined and submitted for approval and implementation.   | CTA                                     |
| Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported                                     | Design structure and mandate for ECU; determine resource, equipment needs; submit to government for approval to formally establish ECU, including signing MOU specifying roles and responsibilities | Equipment & furniture                   |
| Output 2.7 Support for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field | Construct storage facilities, put management system into place  | Equipment & furniture                   |
| Output 2.1 International cooperation on IWT control is supported   | Establish contacts among relevant international LE agencies   | Interpol, EWCA                          |
| Output 2.2 Proposals to strengthen the (existing) National IWT Steering Committee are developed  | Quarterly meetings of IWT SC  | PMU                                     |
| Output 2.3 Establishment of IWT Task Forces in pilot regions is supported  | Quarterly meetings of the pilot regional IWT RTFs   | PMU                                     |
| Output 2.5 Support the development of proposals for improving legislation (as necessary)   | Support process to pass legislation, as necessary   | PMU                                     |
| Output 2.8 Capacity development support to the national CITES management and scientific authorities  | Design capacity development process for CITES authorities; implement  | PMU                                     |
| Output 2.1 International cooperation on IWT control is supported   | Maintain contacts with frequent meetings  | PMU, IWT SC                             |
| Output 2.3 Establishment of IWT Task Forces in pilot regions is supported  | TOR and mandate for the IWT RTF (Regional Task Forces) will be defined and submitted for approval   | PMU/CTA                                 |
| Output 2.4 Legislation guidance for law enforcement agencies is developed  | Training of LE actors on use of handbook  | Professional services                   |
| Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported                                     | Design structure and mandate for ECU; determine resource, equipment needs; submit to government for approval to formally establish ECU, including signing MOU                                       | Professional services                   |

| Output   | Activity   | Budget code                                |
|--|--|--|
|  | specifying roles and responsibilities  |  |
| Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported                                     | Recruit personnel; procurement; training   | Professional services                      |
| Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported                                     | Develop ECU strategy and action plan; implement (facilitated by project)   | Professional services                      |
| Output 2.7 Support for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field | Independent audit of system  | Professional services                      |
| Output 2.8 Capacity development support to the national CITES management and scientific authorities  | Assess CITES authorities   | Professional services                      |
| Output 2.8 Capacity development support to the national CITES management and scientific authorities  | Design capacity development process for CITES authorities; implement   | Professional services                      |
| Output 2.9 An information campaign to increase public knowledge and responsiveness regarding wildlife and wildlife crime is implemented                          | Contract company to carry out PR campaign; design & implement  | Professional services/contractual services |
| Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported                                     | Study tours (to garner political support for ECU and to learn lessons)   | Travel                                     |
| Output 3.1 Integrated Landscape Management (ILM) plans are developed   | Process to develop integrated landscape management plans; submitted to the appropriate authorities for approval. | Contractual services                       |
| Output 3.2. Stakeholder agreements on access to and use of natural resources within and surrounding each selected PA developed                                   | Negotiation and development of agreements with NRM (access to and use of NR) by local communities                | Contractual services                       |
| Output 3.3 Microcredit schemes for local communities are developed and implemented   | Household surveys; collect socio-economic data   | Contractual services                       |
| Output 3.3 Microcredit schemes for local communities are developed and implemented   | Microcredit scheme designed and implemented  | Contractual services                       |
| Output 3.4 Demonstration farm(s) for the conservation of agro-biodiversity are established   | Study to identify land (i.e., site selection and acquisition);   | Contractual services                       |
| Output 3.4 Demonstration farm(s) for the conservation of agro-biodiversity are established   | Infrastructure put into place (using state-of-the-art eco-friendly technologies)                                 | Contractual services                       |
| Output 3.4 Demonstration farm(s) for the conservation of agro-biodiversity are established   | Visitor's facilities put in place at the farms; dissemination and training                                       | Contractual services                       |
| Output 3.2. Stakeholder agreements on access to and use of natural resources within and surrounding each selected PA developed                                   | Implementation of the agreements, including the development of the capacity of local communities.                | Contractual services – NGO                 |
| Output 3.2. Stakeholder agreements on access to and use of natural resources within and surrounding each selected PA developed                                   | Negotiation and development of agreements with NRM (access to and use of NR) by local communities                | National TA                                |
| Output 3.1 Integrated Landscape Management (ILM) plans are developed   | Process to develop integrated landscape management plans; submitted to the appropriate authorities for approval. | PMU  |
| Output 3.1 Integrated Landscape Management (ILM) plans are developed   | Initial implementation of the IML plans will be supported by the project.  | PMU  |
| Output 3.2 Value chains for forestry and agro-   | Dissemination of results among local   | PMU  |

| Output  | Activity   | Budget code           |
|---|--|-----------------------|
| biodiversity products are developed and presented to the local communities for implementation   | communities  |                       |
| Output 3.1 Integrated Landscape Management (ILM) plans are developed  | Study to develop detailed mapping of forests and agro-biodiversity | Professional services |
| Output 3.2 Value chains for forestry and agro-biodiversity products are developed and presented to the local communities for implementation | Three studies undertaken   | Professional services |
| Output 3.3 Microcredit schemes for local communities are developed and implemented  | Microcredit scheme designed and implemented                        | Professional services |
| Output 3.4 Demonstration farm(s) for the conservation of agro-biodiversity are established  | identification of species to propagate in farms                    | Professional services |
| Output 3.4 Demonstration farm(s) for the conservation of agro-biodiversity are established  | Training   | Professional services |

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## **XI. LEGAL CONTEXT**

231. Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a. put in place an appropriate security plans and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b. assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

232. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner].

233. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document".

234. Note that any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.