



United Nations Development Programme



**Project Document template for nationally implemented projects
financed by the GEF/LDCF/SCCF Trust Funds**

Project title: Combatting illegal and unsustainable trade in endangered species in Indonesia		
Country: Indonesia	Implementing Partner: Ministry of Environment and Forestry (Directorate General of Law Enforcement on Environment and Forestry)	Management Arrangement: National Implementation Modality (NIM)
UNDAF/Country Programme Outcome: Outcome 3. By 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with an increased resilience to the effects of climate change, disasters and other shocks. Output 3.3: National/local governments have improved policies, systems, and partnerships with non-state actors to protect biodiversity and endangered species.		
UNDP Strategic Plan Output: Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste. Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.		
UNDP Social and Environmental Screening Category: Moderate		UNDP Gender Marker: 2
Atlas Proposal/Award ID (also known as 'project'): 00094636		Atlas output Project ID (also known as 'output'): 00098732
UNDP-GEF PIMS ID: 5391		GEF ID: 9150
Planned start date: 17 November 2017		Planned end date: 16 November 2023 (Operational close date, based on GEF endorsement letter) 16 November 2024 (Financial close date to be registered to the Ministry of Finance)
LPAC date: 15 June 2017		
Brief project description: The development challenge that this project seeks to address concerns the devastating impact of unsustainable and illegal wildlife trade (IWT) on wildlife populations in Indonesia and SE Asia. The value of the <i>illegal</i> trade in Indonesia alone is estimated at up to US\$ 1 billion per year. Factoring in the unsustainable <i>legal</i> trade, the value rockets, representing an enormous economic, environmental, and social loss. This trade has already caused the decline and local extinction of many species across SE Asia. Much of the trade is highly organized, benefits a relatively small criminal fraternity, whilst depriving developing economies of billions of dollars in lost revenues and development opportunities. Within SE Asia, a significant amount of this trade starts from Indonesia, one of the world's top 10 'megadiverse' countries and the largest supplier of wildlife products in		

For Sustainable Development (9071). Under this programmatic framework, with the coordination through the programme steering committee, coordinated knowledge management and cross-fertilisation of the individual regional and national projects will be assured.

FINANCING PLAN	
GEF Trust Fund or LDCF or SCCF or other vertical fund	USD 6,988,853
(1) Total Budget administered by UNDP (to be recorded as grants to the Government of Indonesia)	USD 6,988,853
PARALLEL CO-FINANCING	
UNDP	USD 100,000
Government (MoEF)	USD 42,848,742
Wildlife Conservation Society	USD 2,000,000
(2) Total co-financing	USD 44,948,742
(3) Grand-Total Project Financing (1)+(2)	USD 51,937,595

SIGNATURES

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on: **17 November 2017**

Date/Month/Year

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Acronyms and Abbreviations

AGO	Attorney General's Office
APR/PIR	Annual Project Review/ Project Implementation Reports
ASEAN-WEN	Association of South East Asian Nations – Wildlife Enforcement Network
AWG-CITES WE	ASEAN Working Group on CITES and Wildlife Enforcement
BAPPEDA	Badan Perencana Pembangunan Daerah (Regional Development Planning Agency)
BAPPENAS	Badan Perencanaan Pembangunan Nasional (National Development Planning Agency)
BKSDA	Natural Resources Conservation Agency
BPPS	Bureau for Policy and Programme Support
CBD	Convention on Biological Diversity
CBO	Community Based Organization
CID	Criminal Investigation Division (of the Indonesian National Police)
CITES	Convention on International Trade in Endangered Species
CMS	Convention on the Conservation of Migratory Species of Wild Animals
CO	Country Office
CPAP	Country Programme Action Plan
CSO	Civil Society Organization – used interchangeably with local NGO
DG	Directorate General
Dishut	Dinas Kehutanan (Forestry Agency)
EOP	End of Project
ERC	Evaluation Resource Center (of UNDP Evaluation Office)
E-PASS	UNDP/GEF project - Enhancing the Protected Area System in Sulawesi
FFI	Fauna & Flora International
FGD	Focus Group Discussion
FPIC	Free Prior and Informed Consent
FSP	Full Sized Project
Gakkum	Directorate General of Law Enforcement on Environment and Forestry (MoEF)
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
Gol	Government of Indonesia
GTI	Global Tiger Initiative
Ha	Hectare
HWC	Human wildlife conflict
IBSAP	Indonesian Biodiversity Strategy and Action Plan
ICCWC	International Consortium on Combatting Wildlife Crime
ICITAP	International Criminal Investigative Training Program (US Department of Justice)
IDR	Indonesian Rupiah
INGO	International Non-Governmental Organization
INP	Indonesian National Police
IUCN	International Union for Conservation of Nature (World Conservation Union)
IP	Implementing Partner
IPB	Institut Pertanian Bogor
IW	(Project) Inception Workshop
IWT	Illegal wildlife trade
KSDAE	Directorate of Conservation of Natural Resources and Ecosystems
KPK	Komisi Pemberantasan Korupsi (Corruption Eradication Commission)
KUHAP	Indonesian Code of Criminal Procedures
LIPI	Indonesian Institute of Science (CITES scientific authority)
LoA	Letter of Agreement
M&E	Monitoring and Evaluation

METT	Management Effectiveness Tracking Tool
MMAF	Ministry of Marine Affairs and Fisheries
MoEF	Ministry of Environment and Forestry
MoHA	Ministry of Home Affairs
MoU	Memorandum of Understanding
MTR	Mid-Term Review
NGO	Non-Governmental Organization (used interchangeably with CSO)
NIM	National Implementation Modality
NP	National Park
NPD	National Project Director
NTRP	National Tiger Recovery Plan
OPDAT	Overseas Prosecutorial Development, Assistance and Training (US Dept of Justice)
PA	Protected Area
PAC	Project Appraisal Committee
PB	Project Board
PIF	Project Identification Form (for GEF)
PIMS	Project Information Management System
PIR	GEF Project Implementation Report
PIU	Project Implementation Unit
PM	Project Manager
PMC	Project Management Cost
PMU	Project Management Unit
POLAIR	Directorate of Coast and Sea Guarding Police
POPP	Programme and Operation Policies and Procedures
PortMATE	Port Monitoring & Anti-Trafficking Evaluation tool
PPATK	Pusat Pelaporan dan Analisis Transaksi Keuangan (Indonesian Financial Transaction Reports and Analysis Centre)
PPG	Project Preparation Grant (for GEF)
PPH	Pencegahan dan Pengamanan Hutan (Forest Protection and Surveillance)
PPNS	Penyidik Pegawai Negeri Sipil (Civil Service Investigator)
PPR	Project Progress Report
PusDikLat	Pusat Pendidikan dan Pelatihan (Training and Education Centre)
RBM	Resort Based Management (for National Parks)
RF	Results Framework
RP	Responsible Party
RTA	Regional Technical Advisor (of UNDP)
SA WEN	Southern Africa Wildlife Enforcement Network
SESP	UNDP Social and Environmental Screening Procedure
SMART	Spatial Monitoring and Reporting Tool (patrolling and reporting system)
SPORC	Satuan Polhut Reaksi Cepat (Rapid Response Forest Police Unit)
STAP	GEF Scientific Technical Advisory Panel
TE	Terminal Evaluation
TOR	Terms of Reference
TRACE	Tools and Resources for Applied Conservation and Enforcement – Wildlife Forensics Network
UN	United Nations
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
UNPDF	United Nations Partnership for Development Framework
UNDP	United Nations Development Programme
UNDP-CO	UNDP Country Office
UNEP	United Nations Environment Programme
UNOCD	United Nations Office on Drugs and Crime
UPT	Unit Pelaksanaan Teknis (Technical Implementation Unit)

UPT KKJI	Unit Pelaksanaan Teknis Konservasi Kawasan dan Jenis Ikan (Technical Implementation Unit of Aquatic Species and Area Conservation - of MMAF)
US\$	United States Dollar
USAID	US Agency for International Development
USAID-ARREST	Asia's Regional Response to Endangered Species Trafficking, 2010-2016
US-DoJ	US Department of Justice International Criminal Investigative Training Program (ICITAP)
WCS	Wildlife Conservation Society
WCO	World Customs Organization
WCU	Wildlife Crimes Unit
WRU	Wildlife Response Unit
WT	Wildlife trade
WWF	World Wide Fund for Nature
ZSL	Zoological Society of London

II. DEVELOPMENT CHALLENGE

1. **Threats, Root causes and Impacts:** This project specifically addresses the threats posed by the illegal and unsustainable wildlife trade to endangered species in Indonesia. The illegal trade in fauna and flora (other than fisheries and timber) has been estimated by different sources to be worth US\$ 7-23 billion dollars annually¹ and US\$ 2.5 billion in East Asia and the Pacific alone². Some of the values associated with wildlife products are huge; ivory is being traded at over \$2000/kg whilst Rhino horn can fetch over \$66,000/kg, Helmeted Hornbill beaks trade for \$6400/kg in China, Sun Bear gall bladders up to \$2000 each, Tiger canine pairs at \$6200-7200 and Pangolin scales \$3000/kg³.
2. This trade has already caused the decline and local extinction of many species across SE Asia, including those inside protected areas. The impacts have been particularly strong in this region, with populations of tigers, Asian elephants and various turtle species showing severe losses⁴ ⁵. Much of the trade is highly organized, benefits a relatively small criminal fraternity, whilst depriving developing economies of billions of dollars in lost revenues and development opportunities
3. Combatting the illegal wildlife trade in Indonesia is hindered by its low domestic political profile, which translates into a lack of interest and poor collaboration between law enforcement agencies. There is also a widespread lack of understanding regarding laws and enforcement procedures at all levels, and regulatory loopholes and inconsistencies that prevent successful prosecutions (see **barriers** below for further information). For example, inside Indonesia the trade and sale of African ivory and non-native tiger or rhino parts is technically not illegal. Regulatory reform is critical to address these issues.
4. Wildlife crime is driven by complex demands from various complex and fluid markets. Opinions on the primary drivers behind wildlife crime (and the corollary responses to address them) differ widely amongst different wildlife experts, partly due to a lack of data and partly due to most workers in the field focusing on a specific species or area with few having a wider view across the supply chain⁶. Many of the variations in wildlife crime can certainly be attributed to variations in markets, and most supply chains displaying high levels of variability in response to changes in supply and demand. Furthermore, increasing economic wealth is thought to be a significant factor behind increasing demand for wildlife products and the trappings of economic growth such as better infrastructure and freer trading markets are also thought to have had significant impact on wildlife crime. One of the key sources of demand for wildlife products has been the Traditional Chinese Medicine industry, which has ancient cultural roots but has been increasing in popularity in recent years in tandem with rapid economic growth in China and countries where Chinese medicine is popular⁷, and new trends are also occurring. However, other sources of demand are also important, including the pet trade, food (for protein intake, and also as delicacies), curios and souvenirs and fur and skins⁸. The few market-based instruments that have been used to address wildlife crime such as certification, taxation and buying agreements – used particularly for timber – do appear to be having some success⁹.

¹ Nellemann, C., Henriksen, R., Raxter, P., Ash, N., Mrema, E. (Eds). 2014. The Environmental Crime Crisis – Threats to Sustainable Development from Illegal Exploitation and Trade in Wildlife and Forest Resources. A UNEP Rapid Response Assessment. United Nations Environment Programme and GRID-Arendal, Nairobi and Arendal, www.grida.no.

² UNODC. 2013. Transnational Organized Crime in East Asia and the Pacific. A threat assessment. United Nations Office on Drugs and Crime.

³ Values quoted from various sources in: USAID Report Changes for Justice Project Wildlife Crime In Indonesia: A Rapid Assessment Of The Current Knowledge, Trends And Priority Actions. 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. http://pdf.usaid.gov/pdf_docs/PA00KH52.pdf

⁴ TRAFFIC. 2008. What's Driving the Wildlife Trade? A Review of Expert Opinion on Economic and Social Drivers of the Wildlife Trade and Trade Control Efforts in Cambodia, Indonesia, Lao PDR and Vietnam.

⁵ EIA. 2011. Enforcement Not Extinction - Zero tolerance on tiger trade. London. UK.

⁶ TRAFFIC 2008. Ibid.

⁷ World Bank. 2005. Going, going, gone: The illegal trade in wildlife in East and Southeast Asia. Page 23. Washington DC.

⁸ TRAFFIC. (n.d.). Wildlife Trade in South-East Asia. Petaling Jaya, Malaysia.

⁹ TRAFFIC 2008. Ibid.

5. Without enforcement, laws and sanctions alone do little to deter wildlife criminals. Laws and regulations are generally thought to be a critical part of the framework for addressing wildlife crime¹⁰. However, the existence of laws and punishments alone do not necessarily have any impact on wildlife crime, with the risk of detection being a key factor for compliance¹¹.
6. The underlying socio-economic factors contributing to these threats include population growth and poverty in rural and protected area boundary zones, which reduce the ability of local communities to practice sustainable agriculture and natural resource use. Productive job opportunities – which might provide local residents with an alternative source of livelihood – are limited, driving some to engage in illegal poaching activities. However, middle-men and traders gain significantly more from the trade in wildlife products and are usually based in urban centres. Whilst links between poverty and the wildlife trade evidently exist, particularly with regards to leaving the trade, the relationships appear to be so complex that initiatives to counter wildlife crime through alternative livelihoods or increased incomes do not seem to be very successful. As with the impacts of livelihoods, the relationship between awareness and wildlife crime also appear to be highly complex and relatively poorly understood¹².
7. The economic and social impacts of wildlife crime are far less understood but potentially far more serious. The impacts of wildlife crime are not only environmental. Illegal wildlife trade involves wide, complex markets involving people from wide and various social and economic backgrounds from poor rural villagers to small scale traders to wealthy, politically connected importers and exporters. The impacts of the industry can therefore be far reaching^{13 14}. Firstly, the environmental impacts will have social implications through the loss of ecosystem functionality, the spread of zoonotic diseases, the reduction in available natural assets and through missed taxation revenue. In Asia, this is particularly a risk for poorer communities strongly reliant on natural resources. But there is also plenty of evidence that the social impacts of wildlife trade go even further than that, including direct threats to the lives of people working in the sector, the proliferation of weapons, the fuelling of social conflict and undermining governance, socio-economic stability and even national security. Furthermore, wildlife crime is often associated with other serious, organised criminal activities and/or political rebel groups (particularly in Africa) with shared personnel, trading networks, finances and methods to undermine the rule of law¹⁵. Much of the world's wildlife crime is now run by extremely organized and increasingly sophisticated and well-equipped criminal syndicates¹⁶.
8. The direct threats impacting on the project target, populations of key endangered species in Indonesia, and their relationships with a range of indirect factors (root causes) are illustrated in the conceptual diagram below, with the entry points for project intervention strategies indicated (**Figure 1**).
9. **Baseline Analysis:** A situation analysis has been conducted during project preparation with regard to the policy, legal and regulatory framework, institutional capacity for enforcement and coordination, information sharing, and enforcement at key ports used for wildlife trade, details of which are given in **Annexes 11 - 17**.
10. The CITES Management Authority in Indonesia is the Ministry of Environment and Forestry (MoEF), which was formed by the merging of respective Ministry of Forestry and Ministry of Environment following the election of the new President – Mr. Joko Widodo - in 2014. Within the newly established MoEF, the unit or Directorate which handles matters related to CITES remains the same as before,

¹⁰ TRAFFIC 2008. Ibid.

¹¹ Rowcliffe, J. M., E. de Merode, and G. Cowlishaw. 2004. Do wildlife laws work? Species protection and the application of a prey choice model to poaching decisions.

Proceedings. Biological sciences / The Royal Society 271:2631–2636.

¹² TRAFFIC. 2008. What's Driving the Wildlife Trade? A Review of Expert Opinion on Economic and Social Drivers of the Wildlife Trade and Trade Control Efforts in Cambodia, Indonesia, Lao PDR and Vietnam.

¹³ Lawson, K., and A. Vines. 2014. Global Impacts of the Illegal Wildlife Trade: The costs of crime, insecurity and institutional erosion.

¹⁴ TRAFFIC 2008. Ibid.

¹⁵ EIA. 2014. In cold blood: Combating organised wildlife crime. London, UK.

¹⁶ WWF International. 2012. Fighting Illicit Wildlife Trafficking. Gland, Switzerland.

namely the Directorate of Biodiversity Conservation (c.q. Sub-Directorate Program and Convention), under the Directorate General of Conservation of Natural Resources and Ecosystem (formerly called the Directorate General of Forest Protection and Nature Conservation). CITES matters only form part of the duty of the Directorate of Biodiversity Conservation, as this Directorate is also responsible for managing matters related to wildlife and plants conservation in the country, monitoring including inter-province and inter-island wildlife trade. The national parks and other conservation areas (excluding protection forest) are managed by the Directorate of Conservation Areas, also under the Directorate General of Conservation of Natural Resources and Ecosystem.

11. MoEF has many regional offices called Balai Konservasi Sumber Daya Alam (BKSDA). Currently there are 31 BKSDAs, spread out all over in Indonesian territory. In relation to wildlife trade, BKSDAs have roles to proposed number of annual quota for harvestable species and its monitoring, issue a letter of domestic transportation of wildlife specimens (Surat Ijin Angkut Tumbuhan dan Satwa Dalam Negeri, SATS-DN), and as law enforcers against wildlife trafficking in their areas.
12. For law enforcement, however, substantial changes have occurred in MoEF's organizational structure. In the previous organization, matters related to law enforcement of IWT were managed by the Directorate of Forest Protection and Prevention, also under the Directorate General of Forest Protection and Nature Conservation. When the Ministry of Environment and Forestry was formed, law enforcement became a bigger issue, covering green issues (related to forestry, i.e. land encroachment, illegal timber trade, illegal wildlife trade) and brown issues (related to pollution). Therefore, the MoEF uplifted the Directorate (of Forest Protection and Prevention) into a Directorate General of Law Enforcement on Environment and Forestry and the organization structure was changed accordingly. Among the four sub-directorates of the Directorate General of Law Enforcement of Environment and Forestry, two Directorates are directly concerned with law enforcement of illegal wildlife trade, namely the Directorate of Forest Prevention and Protection (Pencegahan dan Pengamanan Hutan) and Directorate of Criminal Law Enforcement (Penegakan Hukum Pidana). Currently the MoEF employs 8,105 forest rangers, PPNS (Civil Investigation Officers) 1,043, and 764 SPORC (Satuan Polisi Kehutanan Reaksi Cepat; Quick Responding Forest Rangers). Rangers do not have powers of arrest, so patrolling is not very effective and there is a need for improving coordination with the police and the army. Much of the enforcement effort is directed towards forestry offences.
13. The Criminal Investigation Division (CID, Bareskrim POLRI) of the Indonesian National Police (INP) is a key agency in combatting nationwide illegal wildlife trade. Unit 1 is specifically tasked with targeting environmental crimes, and has 7 staff and an annual budget of \$50,000. It has played a leading role in the majority of high-profile prosecutions brought successfully in Indonesia over the past 5 years, however is hampered by limited staffing, budgets, capacity and the limited importance attached to wildlife crimes by prosecutors, the judiciary and customs. Other relevant Indonesian Law enforcement agencies include the Attorney General's Office (AGO), the Ministry of Marine Affairs and Fisheries, Customs, Quarantine, the Corruption Eradication Commission (KPK) and the Financial Trans-projects Analysis and Reporting Centre (PPATK).
14. The government's effort has been complemented by investments from bilateral and multilateral agencies, and international NGOs over the past years. Since 2003, the Wildlife Conservation Society (WCS) has pioneered an innovative approach to working with law enforcement agencies across local, regional and national scales to combat illegal wildlife trade in Indonesia, called the "Wildlife Crimes Unit" (WCU). The WCU has supported the Indonesian government to conduct more than 350 arrests in Sumatra, Java, Kalimantan, Sulawesi, Bali, Nusa Tenggara, and Papua. To date, the WCU consists of 6 units to protect both terrestrial and marine protected species. More than 400 wildlife traffickers have been arrested (with a successful prosecution rate of >90%), and thousands of protected animals and tones of animal parts have been seized from sting operations. This is unparalleled in the Asian context, and the WCU is the most successful example of an approach to combat illegal wildlife crime in the region. WCS currently invests c.\$250,000/year in work on illegal wildlife trade in Indonesia, including projects on combating trade of sharks and rays, and strengthening institutional frameworks to combat wildlife trafficking in Indonesia.

15. Progress in 2015 on strengthening the legal and institutional frameworks for combating the illegal wildlife trade supported by WCS has included a rapid assessment of current knowledge, trends and priority actions for wildlife crime¹⁷, and a detailed analysis of the policy and legal context¹⁸ with support from USAID, with subsequent support to MoEF to implement report recommendations for legal revisions to improve species protection. This has included significant achievements – government agreement to revise the Conservation Law 5/1990 during 2016, MoEF agreement that the revised Law should always reflect the current and existing CITES list, and progress towards updating the Protected Species List by January 2016. In addition, trainings were conducted for MoEF, the police, customs, and the Financial Transactions Analysis and Reporting Centre (PPATK) to build capacity for handling wildlife crime. These included training of 35 police officials from around the country to detect wildlife crime; training of 50 staff from law enforcement agencies and journalists in use of forensics for species identification, with TRACE Wildlife Forensics Network and the Eijkman Institute; and training for 15 PPATK staff.
16. Indonesian law enforcement agencies also carried out at least 26 arrests involving 37 perpetrators during 2015 with the assistance of the WCU, with cases including 5 tons of pangolins from Medan; over 1 ton of manta ray bone and gill plates, 6 tiger cases, 2 ivory cases, over 500kg of oceanic whitetip shark fins, and the conviction of an orang-utan trader. Such cases have been publicised in the Indonesian media through collaboration with the Alliance of Independent Journalists and Indonesian Journalists Association.
17. Marine wildlife protection has progressed, with four convictions of traders in manta ray parts reflecting the tough new stance of the MMAF to protect these species, and the WCU and MMAF handled a total of 9 manta and shark test cases in total between November 2014 and October 2015. WCS also worked with MMAF, MoEF, LIPI and other institutions towards preparing a legal framework for shark and ray protection through the development of National Plans of Action for sharks and rays (NPOA 2015-2019) and for manta rays (NPOA 2016-2020) and associated revision of the Conservation Act 5/1990 and updating of the annex of GR7/1999 to include enhanced protection for shark and ray species in line with CITES through the Protected Species List, with the final updated list expected to be issued through Ministerial Decree at the end of 2015. Training has been conducted for management and enforcement agencies (including MMAF, Customs and PPATK) regarding CITES-listed shark and ray species, relevant legislation for prosecution for related trafficking offences, and identification of species. Training also included 50 provincial and district staff of MMAF's Technical Implementation Unit of Aquatic Species and Area Conservation on WCU approaches and identification of shark and manta products. WCU has also agreed with the Misool Baseftin Foundation (MBF) to conduct joint sea patrols in Lamakera, Nusa Tenggara province, to protect manta rays and whale sharks from hunting, involving police officers from the Directorate of Coast and Sea Guarding Police (POLAIR) and one WCU staff. Two equipped guard posts will be established in Lamakera to support the patrols and alternative livelihood program for the local community, especially manta hunters.
18. At the landscape level, WCS supported Wildlife Response Units (WRUs) in two critical tiger landscapes in Sumatra –Leuser and Bukit Barisan Selatan, which responded to at least 44 human-wildlife conflict cases, 17 involving tigers, with domestic livestock killed in some cases. In responding to such conflicts, the WRUs secure and stabilize the situation, and assist communities to remain safe and to protect their livestock, benefiting both the communities and the tigers.
19. Under a 2014 MoU between the Government of Indonesia and the United States Government, US Government agencies are providing capacity-building assistance to law enforcement agencies on environmental crimes (including wildlife trafficking) and are facilitating regional dialogues of action to reduce illegal wildlife trade. These are implemented by US Department of Justice (US-DoJ) International

¹⁷ USAID Report Changes for Justice Project Wildlife Crime In Indonesia: A Rapid Assessment Of The Current Knowledge, Trends And Priority Actions. 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. http://pdf.usaid.gov/pdf_docs/PA00KH52.pdf

¹⁸ Changes for Justice Project Wildlife Trade, Wildlife Crimes And Species Protection In Indonesia: Policy And Legal Context. March 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. USAID. http://pdf.usaid.gov/pdf_docs/PA00KH4Z.pdf

Criminal Investigative Training Program (ICITAP), US-DoJ Office of Overseas Prosecutorial Development, Assistance and Training (OPDAT), and the US Agency for International Development (USAID). Regional initiatives include USAID-ARREST (Asia's Regional Response to Endangered Species Trafficking, 2010-2016); The Association of Southeast Asian Nations' Wildlife Enforcement Network (ASEAN-WEN); efforts by the International Consortium for Combatting Wildlife Crimes (ICWC) partners, including the CITES secretariat, Interpol, World Customs Organisation, United Nations Office on Drugs and Crime and the World Bank. In December 2012 Indonesia and Vietnam also signed a MoU on Wildlife Law Enforcement, which is driving bilateral cooperation within the region.

20. Finally, despite a relatively adequate national policy framework and institution, gender equality in performing biodiversity conservation management is still weak. The predominant role of men is primarily due to biophysical, cultural and structural factors. As to date, the majority of Indonesians perceive that particularly forest management activities are not suitable for women to do because they involve physical power, masculinity and extended periods of stay in the field. Examples are hunting of wildlife and harvesting of NTFPs. For reasons of traditional beliefs and values, the majority of households in rural areas still believe that wives' primary task is to rear children and do domestic chores like cooking and cleaning. Another limiting factor is the established structure of state employees that is dominated by men, thus decision-making on biodiversity conservation management is also male-dominated.
21. Overall, in the baseline situation described above, there remain regulatory loopholes, lack of coordination between enforcement agencies, a lack of capacity and resources, and a limited ability to upscale successful models (e.g. the Wildlife Crimes Unit) with the consequence that wildlife trade, both illegal and legal, will substantially increase or, at best, will continue unabated, resulting in local declines and the increased likelihood of extinctions of key Indonesian wildlife species, including elephants, tigers and rhinos. Even biodiversity within the PA system is not shielded from poaching to supply the domestic and international illegal wildlife trade. Illegal wildlife trade will continue to operate as organized crime, while legal wildlife trade will remain poorly regulated, raising few revenues for the state, and acting as a cover behind which illegal trade can flourish. Thus, these baseline activities, although significant, fall short of the **proposed long-term solution**: *to conserve key wildlife species in Indonesia, by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country.*
22. **Barriers:** Although the legal framework for wildlife protection and regulation of wildlife trade in Indonesia is relatively well developed, it contains a number of significant loopholes, which are facilitating or enabling the continuing illegal trade of legally protected, and otherwise threatened species in Indonesia. In addition, there are a number of significant implementation challenges which hamper the enforcement of the existing legal framework. Thus, while the government has made tremendous efforts to control poaching and illegal wildlife trade as described above, its efforts have been impeded by a number of barriers. These include: (1) Weak policy and regulatory framework and insufficient information and tools to understand, regulate and combat illegal wildlife trade; (2) Sub-optimal institutional capacity for compliance monitoring and enforcement; and (3) Ineffective enforcement at the site and landscape level. A detailed breakdown of these barriers is provided in **Annex 13**.
23. **Consistency with national priorities:** Indonesia is a member of multilateral agreements on biodiversity conservation including CBD, CITES, the Ramsar Convention on Wetlands and CMS agreements on sharks, dugong, marine turtles and Albatrosses and Petrels (ACAP). The CBD (enacted through Law 5/1999), is expanded in the Indonesian Biodiversity Strategy and Action Plan (IBSAP) 2003-2020 (BAPPENAS 2003). The IBSAP is stated in Medium Term National Development Planning (2004-2009), Presidential Regulation (7/2005), the 6th National Development Target of Environment Conservation and sustainable use of biodiversity according to the IBSAP 2003-2020; and the Program on Protection and Conservation of Natural Resources, through the main activity: Management and Protection of biodiversity to avoid loss biodiversity (terrestrial, marine and coastal).
24. The project also addresses objectives and activities under the National Strategy and Action Plan for Sumatran Tiger, Rhino, Orangutan and Asian Elephant (MoEF: P42/Menhut-II/2007, P44/Menhut-

II/2007, P43/Menhut-II/2007, P53/Menhut-II/2007) and human-wildlife conflict (P48/Menhut-II/2008), as well as Indonesian commitments under the Convention on International Trade in Endangered Species (CITES; enacted through Presidential Decision 43/1978) through strengthening controls on the illegal wildlife trade.

25. The Government of Indonesia signed the St. Petersburg Declaration on Tiger Conservation as adopted by the range states at the Global Tiger Summit in November 2010. This complements the MoEF's own NTRP, part of the Global Tiger Recovery Program for which the GEF has a financial supporting role.
26. In terms of overall national development context, Indonesia's National Long-Term Development Plan (2005-2025) aims to achieve a "green and ever-lasting Indonesia". The vision and mission of the plan is to establish a country that is developed and self-reliant, just and democratic, and peaceful and united, to achieve the development goals as mandated in the Preamble to the Constitution of 1945.
27. The project intervention will also contribute directly towards the achievement of key performance indicators for the Implementing Partner, the DG of Law Enforcement on Environment and Forestry (*Gakkum*), as follows:

No	Target	Key Performance Indicator	National Target (2015 – 2019)
1	Increased effectiveness on handling and settlement of criminal case on environment and forestry.	Percentage settlement of criminal case with P 21	75% from all cases on one year.
		Number of verified criminal case on environment and forestry	200 cases per year
		Percentage of handled evidences are in accordance to the number of handled cases	100%
		Number of government staff who are trained and increased their capacity.	500 staff per year
2	Forest protection and surveillance on violence and threat in forestry related matters in 34 provinces are undertaken (77 locations particularly at 15 priority watershed areas)	Number of locations where forest protection and surveillance on violence and threat in forestry related matters are undertaken through socialization, patrols and operations.	77 locations per year
		Number of empowered and trained forest rangers (increased capacities)	2500 personnel/ year
		Number of empowered community-based forest rangers (<i>Masyarakat Mitra Polhut/MMP</i>) and forest security officers (<i>Tenaga Pengamanan Hutan Lainnya/TPHL</i>) and other environmental activists.	34 Unit MMP/TPHL/CSO/ Partner per year
		Number of available infrastructure for forest monitoring, surveillance, and law enforcement to meet minimum requirement standard.	11 Brigade per year
		Extent of forest area protected from illegal activities annually	2015: 3 mil Ha 2016: 5 mil Ha 2017: 8 mil Ha 2018: 11 mil Ha 2019: 13 mil Ha

28. **SDGs and Aichi Targets:** This project will directly contribute towards the following SDGs: 14 (Life below water), 15 (Life on land) and 16 (Peace, justice and strong institutions). It will also contribute towards 8 (Decent work and economic growth) and 17 (Partnerships for the goals). The project will contribute towards Strategic Goal C of the Aichi Targets: To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity, specifically Target 12 (By 2020 the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained).

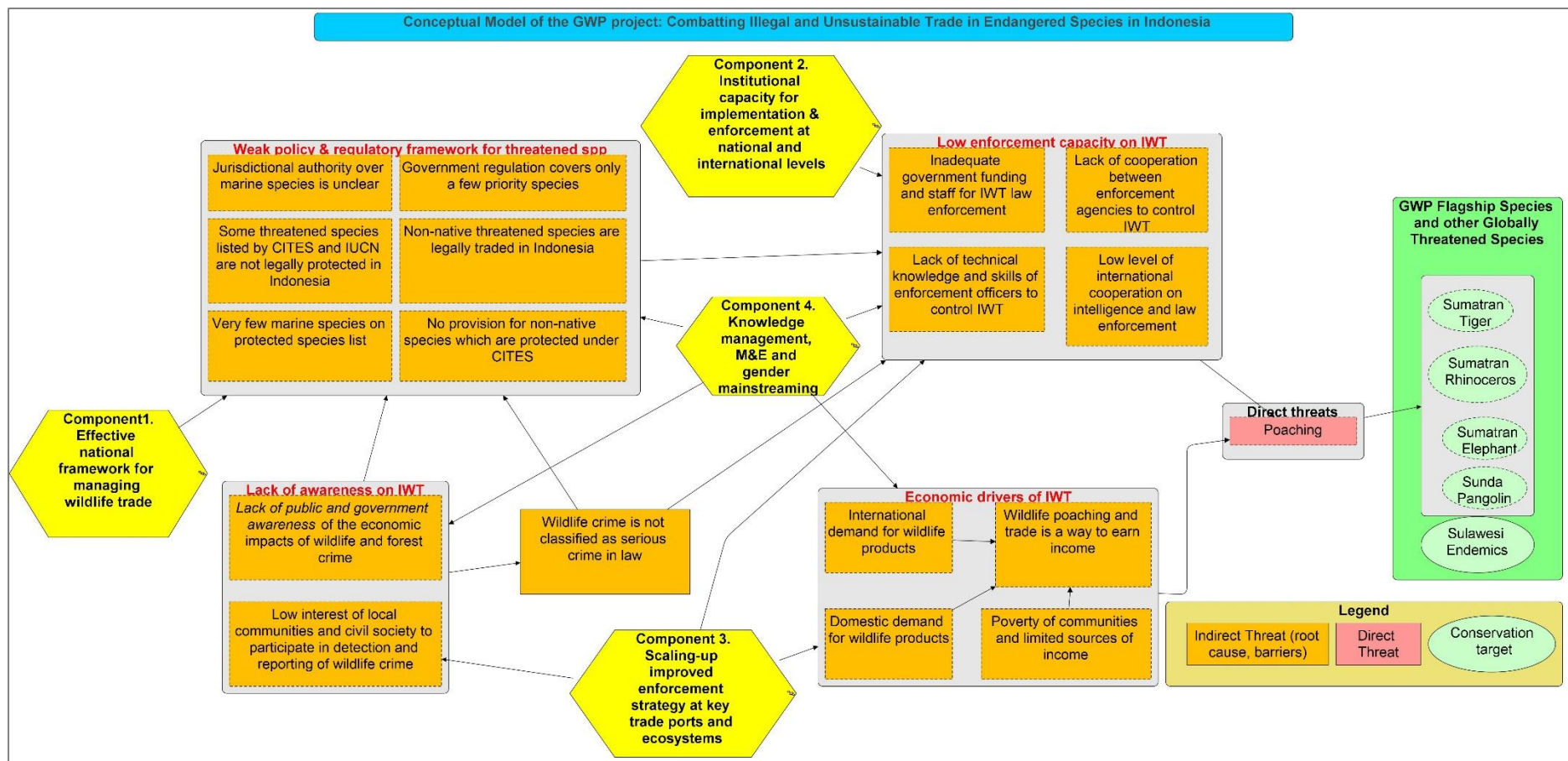


Figure 1. Conceptual model of the factors influencing the project targets, with project interventions.
Key: Project Targets (green oval), direct factors (pink box), indirect factors (orange box), project intervention strategies (yellow hexagon)

III. STRATEGY

29. The project Objective is **to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia**. To achieve this objective the project will utilize 4 general strategies (Project Components) with intervention pathways described in the theory of change diagram in **Figure 2** below. The Components (as the GEF project alternative) aims to remove the barriers to accomplishing the long-term solution (see **Fig. 1**, Section II, and **Annex 13**), namely to conserve key wildlife species in Indonesia, by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country. The proposed Components are described below:
- 30. Component 1: Effective national framework for managing wildlife trade.** This component aims to enhance the legal and policy environment by creating subsidiary regulations and removing loopholes and inconsistencies that prevent enforcement of measures to combat illegal wildlife trade. Appropriate institutional frameworks will be put in place to ensure inter-agency coordination domestically and internationally. The feasibility of a cost recovery system from regulation of wildlife trade will be determined. The project will support establishment of the National Wildlife Crime Taskforce, involving the Indonesian National Police, MoEF and Attorney General's Office.
- 31. Component 2: Institutional capacity for implementation and enforcement at the national and international levels.** Under this component, the project will support key law enforcement institutions to ensure that institutional capacity, including development of tools to support for continued effective actions for combatting illegal wildlife trade. Here, a national information system will be established to accurately track and share IWT information, including intelligence data across sectors. Increased capacity will be gauged using the ICCWC Indicator Framework related to wildlife trade control, increased rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases. Increased and more effective enforcement cooperation between Indonesia and other key states along the wildlife trafficking value chain (e.g. Vietnam and China) is expected, leading to multiple arrests and convictions, disrupting and dismantling significant wildlife crime syndicates.
- 32. Component 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems.** This component will focus on scaling-up of on-the-ground implementation of improved enforcement capacity and strategies supported under component 1 and 2, including the Wildlife Crime Unit (WCU) approach for two subnational demonstration regions – northern Sumatra (in North Sumatra and Aceh provinces) centered on the Leuser ecosystem; and northern Sulawesi (in Gorontalo and North Sulawesi provinces), centered on the Bogani Nani Wartabone ecosystem. Both are major IWT hubs for domestic and international markets and contain seaports and airports that facilitate this trade. The project will support coordinated intelligence analysis to determine wildlife trade chains across these regions, including source areas, markets and ports, joint enforcement operations, and community awareness raising, engagement in information networks, and livelihood support in source areas. The project will also support systematic assessment and capacity building for five key wildlife trade ports: Jakarta (Tanjung Priok) and Surabaya (Tanjung Perak) ports in Java, Bitung (Sulawesi), and Belawan port and Kualanamu airport in Medan, North Sumatra (see **Figure 3** for locations, **Table 5** for summary information and **Annexes 11 and 17** for details).
- 33. Component 4: Knowledge Management, Monitoring and Evaluation and Gender Mainstreaming.** The fourth project component closely links with and underpins the other three, by supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in Indonesia, and also globally through the UNDP/WB/GEF Global Wildlife Programme.
34. Indicators and assumptions for the accomplishment of expected Outcomes under proposed Components are given in the Project Results Framework, and the assumptions indicated in the theory of change diagram (**Figure 2**) are also described below.

35. Significantly, this project is 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 (GWP) (9071)*. Under this programmatic framework, with the coordination through the programme steering committee, coordinated knowledge management and cross-fertilisation of the individual regional and national projects will be assured. This includes significant potential for coordination with the *Ports of Excellence* project in assessing performance and building capacity at the demonstration ports in Indonesia, and subsequent upscaling. The project components will contribute towards the GWP Outcomes as follows:

Child Project Components	Relevant GWP Components	Relevant GWP Outcome	Relevant GWP GEF Indicators and Targets
1. Effective national framework for managing wildlife trade	Component 2. Reduce Wildlife Trafficking	Outcome 4: Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products	4.1: Increase in number of dedicated wildlife law enforcement coordination mechanisms at program sites 4.2: Increase in number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations at program sites 4.3: Increase in the proportion of seizures that result in arrests, prosecutions, and convictions
2. Institutional capacity for implementation and enforcement at the national and international levels	Component 2. Reduce Wildlife Trafficking	Outcome 4: Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products	4.3: Increase in the proportion of seizures that result in arrests, prosecutions, and convictions
3. Scaling-up improved enforcement strategy at key trade ports and ecosystems	Component 1. Reduce Poaching and Improve Community Benefits and management	Outcome 1: Reduction in elephants, rhinos, and big cat poaching rates. Increase in detection/interception of poaching incidents and arrests	1.1: Reduction in poaching rates of target species at program sites. 1.2: Number of poaching-related arrests (increase at first, then decrease over time) 1.3: Number of investigations/patrols at program sites that result in poaching-related arrests (increase at first, then decrease over time) 1.4: Increase in the proportion of poaching-related arrests that result in prosecution 1.6: Increase in law enforcement effectiveness score for program sites 2.1: Benefits received by communities from sustainable (community-based) natural

	<p>Component 2. Reduce Wildlife Trafficking</p>	<p>Outcome 2: Increased community engagement to live with, manage, and benefit from wildlife</p> <p>Outcome 4: Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products</p> <p>Outcome 5: Reduction of demand from key consumer countries</p>	<p>resource management activities and enterprises (increase)</p> <p>2.2: Human-wildlife conflict (HWC) as measured by incident reports (decrease)</p> <p>4.1: Increase in number of dedicated wildlife law enforcement coordination mechanisms at program sites</p> <p>4.2: Increase in number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations at program sites</p> <p>4.3: Increase in the proportion of seizures that result in arrests, prosecutions, and convictions</p> <p>5.1: Measurable positive change in knowledge, attitudes, and practice (KAP) towards consumption of illegal wildlife products (compared to baseline)</p> <p>5.2: Increased number of awareness campaigns for target groups to educate them on the negative impacts of illegal wildlife trade for global environment, security, and development</p> <p>5.3: Reduction in the number of markets/shops/on-line retailers selling illegal wildlife products (disaggregated) compared to baseline</p>
<p>4. Knowledge management, M&E and Gender Mainstreaming</p>	<p>Component 4. Knowledge, Policy Dialogue and Coordination</p>	<p>Outcome 6: Improved coordination among program stakeholders and other partners, including donors</p>	<p>6.2: Program monitoring system successfully developed and deployed</p> <p>6.3: Establishment of a knowledge exchange platform to support program stakeholders</p>

36. This project will contribute towards the GWP target to *maintain globally significant biodiversity and the ecosystem goods and services that it provides to society (25,096,730 ha)* through its Component 3 interventions in the two demonstration subnational regions (northern Sumatra and northern Sulawesi) in Component 3 which will strengthen wildlife conservation and law enforcement to suppress illegal wildlife trade chains including source areas, markets and ports over regions totaling 8,978,875 ha. Within these regions, the area of targeted ports, markets and villages is c.45,000 ha. Overall, it will contribute significantly to the reduction of IWT pressures on wildlife populations throughout Indonesia.

37. Component 1: By strengthening the legal and regulatory framework pertaining to illegal wildlife trade, Indonesia will block existing legal loopholes that allow CITES listed species to be received in or transit through Indonesia. This will be a major contribution towards controlling international trafficking of wildlife products from Africa to other Asian destinations (GWP Outcome 4). It will also strengthen protection over

Indonesian species and increase penalties as a deterrent to poachers and traders using Indonesia as a source country for trade to other Asian nations (eg Vietnam and China) in particular.

38. Component 2: By strengthening institutional capacity, inter-agency coordination, inter-agency information sharing, joint operations, and transnational cooperation, the project will support the strengthened legal and regulatory framework in Component 1 with much stronger and more effective intelligence based enforcement. This will act as an increased deterrent to criminals involved in the IWT and contribute significantly to global efforts (GWP Outcome 4).
39. Component 3: By strengthening detection and enforcement processes at five key ports and the analysis and interception of trade chains across related demonstration regions, this component will significantly increase the interception of IWT in these regions and deter poachers and traders from using these areas (GWP Outcomes 1 and 4). This component will also support the engagement of communities in IWT source areas and along trade chains through awareness raising, voluntary and contracted assistance to government agencies, alternative livelihoods and mitigation of human-wildlife conflicts (GWP Outcomes 2 and 5).
40. In addition, the project will pilot the PortMATE (Port Monitoring & Anti-Trafficking Evaluation) tool developed by and with support from the UNDP/GEF Ports of Excellence project (under the GEF Global Wildlife Programme). This will involve adapting and developing it for use during the assessment of the project demonstration ports. The PortMATE assessment focuses on six sections, namely Management and Administration, Information and Intelligence, Detection, National Investigations, International Cooperation and Criminal Justice. While Customs and Excise is the key government institution partner to be involved in the assessment, the tool has wider applicability and other relevant institution, such as Quarantine, INP and Gakkum, should also participate. Following baseline assessments at the other ports, a review will be conducted to determine the use and usefulness of PortMATE and its potential for replication across Indonesia. Building on the baseline assessments at each port, the project will support capacity-building programs covering both systems enhancement to improve customs surveillance and training to build staff skills in wildlife law enforcement. The four ports will be invited to participate in joint training on controlled deliveries, strengthening South-South cooperation in combating wildlife crime. The ports will be the first to participate in the innovative Ports of Excellence best practice scheme and network that will be developed by the global UNDP-GEF project.
41. The Government of Indonesia will participate in the Ports of Excellence project under the UNDP implemented maritime trafficking component of the GWP coordination project through the inclusion of Tanjung Perak as a key port. This would allow for Tanjung Perak (Surabaya) to become a founding member of the Ports of Excellence network and consequently one of the first ports to strive towards achieving the 'Port of Excellence' best practice standard and associated global recognition. Accordingly, a higher level of intervention is intended for Surabaya port, to be based on a more detailed assessment followed by substantial support for capacity building and monitoring. Importantly, these activities will not only help combat wildlife trafficking, but will increase the efficiency and effectiveness of customs clearance processes through the use of cutting-edge technology that drastically reduces clearance time while simultaneously targeting screening of high-risk containers and improved detection techniques. The support is envisaged to include the installation of a paperless container processing system and a world-leading fully-automated risk analysis engine. These actions should lead to lower operational costs through increased efficiency and reduction in administrative workload, a higher rate of seizures and increased trade resulting from enhanced port operations. In combination, they offer the potential of significantly increased customs revenue.
42. Component 4: (on knowledge management, M&E and gender mainstreaming) closely links with and underpins the other three, by supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in Indonesia, and also globally through the GEF Global Wildlife Programme. 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-fertilisation of the individual regional and national projects will be assured (contributing to GWP Outcome 6).

43. Particularly innovative aspects of this project include scaling-up the Wildlife Crime Unit (WCU) approach and the development of cost recovery mechanisms. The WCU is already one of the most successful approaches to combat illegal wildlife trafficking in Southeast Asia, albeit on a modest scale currently, and key to the success is the partnership of Indonesian law enforcement agencies (MoEF, INP, MMAF, AGO, PPATK, etc.) working together to combat wildlife crimes. Scaling-up this innovative approach has huge potential to serve as a model for other countries in the region. The project will also test cost-recovery mechanisms from illegal trade seizures using money laundering legislation and from legal trade through fiscal regulations to ensure trade is taxed at a level commensurate with the cost of regulating it. These types of approaches have been often discussed with respect to wildlife trade, but have never been trialed in the region.
44. **Global Environmental Benefits:** Indonesia is one of the most biodiverse regions in the world, and supports many mammal and bird species including endemic and endangered species threatened by illegal wildlife trade such as Sumatran tiger, Sumatran and Javan rhinoceros, Bornean and Sumatran orang-utan, Asian elephant, Sunda pangolin, anoa, babirusa, helmeted hornbill, yellow-crested cockatoo and other parrot family species. The country is located in the biodiversity distribution path of the Asian continent (Java, Sumatra and Kalimantan islands) and Australia (Papua), and is in the transitional zone of the Wallace line (Sulawesi, Maluku and Nusa Tenggara islands), and therefore harbours the biological richness of Asia, Australia and the transitional zone of the two continents. GEF funding will secure populations of globally significant species through dramatically improving the systemic and institutional capacity of the nation to control legal commercial and illegal wildlife trade and associated overexploitation of species. In addition, the GEF finance will significantly reduce the role of Indonesia as a transit and destination country in transnational wildlife trafficking networks, such as for African Ivory.
45. **National Socio-economic Benefits:** In line with the global GEF Program on IWT, this project focuses on disrupting wildlife crime trade routes, especially focusing on the supply and trafficking aspects. In combination with coordinated efforts in other countries, this project's outcomes will have immediate and longer term socio-economic benefits for local communities, local and national revenues, and international trade. Combating wildlife crime saves species but it also curbs corruption. This directly benefits local people disadvantaged by the wide range of corrupt practices that forestall development and progress. Moreover, combating wildlife crime reduces insecurity and crime in rural areas and strengthens the infrastructure for effective law enforcement that can address both wildlife crime and other crimes that affect rural communities. It will also ensure that species and their habitats are better managed and more resilient, thus creating the conditions for communities to continue to use natural resources as a socio-economic safety net, particularly as climate change uncertainty exacerbates risks to their economic and physical security.
46. Local and national economies benefit in two ways: first, increased revenues from legal trade in natural resources are assured as the risk of contraband entering trade chains is reduced, and legal businesses that benefit from reduced corruption and a better and safer business environment, can provide improved tax revenues. Governments and communities can also legally exploit natural resources in a sustainable way rather than suffer the consequences of foregone opportunity as they are depleted and destroyed. International trade benefits from removing illegal contraband from trade flows, which in turn reduces the cost of surveillance and detection. Removing contraband also speeds up trade flows and reduces the risk of shipments being seized or stopped at borders when legal goods as well as contraband can be held up indefinitely.
47. At the local level, tangible socioeconomic benefits will be delivered to rural communities in targeted wildlife trade source areas within the demonstration regions, through better managing wildlife and fishery resources, addressing conflicts with wildlife, and indirectly the protection of forests and marine resources

in the demonstration regions and the ecosystem services that they provide. The project will provide benefits to these local communities through capacity building, trainings, employment opportunities, revenue and income, etc. These benefits will be generated 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).

48. While the above-mentioned socio-economic benefits will undoubtedly apply, there remains a need for economic studies to quantify the actual losses to national and local economies associated with illegal wildlife trade, and the actual benefits that would accrue through legally regulated sustainable trade. This project includes such an economic assessment to quantify the value of legal and illegal wildlife trade including externalities and opportunity costs, as well as the economics of enforcement to provide a disincentive to malpractice and guidance for more effective resource allocation.
49. In the component addressing the demonstration regions, gender will be a significant consideration for the successful implementation of a range of activities. Indonesia has a relatively good record at empowering women compared to some countries, but significant barriers to progress still remain. The importance of gender equality will therefore be addressed specifically when management organization is addressed for demonstration region interventions. Gender will also be important during the participation of communities in sustainable / alternative livelihood development including income generating schemes for rural households, firstly because women have different connections and dependencies on their environment to men, influencing the range of development and conservation options they would find beneficial, and secondly because female engagement in implementation is likely to be important for the success of development projects. Overall, the project will seek to establish or strengthen stakeholder participation mechanisms in order to achieve legally recognized, sustainable management of wildlife and fishery products.

Figure 2. Theory of Change Diagram for the Project (above)

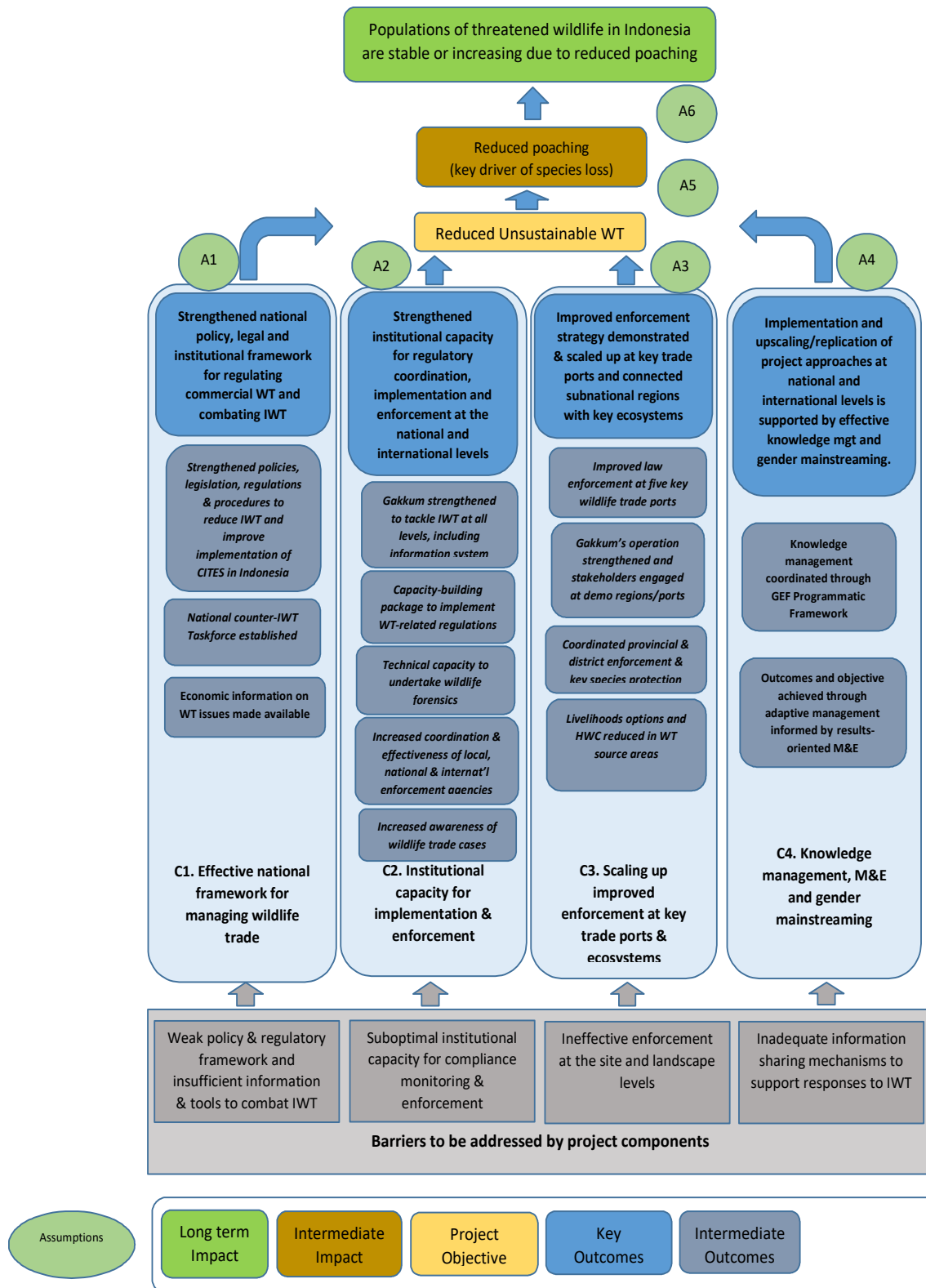


Table 1. Assumptions for Theory of Change Diagram

Code in Fig. 2	Assumption	Notes and References
A1	<i>There is sufficient political will to support revision of key policies, laws and regulations</i>	Progress is already being made towards revising the Conservation Act UU5/1990 and the Protected Species List GR7/1999 through a collaborative review process, which this project will support and inform. See baseline policy assessment by IPB (2016a) and WCS 2015b.
A2	<i>There exists willingness to cooperate between the relevant law enforcement agencies</i>	There are examples of existing collaboration, including the highly successful Wildlife Crime Unit (WCU) established in 2003 and operated by WCS in collaboration with a range of Indonesian government agencies, which this project will upscale. See WCS 2015a.
A3	<i>Provincial and district government agencies and port authorities are motivated to improve monitoring and enforcement of unsustainable and illegal wildlife trade</i>	There are examples of collaborative efforts in Sumatra, including joint patrolling and human wildlife conflict response teams. The WCU has conducted successful sting operations at certain ports in recent years, resulting in successful convictions of illegal wildlife traders. See WCS 2015c, 2015d, IPB 2016c.
A4	<i>Stakeholders responsible for hosting the information system, providing data and information and making use of the information are willing to collaborate and share information and resources openly.</i>	Focus Group Discussion held during the PPG in March 2016 with all relevant stakeholders indicated high interest in collaboration on wildlife enforcement and in sharing data and information (IPB 2016b). The WCU has also made use of information from different agencies to inform its operations. However, such data sharing is currently patchy and unstructured.
A5	<i>Demand from the unsustainable legal and illegal wildlife trade is a key driver for poaching activities</i>	Challender et al. 2016; Bennett 2015; WCS 2015a, Nijman et al. 2012; Lyons et al. 2013, etc.
A6	<i>Poaching is in reality a major negative factor impacting populations of globally threatened species in Indonesia</i>	See WCS 2015a for profiles of key species in wildlife trade in Indonesia; see IUCN Red List for key endangered species impacted by poaching and illegal trade.

References for Assumptions in Table 1

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- WCS 2015c. Traders of One of Indonesia’s Most Hunted Bird Species Arrested. <https://newsroom.wcs.org/News-Releases/articleType/ArticleView/articleId/6830/Traders-of-One-of-Indonesias-Most-Hunted-Bird-Species-Arrested.aspx>
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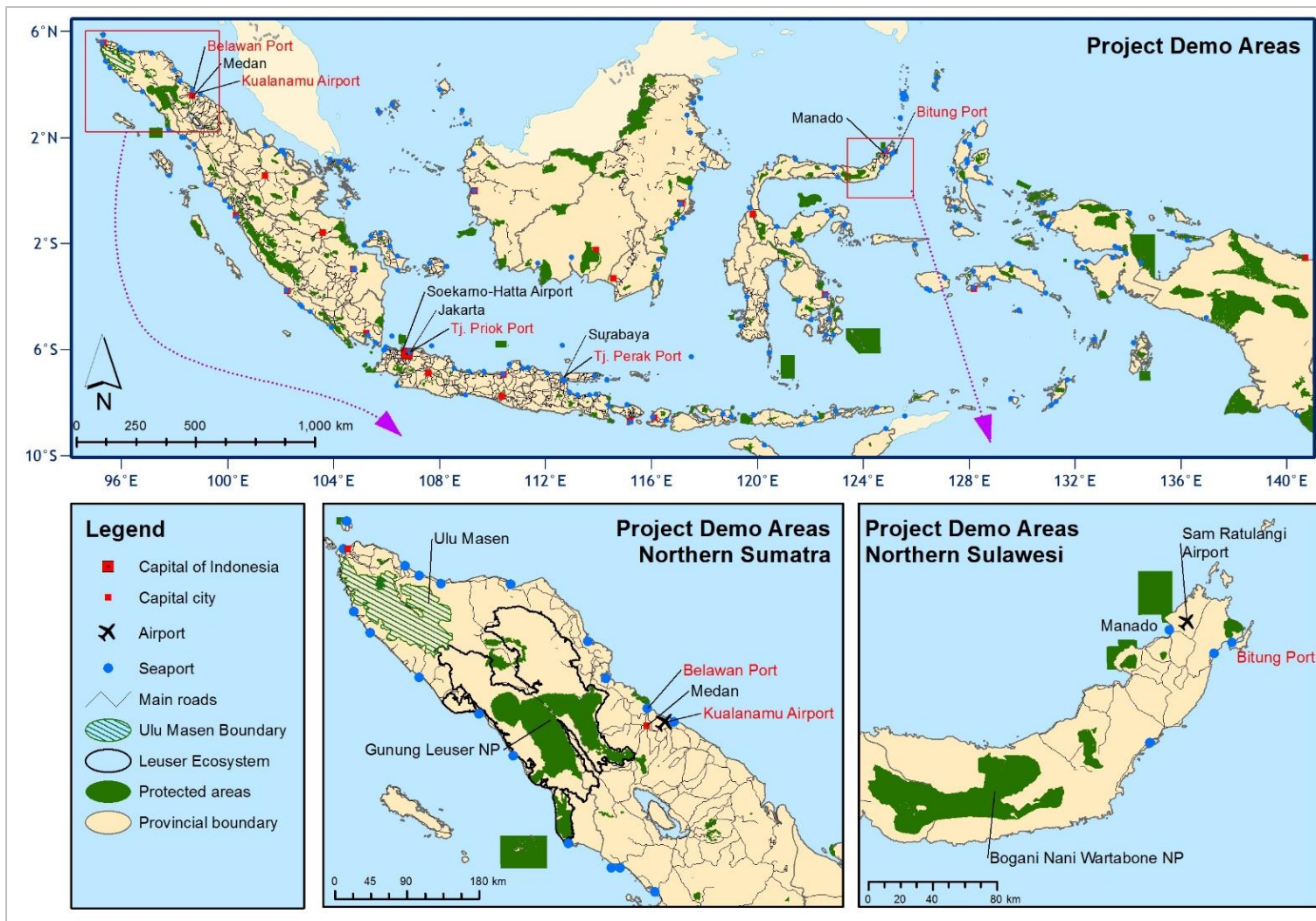


Figure 3. Map showing project demonstration regions and ports (Source: WCS).
 Note: Demonstration ports are shown in red text

IV. RESULTS AND PARTNERSHIPS

i. Expected results (see Fig. 4)

50. The project is designed to achieve the following **Long-Term Impact or GEB**: populations of threatened wildlife in Indonesia are stable or increasing. While this project will have a broad impact across the country through its integrated approach, specific benefits are anticipated for targeted threatened wildlife populations in its two demonstration sub-regions. These include 10% population increases from 2015-2019 for: Sumatran Tiger (baseline of 0.53 tigers/100km²); Sumatran Elephant (baseline of 490-520 individuals); and Sumatran Rhinoceros (baseline of 38 individuals). The project will also target highly threatened and endemic wildlife in northern Sulawesi including Babirusa, Anoa and Black-crested Macaque for which baseline population estimates are not currently available.
51. The Long-Term Impact will be achieved through reduction of poaching as the key direct threat for wildlife (**Mid-Term Impact**). This includes a 40% reduction in poaching of Sumatran Tiger (baseline of 5 poached) and Sumatran Elephant (7 poached), 100% reduction in poaching of Sumatran Rhinoceros (1 poached); and 40% decrease for Anoa (10 poached), Babirusa (12) and Black-crested macaque (TBC).
52. Reduction of poaching will be possible via achievement of the following project **Objective Outcomes**:
- *Increased number of inspections/patrols, seizures, arrests and prosecutions of illegal wildlife traders and poachers (>25% increase in seizures/arrests from baseline and >75% cases prosecuted – over baseline of: From mid-2015 to mid-2016: The WCU facilitated law enforcement operations for 31 cases with 55 people arrested and taken to court. Of those with a known outcome, 41 were prosecuted (100% prosecution). This is for terrestrial species in Sumatra and Java).*
 - *Reduced Unsustainable Wildlife Trade, indicated by a stable/declining trend over baseline of 4666 wild animals seized from 34 protected species (DG Law enforcement, 2016)*
 - *Increased number of local people benefiting from wildlife conservation. At least 2100 government staff improved knowledge on IWT (1050m/1050f); and at least 600 local people in project demonstration areas benefit directly from project intervention (300m/300f).*
53. The GEF funding requested by the MoEF will be used to achieve the Objective Outcomes through achievement of four integrated and complementary Outcomes:

Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.

Accordingly, the following key legislation gaps will be addressed by improved IWT legislation documents approved by Government:

- Minimum fines and sentences increased to provide deterrent effect
- Non-native endangered species including elephant, rhinoceros, big cat and pangolin species given legal protection
- Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species
- Authority of forestry civil investigators improved
- Detention/prison evaluation for creating deterrent effect and rehabilitation for criminals
- Online trade regulation to address online wildlife trafficking.

Two policy (UU5 – Biodiversity Conservation Act, PP7 – Protected Species List) revisions legalised; 3 other policy revisions finalised and undergoing final legalisation process.

Support provided for CITES implementation, permitting process/listed species, and regulatory mechanisms (CITES technical training and piloting CITES e-permits).

In addition, an inter-agency taskforce will be put in place to increase coordination and cooperation amongst relevant agencies in their counter-IWT actions.

Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.

UNDP Capacity Score for law enforcement agency Gakkum (see **Annex 18**) increased from 60% to 80%.

Official national statistics on seizures/arrests and prosecutions will show a >25% increase in seizures/arrests from baseline and >75% cases prosecuted.

At least three joined up transnational counter-IWT operations will be conducted by the end of the project, reflected by an increased annual number of seizures as a result of these operations.

A Gakkum information system is fully operational to provide intelligence/cybercrime analyses, operated by trained staff, covering all IWT priority species and supported by protocols for information sharing; with technical expertise provided from the WCS-WCU.

Training materials accredited by at least 5 agencies (DG Law Enforcement, INP, AGO, MMAF, Customs, Aviation/Ports authorities, quarantine); At least 200 enforcement staff including judges with improved knowledge on IWT.

At least 2 training courses run for Gakkum on forensic analysis techniques (including securing crime scene, DNA sampling, etc).

Strengthened national implementation of CITES; at least 3 agreements concerning IWT established on bilateral collaboration with key countries and under implementation.

Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems

Increased enforcement effectiveness at 5 key trade ports indicated by a 50% increase in PortMATE assessment tool scores (average score for KSDA, Customs, Port Management Authority at each port).

Effective enforcement of two sub-national regions known to include significant wildlife trade routes, measured by¹⁹: 25% increase in the annual number of IWT seizures, IWT investigations leading to arrests and successful IWT prosecutions at the project sites.

Gakkum (as a new agency) supported to establish/expand in northern Sumatra and northern Sulawesi demonstration regions.

¹⁹ Note – the expected trend would be initial increase in seizures/arrests and prosecutions as enforcement is strengthened, followed by an eventual decrease as increased awareness and deterrence take effect. The timeline for this process is unclear, but the latter stages are likely to occur after the end of the project

Increased engagement of local communities in patrolling, market surveillance, local informant networks and HWC reduction, in collaboration with ongoing activities (including GEF Tigers and EPASS projects).

Increased coordination of information through CID, customs, quarantine, immigration, anti-corruption agency and other information systems to combat IWT.

Clear reporting and feedback system established between the sub-national and national level agencies.

Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming

At least 5 project lessons used by other national and international projects.

At least 10 national and international organizations participate in the project M&E and adaptive management.

Gender is systematically incorporated into project implementation and M&E according to the project gender mainstreaming strategy.

54. The outputs (the project's products and services) suggested to achieve the Outcomes are described below:

Component 1: Effective national framework for managing wildlife trade.

Total Cost: US\$3,048,000; GEF project grant requested: US\$1,048,000; Co-financing: US\$2,000,000

Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.

Output 1.1: Amendments and drafts for policies, legislation, regulations and procedures to reduce illegal wildlife trade and improve implementation of CITES in Indonesia are developed and legal adoption processes supported

55. Despite a comprehensive framework of laws and subsidiary regulations designed to halt the loss of wildlife to poaching and trafficking, a number of legal loopholes and inconsistencies in rules and practice allow poachers, traders, shippers and buyers of illegal wildlife to evade investigation, arrest and prosecution in Indonesia. A baseline report has been prepared identifying the key weaknesses in the current legal and regulatory framework on wildlife crime in Indonesia (see **Annex 15**). Key recommendations include the reform of PP7/1999; establishing MMAF as a CITES management authority with necessary implementation regulations that are CITES compliant; reform of UU5/1990 to incorporate the current CITES listed species and stiffen fines and penalties; ensure non-native CITES-listed species are subject to the same legal controls as native species; and mandating conservation measures for protected species outside of conservation areas.

56. The MoEF and LIPI, with technical support from WCS, are building upon the findings of this report through updating and amending PP7/1999 and UU5/1990, which includes, for example, stiffer fines and penalties for wildlife crimes. The GEF project has been designed to fully complement these ongoing efforts by facilitating ongoing dialogue through focus group discussions (FGDs) and workshops, engaging with parliament, and supporting subsequent revisions to policy drafts until they reach completion. In parallel, high-quality research that identifies gaps, weaknesses, needs and makes feasible recommendations for revisions of other policies is currently being conducted. The results will be presented in academic policy papers and disseminated and discussed through FGDs and workshops. Thus, in the GEF project, it is envisioned that it will support these efforts through creating expert working groups (*POKJA*) that partner with key government institutions that discussing and then call for the issuance of a new Ministerial Decrees or other policy reforms, with appropriate technical support provided thereafter. Building on the reforms to

PP7/1999, the project will provide MoEF, as the CITES management authority, and likely MMAF, as the intended CITES authority for marine species, with policy studies on Indonesian species being traded at unsustainable levels and therefore in need of stronger CITES regulation and emerging opportunities such as introducing CITES e-permitting as a means of reducing fraudulent documentation and improving administrative efficiency. A successful example exists in the Government of Indonesia's proposal to list helmeted hornbill as an Appendix I species, which was ratified at COP17. Indicative activities under Output 1.1 include:

- Conduct workshops and follow up discussions on policy revisions, such as,
 - Confirmation of policy, legislative and regulatory needs for key partner agencies through a national workshop
 - Finalization of new/revised Act to replace UU5/1990 and its derivatives (PP7/99, PP8/99, which are associated with wildlife trade) changes to the draft policy (identification of names of species)
 - Protection of non-native species
- Support CITES implementation, permitting process/listed species, and regulatory mechanisms (CITES technical training and piloting CITES e-permits).

Output 1.2: Proposal for a National Wildlife Crime Taskforce for improved collaboration amongst responsible agencies is developed and operationalized during the project

57. To improve intersectoral coordination and cooperation at the national level, the project will support the conceptualization, development and operation of an inter-agency National Wildlife Crime Taskforce. This will first involve a review of the organizational options for improving coordination across the range of national agencies involved in fighting wildlife crime, including MoEF (particularly *Gakkum*), MMAF, Police, Attorney General, Customs, *PPATK*, *KPK*. The Taskforce is intended to provide an interface between key government agencies and lead law enforcement actions, as necessary, to share information, interdict and prosecute major illegal wildlife traders and others who operate across provincial and national boundaries where capacity and safety of forest officers and police officers is in question at a landscape level. Once the Taskforce has been established it will hold regular meetings between the key partners to monitor progress against the strategy's targets and to refine the strategy, as needed. The Taskforce will also be able to provide direct support to the priority landscapes of Leuser and northern Sulawesi, as well as the target ports (in Outcome 3). Indicative activities under Output 1.2 include:

- Develop proposal for a National Wildlife Crime Taskforce, facilitate its establishment and develop national multi-agency strategy for tackling IWT, with phases as follows,
 1. Preparation of proposals - meetings, drafting agreement and SOP (including development of inter-agency agreements for information sharing)
 2. Facilitate the establishment of a National Wildlife Crime Taskforce
 3. Taskforce develops a national (multi-agency) strategy for tackling IWT
 4. Capacity building (including workshops on data collection, management and data sharing, procedures).

Output 1.3: Economic assessments conducted to quantify the value of legal and illegal wildlife trade and its impacts on the national economy and to assess the feasibility of cost-recovery mechanisms

58. This output represents action to follow up on an important gap in Indonesian policy towards addressing IWT. There are two parts to this output: i) providing evidence that describes the annual economic loss to the Gol from wildlife trade, either through poor management of the legal trade or the loss of protected species and their habitat and the wider impacts that this can have, e.g. loss of ecosystem services; and, ii) investigating whether these values can be used as a reference point in the prosecution of IWT cases, just as

fraud cases are linked to economic losses with those convicted having assets seized to the value of the estimated loss. For IWT, this might include seizing a fishing boat used for catching protected species (e.g. manta rays for their gill-rakers) or wildlife trafficking, which would then become the property of the state. At the moment the assets remain the property of the individual, reducing the disincentives to wildlife crime and enabling criminals to carry on once they are out of jail. The policy reform work in Output 1.1 would explore options for cost recovery from successful prosecutions and confiscations that would allow for revenue generated from asset seizures or fines to be invested back into law enforcement.

59. The IWT inflicts significant costs on the environment and on society. While these costs are often conceptualised in terms of non-monetary impacts on biodiversity, they can also be quantified and valued. These include the market values of wildlife, which are particularly notable for high-value species that play important roles in the broader economy, such as for fisheries and timber, where IWT compromises sustainable harvest opportunities and tax revenues. There may also be costs associated with cultural losses to society and with reintroduction or increased conservation efforts, such as additional monitoring and enforcement. Despite these impacts, the true costs of damage are rarely experienced by the perpetrators of IWT. Even when caught and prosecuted, illegal harvesters, intermediaries, vendors and consumers are more often targeted with small fines and jail sentences - even in cases that involve large-scale commercial IWT and egregious environmental harm. Thus, activities in this output will explore ways in which damages from IWT can and/or are measured and used in legal liability suits in Indonesia, particularly in cases common to the highly prized wildlife species prioritized in this project. Once the cost has been quantified, the project will review the mechanisms currently in place that would enable recovery of the loss, including possible modifications, or suggest alternative mechanism to achieve this. Indicative activities under Output 1.3 include:

- Conduct an economic assessment to quantify the value of legal and IWT, loss to national economy, related issues
- Conduct a feasibility study on cost-recovery mechanisms to enable IWT seizures/confiscations etc to support enforcement activities, especially in landscapes
- Consider whether action is needed to follow up on / operationalize these studies.

Component 2: Institutional capacity for implementation and enforcement at the national and international levels

Total Cost: US\$12,212,000; GEF project grant requested: US\$2,212,000; Co-financing: US\$10,000,000

Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels

Output 2.1: Strengthened capacity of Gakkum to tackle IWT

60. The WCS Indonesia Program established the WCU in 2003, as part of an innovative partnership designed to combat illegal wildlife trade in Indonesia. The partner base is both strong and diverse including MoEF, MMAF, INP, Attorney General, Customs and excise; PPTAK; civil society and media organisations. Over 290 cases have been prosecuted by law enforcement agencies based upon information from the WCU, including the 10 largest wildlife crime cases in Indonesia, with a success rate of >85%. This is unparalleled in the Southeast Asian context, and the WCU is the most successful example of an approach to combat illegal wildlife crime in the region. In this project, WCS will provide technical assistance to Gakkum and scale-up lessons learned from 10 years of operating the WCU, to address the systemic institutional and capacity barriers that limit effective national-level action on illegal wildlife trade in Indonesia and the region. Under this Output, this will include strengthening Gakkum's capacity at the national level, including the ongoing development of i2 criminal network mapping and analyses, tackling online trade, and developing high-quality briefing papers. The project would provide the expertise to support Gakkum in establishing its own i2 system because at present strategic planning is not based on reliable intelligence data which limits the

effectiveness of subsequent law enforcement operations. This means that the intended targets may not be the most cost-effective ones to invest limited resources in. The i2 system has been demonstrated to address these issues because it maps criminal networks and identifies the central nodes (key actors within the network) to then target for greatest impact on the network.

61. To tackle online IWT, the INP's Cybercrime Division, the WCU and social networking companies, such as Facebook, whose networking platforms are being used by online wildlife traders have begun working together. Despite being still in its infancy, there is a high willingness and commitment by these organisations to work together to identify, monitor and intercept illegal online traders through tracking key words/phrases, testing search algorithms, shutting down errant accounts and arresting illegal traders. In 2016, the Facebook (FB) Head, Trust & Safety for the Asia-Pacific region met with the Indonesian National Police to discuss procedures for reporting illegal material being advertised on FB and separately with WCS to discuss addressing IWT issues. The GEF project would advance these discussions by developing a partnership with FB to tackle IWT in Indonesia. Both of these themes could form part of the GoI's commitment as stated in the Hanoi Statement on IWT (see more detailed description in Output 2.1). Here, the GoI committed to strengthen institutional and personal capacity to monitor and detect illegal wildlife trafficking by investing in developing and establishing an analytical room for wildlife crimes, particularly for tackling cybercrime.
62. The above actions will underpin and support the subnational strengthening of Gakkum's approach that will be progressed in Output 3.2, which will greatly expand its scope and impact in northern Sumatra and northern Sulawesi. Indicative activities under Output 2.1 include:
 - Provide technical assistance to strengthen Gakkum to operate in Sumatra, Java, and Wallacea region, with support from WCS-WCU
 - Strengthen DG Gakkum's national database; Support facilities/equipment for database management in an Operations Room; Provide training on database management to relevant officers; Initiate standardized data collection, with support from the WCS-WCU
 - Technical assistance to Gakkum to analyse online marketing information to identify and intercept shipments and domestic trade, support provided by WCS-WCU
 - Provide technical assistance to Gakkum to conduct research on wildlife trafficking, producing various peer-reviewed articles, with support from WCS-WCU.

Output 2.2: Training modules and standard operating procedures (SOPs) are developed for integration into government training programmes

63. To have an impact, project monitoring and evaluation will feedback into government planning, and existing human resources and financial management practices will be improved towards incentive-based systems that promote motivation by rewarding success. The partnering institutions (in particular MoEF, INP and Customs and Excise) will be supported to identify and introduce appropriate incentive structures to improve staff performance and national/site-level institutional performance. Incentive mechanisms, such as accreditation or career points, for increasing the motivation of field staff will be considered. Overall, improvements in staff capacity here should lead to Key Performance Indicators set by national government being achieved, as well as the GEF targets.
64. The project will significantly invest in capacity building of various government institutions to raise awareness of illegal wildlife trade as a serious crime, Indonesian law pertaining to this, the respective institutional mandates for tackling the trade and, ultimately, strengthen the government's ability to achieve successful detections, arrests, prosecutions and deterrent sanctions. A training syllabus consisting of a set of thematic modules, tailored to each institution, will be developed. Incentive mechanisms, such as accreditation for career points, for increasing the motivation of field staff will be included. The formal adoption of the training syllabus will enable it to be included in annual work plans that are sustainably

financed by government. Expert training will be supported by WCS, for which there are past successes with the police, MoEF, Attorney General and others. After this, a Training of Trainers course will be run for government institutions own trainers, who will then go on to run future training courses.

65. In late 2016, a training needs assessment (TNA) was conducted for the relevant law enforcement agencies. The aim of the TNA was to identify gaps in the operationalization of regulations on wildlife crime. The TNA draws upon interviews with officials from the Director General of Customs and Excise, INP, Supreme Court, Attorney General's Office (AGO), PPATK, Quarantine, Corruption Eradication Commission and Gakkum-MoEF. This supplements a desk review of regulations on wildlife, law enforcement and capacity building in each agency that was also conducted by WCS. These two sources of information have been used to determine the type of capacity building that is needed for each agency and how best to deliver it. In summary, this includes:

- Gakkum – i2 database, wildlife law and valuation on environmental damages.
- INP – evidence handling, wildlife forensics, i2 database, wildlife law (including online trading), and valuation on environmental damages.
- AGO - evidence handling, wildlife law (including online trading) and valuation on environmental damages.
- Customs - wildlife identification, evidence handling, coordination mechanism with Quarantine, MMAF and BKSDA on handling wildlife cases at seaports and airports.
- Supreme Court - evidence handling, wildlife law (including online trading), valuation on environmental damages and inserting these issues into pre-existing training modules.
- PPATK - i2 database on wildlife and valuation on environmental damages.
- Quarantine - evidence handling, coordination mechanism with Quarantine, MMAF and BKSDA on handling wildlife cases at airports.

66. To support the training, WCS has recently finalised a technical agreement for capacity building of INP through its Police Education Agency (or Lembaga Pendidikan Kepolisian, LEMDIKPOL) and in 2017 will sign a training agreement with the Deputy Attorney General for General Crimes (or Jaksa Agung Muda Tindak Pidana Umum, JAM PIDUM) and Gakkum. Indicative activities under Output 2.2 include:

- Embed wildlife crime arrests/investigations within job descriptions and/or within performance criteria required for achieving promotion
- Develop training modules with various agencies (e.g. detection, species identification, investigators, prosecutors, international conventions/agreements)
- Deliver high quality training in priority topics.

Output 2.3 DG Law Enforcement and other key agencies are trained in wildlife forensics techniques and provided with necessary equipment and expert support

67. The project will support the WCU to expand its national partner base to include the Eijkman Institute and TRACE Wildlife Forensics Network to support the Indonesian law enforcement agencies in forensic techniques. The TRACE Wildlife Forensics Network is an international NGO established in 2006 that aims to promote the use of forensic science in biodiversity conservation and the investigation of wildlife crime. TRACE undertakes research and development of new techniques as well as delivering training and capacity building in wildlife DNA forensics. It led the ASEAN-WEN Wildlife Forensics Project and has conducted training for Indonesian forensic scientists. Eijkman Institute is a non-profit, government funded research institute conducting basic research in medical molecular biology and biotechnology, located in Jakarta, with expertise in forensic science. For example, in 2015, a training program to build knowledge sharing and understanding of forensic techniques was held by the Eijkman Institute in collaboration with The Society of Indonesian Science Journalists (SISJ) in Jakarta. The Eijkman Institute is able to identify species from wildlife

parts and products using genetic analyses, as part of forensic evidence gathering by government agencies involved in wildlife trade and crime. The training program's objective was to provide updates on forensic techniques for species identification conducted by the Eijkman Institute in order to support the work of police and civil investigators. This is important for analyzing DNA samples from confiscated species to firstly determine whether it is protected under Indonesian law (so cases can therefore be prosecuted) and to track trends in species being traded, both native and exotic. Thus, training and capacity building will be provided for the relevant government institutions and a partnership developed and maintained to enable the rapid analysis of future DNA samples from wildlife. Indicative activities under Output 2.3 include:

- Preparation for improved investigator training in forensic analysis, in the following phases:
 1. training needs assessment
 2. training module/SOP design
 3. TOT module/SOP
- Training for improved investigator training in forensic analysis (including securing crime scene, DNA sampling)
- Collaboration with Eijkman Institute and litbang hut (FORDA) for technical support for laboratories.

Output 2.4: Drafts of International Agreements on IWT control are prepared; collaboration with international agencies is facilitated; participation of Indonesia representatives in ASEAN WEN and CITES is supported

68. Regionally, mechanisms such as the ASEAN Wildlife Enforcement Network (WEN) and SA WEN, and intentionally, INTERPOL offer opportunities for collaboration in tackling illegal wildlife trade. The project will ensure that mutual legal assistance treaties are in place and organize annual meetings of frontline enforcement officers from Indonesia (especially Gakkum), Vietnam, and China to facilitate joint planning and intelligence-sharing. This is therefore intended to enhance regional collaborations between Government of Indonesia law enforcement agencies and other Southeast Asian nations (especially Vietnam, a prime destination for Indonesia's wildlife) and international bodies (such as INTERPOL).
69. Previous dialogue between the governments of Vietnam and Indonesia on wildlife law enforcement resulted in a memorandum of understanding (MOU) between the Vietnam Administration of Forestry and the Indonesian Directorate General of Forest Protection and Nature Conservation on cooperation in wildlife law enforcement (December 2012). The objective of the MOU is to promote the cooperation between two countries to eliminate the illicit trafficking of protected wildlife. The area of cooperation includes information sharing, capacity building, enforcement cooperation and awareness. This was followed by the formation of a joint Taskforce for combating transnational trade in pangolins and in 2013 by the signing of a mutual legal assistance treaty (MLAT) on criminal matters related to IWT, which was ratified in Indonesia through Law no. 13/2015. Most recently, representatives from the two government agencies held a side meeting at the Hanoi Conference on IWT (November 2016). Here, an informal lunch meeting between the Deputy Director of the CITES MA of Vietnam and Deputy Director of Forest Crime Prevention and Forest Security (*Gakkum*, MoEF) was organised to discuss preparations for a formal meeting to revisit the MoU and its implementation. The formal meeting was planned for 23 February 2017 in Hanoi, with the objective to revisit the MoU and promote cooperation on law enforcement to strengthen commitments to jointly dismantle wildlife trafficking networks. This forms part of the GoI commitment, as stated in the Hanoi Statement on IWT, to continue to strengthen law enforcement efforts through existing cooperation agreements with other countries which also aimed to reduce demand of IWT. The GEF funds will be used to support the development of technical briefings and situation analysis documented in preparation of government-to-government meetings. This may also include costs incurred for meetings held prior to the main one to disseminate document information and achieve consensus on a well-understood GoI position. The direct travel and meeting costs for GoI staff to attend official meetings would be covered by GoI co-financing for the project. Indicative activities under Output 2.4 include:

- Provide technical assistance to support the GoI in national agreements/initiatives related to IWT
- Provide technical assistance to support the GoI in participating in international agreements/initiatives related to IWT (international meetings - e.g. CITES, INTERPOL, ASEAN-WEN) and to establish and implement agreements for strengthened bilateral collaboration (Indonesia-China, Indonesia-Vietnam and Indonesia-US).

Output 2.5: Communication Strategy and social marketing campaigns to increase awareness on IWT are implemented at national and regional scales

70. WCS will work with government partners to design and test social media campaigns that target a reduction in demand for a specific species, particularly ones that are threatened by domestic consumption (such as wild birds, sharks, babirusa, anoa and elephant). Any investment in demand management will focus on changing prevailing widespread social norms. For example, the common practice of keeping wild-caught birds for pets – rather than focusing on broad information and education campaigns, which do not promote widespread change in behaviors and norms associated with domestic consumption of illegal wildlife. Any such effort will include a credible method of monitoring and measuring the campaign’s impact. WCS programs in China and Vietnam have a lot of practical experience in running demand reduction campaigns and the project can learn from these and other initiatives, such as Save the Shark. Indicative activities under Output 2.5 include:

- Develop and implement project communications strategy to reduce IWT demand and update the strategy annually.
- Develop and support a systematic approach to increase media coverage of IWT cases
- Use social/online media to distribute IWT case information
- Support targeted awareness campaigns.

Component 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems

Total Cost: US\$32,121,500; GEF project grant requested: US\$3,121,500; Co-financing: US\$29,000,000

Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems

Output 3.1: Capacity development supported at demonstration ports including training of key agency staff on CITES and IWT control with focused attention on Surabaya port

71. The project will pilot the PortMATE (Port Monitoring & Anti-Trafficking Evaluation) tool developed by and with support from the UNDP/GEF *Ports of Excellence* project (UNDP portion of component 2 under PIMS 9211 *Coordinate Action and Learning to Combat Wildlife Crime*). This will involve adapting and developing it for use during the assessment of the project demonstration ports. The PortMATE assessment focuses on six sections, namely Management and Administration, Information and Intelligence, Detection, National Investigations, International Cooperation and Criminal Justice. While Customs and Excise is the key government institution partner to be involved in the assessment, the tool has wider applicability and other relevant institution, such as Quarantine, INP and Gakkum, should also participate. Following baseline assessments at the other ports, a review will be conducted to determine the use and usefulness of PortMATE and its potential for replication across Indonesia.
72. Building on the baseline assessments at each port, the project will support capacity-building programs covering both systems enhancement to improve customs surveillance and training to build staff skills in wildlife law enforcement. The four ports will be invited to participate in joint training on controlled deliveries, strengthening South-South cooperation in combating wildlife crime. The ports will be the first to

participate in the innovative *Ports of Excellence* best practice scheme and network that will be developed by the global UNDP-GEF project.

73. The Government of Indonesia has been invited by UNDP to participate in the *Ports of Excellence* project through the inclusion of Tanjung Perak (Surabaya) as a key port²⁰. This would allow for Tanjung Perak to become a founding member of the *Ports of Excellence* network and consequently one of the first ports to strive towards achieving the 'Port of Excellence' best practice standard and associated global recognition. Accordingly, a higher level of intervention is intended for Surabaya port, to be based on a more detailed assessment followed by substantial support for capacity building and monitoring. Importantly, these activities will not only help combat wildlife trafficking, but will increase the efficiency and effectiveness of customs clearance processes through the use of cutting-edge technology that drastically reduces clearance time while simultaneously targeting screening of high-risk containers and improved detection techniques. The support provided would include the installation of a paperless container processing system and a world-leading fully-automated risk analysis engine. These actions should lead to lower operational costs, a higher rate of seizures and increased trade resulting from enhanced port operations. In combination, they offer the potential of significantly increased customs revenue. Indicative activities under Output 3.1 include:

- Use of PortMATE assessment tool to track improvements in enforcement at all five ports in line with the global wildlife trafficking and ports project
- Capacity building / training activities at all target ports (taken from global ports project)
- Higher level capacity development, feasibility assessment and potential piloting of enhanced customs system at Surabaya port as contribution to / with TA from the global wildlife trafficking and ports project
- Information sharing mechanisms (national level forum discussion between relevant agencies)
- Review options for development of wildlife handling facilities for each port, with trained staff, and procedures for how to dispose of confiscated wildlife quickly and efficiently in terms of welfare, supporting conservation efforts, etc., without impacting legal evidence requirements for cases in line with CITES COP17 guidance²¹.

Output 3.2: Inter-agency coordination mechanisms for addressing IWT are developed and introduced for the selected subnational regions and ports

74. Further to national level strengthening (see Output 2.1), the WCU technical assistance to Gakkum supported by WCS will continue to enable the operationalization of Gakkum teams in the selected subnational regions (Sumatra and Sulawesi) and target ports. Here, the project aims to improve efficiency and effectiveness within key law enforcement agencies through strengthening the institutional basis for detecting, investigating, arresting/seizing and prosecuting cases of illegal wildlife trade at the subnational level, including ports that have tended to receive little attention. Based on the establishment of a fully functioning multi-agency national taskforce (Output 1.2), the project will socialize its purpose, roles and responsibilities, and action plan/strategy to the subnational agencies. This will provide the opportunity to discuss the implementation of a counter-wildlife trafficking enforcement system that the project will then design for northern Sumatra and northern Sulawesi. Thus, a workshop will be organised to discuss the feasibility, efficiency and usefulness of a subnational forum, as well as raising awareness over illegal wildlife trade and identifying capacity building needs. Workshop participants will include MoEF, INP, Customs and Excise, prosecutors, judges etc. This forum will be used to facilitate the development of interagency counter IWT agreements for database and information sharing. Indicative activities under Output 3.2 include:

²⁰ These initial negotiations are still in progress with Customs Dept

²¹ CITES, September 2016. ESTABLISHING AND WORKING WITH RESCUE CENTRES DESIGNATED UNDER CITES. White Paper Prepared by Members of the Species Survival Network (SSN) Animals in Captivity Working Group (AiCWG). Seventeenth meeting of the Conference of the Parties Johannesburg (South Africa), 24 September – 5 October 2016. CoP17 Inf. 74

- Develop a subnational inter-agency communication forum to facilitate inter-agency coordination for each demo region based on series of stakeholder consultations to detail wildlife trade chains, key species involved, key actors etc.
- Coordinate information through CID, customs, quarantine, immigration, anti-corruption agency and other information systems to combat IWT.

Output 3.3: Gakkum's operations strengthened and key stakeholders effectively engaged in the western and eastern Indonesia demonstration sites including capacity development for SMART patrolling

75. Technical assistance will be provided to support Gakkum to expand and intensify its operations in the northern Sumatra and northern Sulawesi demonstration regions and ports. It will build on the inter-agency partnership developed in Output 3.2 but also actively engage NGOs and community groups to collaborate in tackling IWT in these two regions. The actions in this Output will include: i) institutionalization of inter-agency joint action at the site level; ii) establishment and operation of informant networks in forested landscapes and major trade centres gathering evidence for government to prosecute crimes; iii) collaborating with local enforcement agencies, building the understanding of prosecutors and judges to ensure that cases are fully and fairly administered; and, iv) working with media to keep the judicial proceedings transparent.
76. The two protected areas within the demonstration regions include the second largest in Sumatra (Gunung Leuser NP) and the largest in Sulawesi (Bogani Nani Wartabone NP) both of which are strongholds for many of the project target species that are heavily traded through the related targeted ports (Belawan, Kuala Namu and Bitung). Much of the SMART patrol work in Gunung Leuser will be covered by the UNDP/GEF Tiger project, whereas the SMART patrols in Bogani Nani are not covered in E-PASS (except for some training) and it is important to have an eastern Indonesia demonstration site. A national MoEF SMART Taskforce was established in 2016, which represents a major milestone in institutionalizing SMART. To support efforts to increase the MoEF allocation of funds for operating SMART systems, it is essential to support the realisation of several successful examples of how SMART can be used to increase PA management effectiveness. There are parallel efforts being conducted to explore sustainable financing options for PAs. Here, the Government with support from WCS is currently conducting a PA funding needs review, using Leuser as a case study, as a means to develop effective arguments for increasing Conservation Area financing and work with government to identify opportunities to filling these gaps from government resources or through different funding schemes. Thus, the GEF IWT project will be used to support Bogani Nani patrols, and will be used to demonstrate its complementary landscape level links with ports in both the Sumatra and Sulawesi demonstration areas, which in combination makes a strong case for it being funded and supported by multiple agencies. Next, local communities will partner with government rangers in conducting SMART patrols, as urban and rural based informants who will monitor and report IWT and as assistants in local market bushmeat surveys. The GEF funds would be used to support community rangers and not government rangers. The funds would also be used to equip the community rangers and to enable WCS to provide technical assistance, such as through SMART training of rangers and limited supervision/support thereafter as the government incrementally takes full responsibility and ownership here.
77. Advice on law enforcement training such as SMART-RBM patrolling for PA resort management staff will be provided. A key aspect of reducing illegal poaching and wildlife trafficking is to establish a system which allows patrol rangers within each PA to systematically record and monitor progress on tackling poaching and illegal activities within park boundaries. SMART (Spatial Monitoring and Reporting Tool) is a best practice adaptive management approach, which is supported by software that has been designed based on information derived from wide consultation with governmental and non-governmental conservation

practitioners worldwide. SMART combines a ranger-based data collection tool and a suite of best practices to help PA and PA managers better plan, evaluate, and implement conservation activities. WCS is one of the leading proponents of SMART in Indonesia, and has worked alongside KSDAE to institutionalize the use of SMART in 3 national parks in Sumatra. This deliverable will strengthen capacity to monitor and combat poaching that is linked to IWT and bushmeat trade, contribute towards WCS advisory support to EPASS on SMART-RBM development in the 3 focal PAs (SMART training in Bogani Nani Wartabone National Park is already underway in 2 resorts by WCS) and ensure that the database architecture and staff capacity exists for the proper management and analysis of data from patrols. Indicative activities under Output 3.3 include:

- Provide technical assistance to support Gakkum to establish/expand in northern Sumatra and northern Sulawesi demonstration regions, technical assistance provided by WCS-WCU, including training in SMART patrolling for Gakkum and related PA staff
- Engagement of local communities in patrolling, market surveillance, local informant networks, in collaboration with ongoing activities (including GEF Sumatran Tigers and EPASS projects).

Output 3.4: Livelihood options and HWC reduction mechanisms developed and introduced to local communities in wildlife trade source areas

78. The project's activities will respond to the anticipated effects of tackling IWT on women and recognize the gender-differentiated impacts that this may have on men and women and their households. These activities will focus on communities in identified source areas for IWT within the two demonstration landscapes, supported by awareness programmes and efforts to greatly reduce their conflicts and economic losses to problem wildlife. Indicative activities under Output 3.4 include:

- Engage local NGOs/CSOs to conduct awareness programmes in schools, churches, mosques, and community centres and capacity development for communities
- Employment of local people as community rangers, informants and wildlife conflict enumerators
- Targeted support for response to HWC issues in priority IWT source areas including crop and livestock protection (WRUs).

Component 4: Knowledge Management, Monitoring and Evaluation and Gender Mainstreaming

Total Cost: US\$976,500; GEF project grant requested: US\$276,500; Co-financing: US\$700,000

Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming

Output 4.1: Knowledge management is coordinated with other GEF projects through the GEF Programmatic Framework to Prevent the Extinction of Known Threatened Species

79. This project is part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and also the *GEF Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (9439 – Resubmission of 9071)*. Under this programmatic framework, with coordination through the programme steering committee, coordinated knowledge management and cross-fertilisation of the individual regional and national projects will be assured. In addition, the design of the project incorporates a number of features related to strengthening the country's knowledge management system and capacity. This includes publication of project discussion papers, technical briefs and communication pieces, which will form part of a project communication strategy. This also includes compiling and disseminating to decision makers and other key stakeholders publicly available, accurate, and up-to-date information portraying the volume, flows, values and social norms encouraging the illicit wildlife trade. Finally, the project will support the participation of MoEF in international events and supporting the

strategic thinking leading up to these events, especially for CITES COP, IUCN congresses and various regional IWT initiatives. Indicative activities under Output 4.1 include:

- Project communications strategy developed and updated annually
- Technical reports, news articles and IWT awareness materials (etc) arising from project activities uploaded to national and project websites, shared with key national stakeholders and provided to GWP Secretariat
- Case studies developed on key issues relating to IWT and published as technical briefs
- Project representatives participate in GWP conference calls and events, and present results at international conferences in coordination with other GWP projects (eg CITES COP side events)

Output 4.2: M&E system incorporating gender mainstreaming developed and implemented for adaptive project management

80. The project will ensure that information and knowledge accumulated within the project will be codified and documented for sharing and upscaling efforts. It will do this through annual rigorous project implementation review exercises, mid-term and final project review. The project will strengthen connections with the global illegal wildlife trade program and global project under this, including use of the Global Wildlife Programme Tracking Tool, PortMATE, as well as the project Results Framework. This will enable project performance to be reliably monitored using a shared and quantitative set of indicators. These indicators do not presently exist for the various partnering government institutions, but would contribute towards more effective planning and direction of agency programmes in relation to IWT. Gender will be mainstreamed into project implementation through a gender mainstreaming strategy and monitored as part of the M&E framework for the project. Indicative activities under Output 4.2 include:

- Review and update M&E plan including results framework baselines during project inception phase, including GEF Global Wildlife Program Tracking Tool, ICCWC Indicator Framework and PortMATE assessments
- Conduct Mid Term Review and Terminal Evaluation in line with UNDP/GEF requirements, and incorporate recommendations of MTR into revised project plans (management response) following PSC approval, and monitor their implementation
- Develop national-level indicators for effective enforcement
- Develop a gender mainstreaming strategy and monitor its implementation

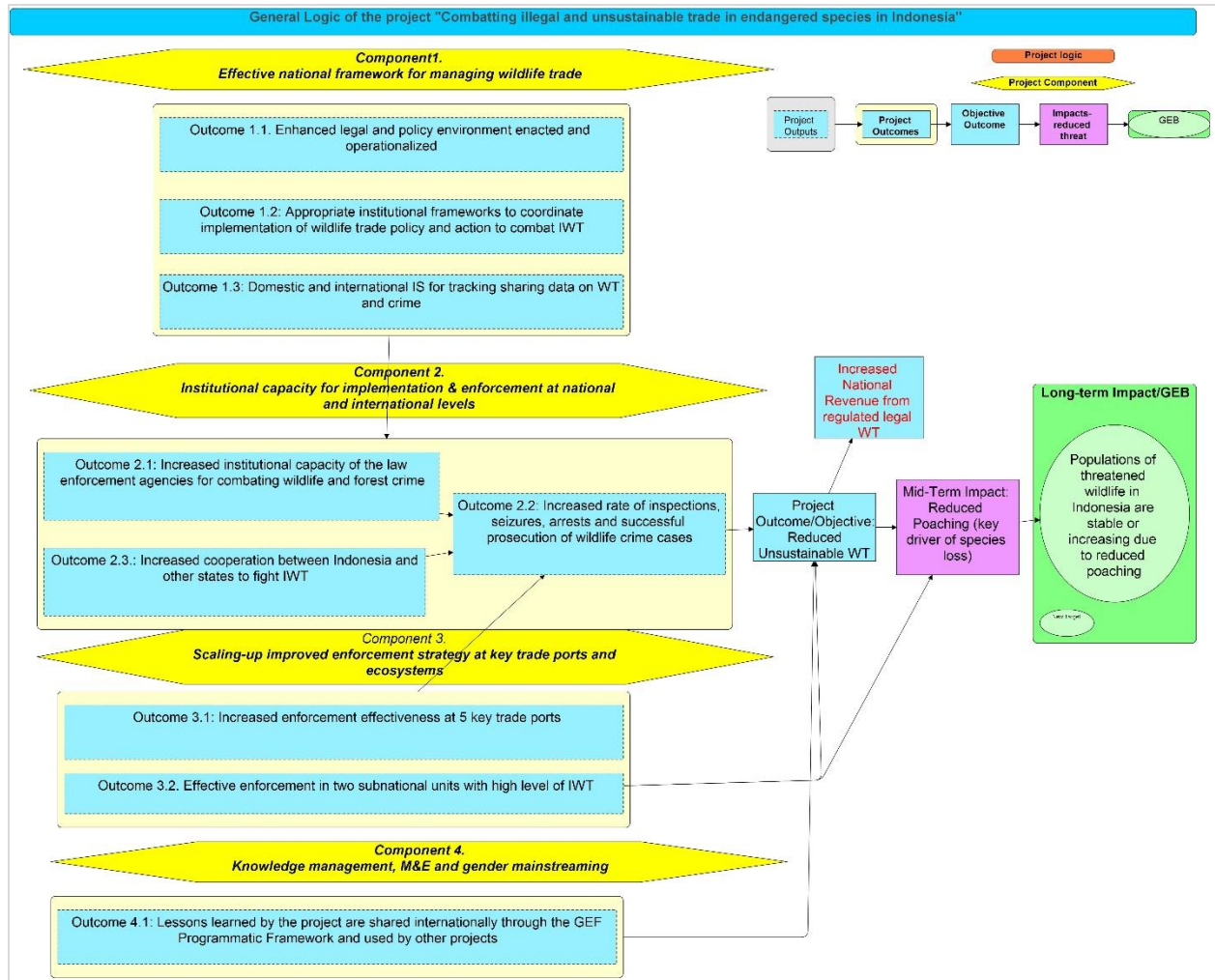


Figure 4. Detailed project pathways from Outputs to Outcomes and Impacts

ii. Partnerships

81. This project is part of the GEF *Programmatic Approach to Prevent the Extinction of Known Threatened Species*, and is specifically included in 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-fertilisation of the individual regional and national projects will be assured.
82. During the project development stage, collaboration arrangements were discussed with the UNDP/GEF *Ports of Excellence* project²² under the GEF Global Wildlife Program, in order to invite Indonesia to participate in this new project supporting sea ports to combat wildlife crime. Four ports are being targeted for initial inclusion, including Surabaya/Tanjung Perak sea port (the fifth project site is an airport). At each

²² UNDP, with the support of United for Wildlife Transportation Taskforce members, are partnering on a *Ports of Excellence* project financed by the Global Environment Facility (GEF). The project is aiming to reduce the maritime trafficking of wildlife through incentivizing best practice at sea ports, strengthening customs and law enforcement capacity, and building port-to-port cooperation.

port the project will offer a comprehensive assessment of port operations using the PortMATE assessment tool, see Output 3.1.

83. The proposed project will directly complement the UNDP-GEF project *Enhancing the Protected Area System in Sulawesi (E-PASS) for Biodiversity Conservation* (2014-2019) and UNDP-GEF project PIMS No. 4892 *Transforming effectiveness of biodiversity conservation in priority Sumatran landscapes* (2016-2022). These two projects aim to address the main threats to biodiversity across the islands of Sumatra (home to Indonesia's remaining Sumatran tiger, Sumatran rhino, Sumatran elephant and Sumatran orangutan populations) and Sulawesi (notable for its high levels of endemism), through interventions including strengthening protected area management and site-level actions to reduce poaching. By targeting the regulatory, institutional and capacity barriers to effective action to combat illegal wildlife trade at the national level and transit/export points (ports) for wildlife illegally exiting Sumatra and Sulawesi, the proposed project will complement these landscape-level GEF initiatives.
84. The proposed project will similarly complement other landscape-focused initiatives, including the US Government - Government of Indonesia debt-for-nature swap under the *Tropical Forest Conservation Act*, USAID's investments in landscapes through its forestry programme, and the German Government's investments in landscapes through the International Climate Initiative and bilateral development cooperation.
85. The proposed project will coordinate closely with other smaller-scale initiatives to strengthen enforcement capacity and institutional frameworks to address environmental crimes in Indonesia, including ICITAP's training programs, OPDAT's work with the AGO, UNODC and Interpol. The GEF project activities are designed to complement and strengthen, rather than duplicate, activities by other bilateral or multilateral donors.
86. Regarding partnerships within and between government institutions and NGOs, this project will contribute significantly to bridging the gaps in communication and promote collaboration within and between different entities in government and also key NGOs. While the MoEF is the lead Implementing Partner, it will work in close collaboration with the following government institutions: INP, MMAF, Customs and Exercise, Quarantine, Avsec/Port Security and LIPI. The MoEF will also work through its NGO partners, which hold an MOU, such as WCS and in particular its WCU, which effectively operates all key government institutions. Linkages and collaboration will be strengthened between these government and non-government agencies at the national level and also landscape level through training, technical advice, information sharing and joint strategic planning and implementation to ensure the delivery and achievement of project goals and objectives. The role of the Project Board and the Project Management Unit in ensuring that the partnerships work and the interactions are kept functional is therefore key. UNDP, in its oversight role, and as both the Implementing Agency for this GEF project and a development partner to the MoEF, will play a central role in ensure that these partnerships work, and will liaise at the highest level with government to ensure that the project fully delivers against its workplan and targets.
87. UNDP has a large presence in Indonesia and the project will contribute towards UNPDF/CPD Outcome 3: By 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with an increased resilience to the effects of climate change, disasters and other shocks, and UNDP Indicative CP Output 3.3: National/local governments have improved policies, systems, and partnerships with non-state actors to protect biodiversity and endangered species.
88. Responsible national institutions and relevant stakeholders are more effective in managing environmental resources and addressing environmental pollution by implementing the intended output of Government, private sector and CBO partners to stimulate coherent and effective policy frameworks, action plans, implementing arrangement and funding arrangement to sustainably manage terrestrial ecosystems. Wildlife trade is essentially a governance issue, and herein lies the main strength of UNDP. Aspects of this project relating to the development of sustainable supply chains also lie firmly in UNDP's field of expertise.

Within Indonesia and the region UNDP is also very well placed to implement this project as the leading UN agency assisting the Government of Indonesia in implementing NBSAP towards achievements of the Aichi Targets under the CBD. The UNDP Country Office (CO) will assign an experienced biodiversity conservation programme manager within the Energy and Environment Unit, guided by the head of the Unit and supported by the alternate staff, administrative assistant, and the UNDP finance and quality assurance unit. The UNDP Regional Technical Adviser based in Bangkok, as well as the global adviser on wildlife trade and enforcement based in Addis Ababa, will provide technical support to the CO for implementation, monitoring and evaluation of the project.

Stakeholder engagement:

89. During project preparation, a stakeholder analysis was undertaken to identify key stakeholders, assess their interests in the project and define their roles and responsibilities in its implementation. Overall, support for the project and involvement in it was secured from a diverse group of stakeholders, whose roles are summarised in **Table 2**. PPG stakeholder meetings were convened on 15 March 2016 (combined with the Focus Group Discussion Meeting on Databases) in Bogor; on 22-23 August 2016 in Bogor; and on 20-21 October 2016 in Bogor. The national consultancy team from the Faculty of Forestry at the Agricultural Institute of Bogor (Institut Pertanian Bogor, IPB) convened a series of Focus Group Discussion (FGD) meetings to consult with key stakeholders on the key themes being reviewed, supported by extensive interviews and field visits (see **Annexes 11,14,15,16,17**). Further information on the institutional framework for wildlife crime enforcement and implementation is given in the baseline analysis section above, and on the roles of key stakeholders in project implementation in the Management Arrangements section below. The stakeholder engagement strategy in **Annex 19** includes details of the key stakeholders in each of the demonstration regions (N Sumatra and N Sulawesi) and key actions to engage them. Further consultations will be conducted in the demonstration regions during project implementation to obtain Free Prior Informed Consent for the communities that are identified for targeted interventions according to further analysis of wildlife trade chains including source areas, transportation routes, markets and ports.

Table 2. Summary stakeholder analysis indicating main roles and responsibilities

Stakeholder	Main roles and responsibilities
National level	
Ministry of Environment and Forestry (MoEF)	The CITES Management Authority in Indonesia is the Ministry of Environment and Forestry (MoEF), more specifically the Directorate of Biodiversity Conservation (c.q. Sub-Directorate Program and Convention), under the Directorate General of Conservation of Natural Resources and Ecosystem. MoEF has many regional offices called Balai Konservasi Sumber Daya Alam (BKSDA). Currently there are 31 BKSDAs, spread out all over in Indonesian territory. In relation to wildlife trade, BKSDAs have roles to proposed number of annual quota for harvestable species and its monitoring, issue a letter of domestic transportation of wildlife specimens (Surat Ijin Angkut Tumbuhan dan Satwa Dalam Negeri, SATS-DN), and as law enforcers against wildlife trafficking in their areas. For law enforcement, a new Directorate General of Law Enforcement of Environment and Forestry and the organization structure has been established. Among the four sub-directorates of the Directorate General of Law Enforcement of Environment and Forestry, two Directorates are directly concerned with law enforcement of illegal wildlife trade, namely the Directorate of Forest Prevention and Protection (Pencegahan dan Pengamanan Hutan) and Directorate of Criminal Law Enforcement (Penegakan Hukum Pidana). Currently the MoEF employs 8,105 forest rangers, PPNS (Civil Investigation Officers)

Stakeholder	Main roles and responsibilities
	<p>1,043, and 764 SPORC (Satuan Polisi Kehutanan Reaksi Cepat; Rapid Response Forest Rangers).</p> <p>As the national CITES Management Authority, MoEF must coordinate CITES implementation and enforcement with many other agencies, including customs, quarantine, police and other related agencies. Several training manuals, guidelines on species identification and CITES have been produced and training provided.</p> <p>The MoEF has a number of officials who have been trained as civil investigators (PPNS) to investigate particular cases under the authority of their Ministries. Most of the MoEF rangers and investigators are posted in national parks or provincial Nature Conservation Agencies (BKSDA). Only a few of them are posted at the headquarters of the ministry in Jakarta, where they have nationwide jurisdiction.</p> <p>GAKKUM has played a lead role in coordinating with other stakeholders during the project preparation. Subsequently, GAKKUM has been identified as the lead implementing partner from the government/MOEF during the project implementation, and will be responsible in delivering project results.</p>
Ministry of Marine Affairs and Fisheries (MMAF)	<p>Among the five Directorates General within MMAF, there are two Directorates General relevant to species conservation and conservation areas: the Directorate General for Marine, Coastal, and Small Islands; and the Directorate General for Supervision/Monitoring of Marine and Fisheries Resources, which is responsible for law enforcement. Similar to the MoEF, the MMAF has civil investigators (PPNS) with responsibility to investigate fisheries offences (including species protected under the Fisheries Law, such as mantas). However, the MMAF has no equivalent to forest rangers and the SPORC (i.e., rapid response units). It does not currently act as a CITES management authority for marine species (only MoEF). Technical Implementation Unit of Aquatic Species and Area Conservation (UPT KKJI). As this project is primarily focused on combatting terrestrial-based IWT, MMAF will be included in consultations on national policy, legislation and institutional issues but will not have direct responsibility for implementation of specific activities (Component 1).</p>
Ministry of Justice and Human Rights; Courts	<p>Responsible for the national judiciary amongst other functions. The function of the courts is to adjudicate the cases filed by the law enforcers (criminal cases) or other government entities and the public (civil cases). There are courts at three levels - regency/city (<i>kabupaten/kota</i>), where the lowest court (<i>pengadilan negeri</i>) exists, the province (the high court), and nationally (the supreme court). By January 2015, 103 judges had been trained for certification as environmental judges through collaboration between the Supreme Court and WCS's WCU. The MoJHR will participate in the project Technical Advisory Committee, and staff will be provided with training and professional development in relation to IWT crime through the project (Components 1, 2).</p>
Attorney General's Office (AGO)	<p>Responsible for the national prosecution service, the AG's Office is a member of the National Task Force for Wildlife Enforcement Network in Indonesia. It will participate in the project Technical Advisory Committee and staff will participate in training activities in relation to IWT crime through the project (Component 2).</p>

Stakeholder	Main roles and responsibilities
Ministry of Trade	Responsible for domestic and international trade policy, development and regulation (Component 1).
Ministry of Agriculture	The Quarantine Agency of the Ministry of Agriculture is a member of the National Task Force for Wildlife Enforcement Network in Indonesia. It will participate in the project Technical Advisory Committee and staff will participate in training activities in relation to IWT crime through the project, especially at the demonstration ports in Component 3.
Ministry of National Development Planning (BAPPENAS)	National government agency responsible for national economic and development planning, as well as development of strategies and policies in determining financial allocations for the various sectors of the national economy. Bappenas is on the Project Board.
Ministry of Transportation	Responsible for the development and regulation of transportation including shipping and air. Will participate through port/airport authorities in Component 3 activities for capacity development at demonstration ports.
Ministry of Finance, Customs	The Directorate General of Customs and Excise of the Ministry of Finance plays a key role in the detection and enforcement of the trade in wildlife through Indonesia's many shipping ports and airports through enforcement of the Customs Law 17/2006. It is a member of the National Task Force for Wildlife Enforcement Network in Indonesia. Project Board member, and customs will be a key department for the project activities at the demonstration ports in Component 3.
Corruption Eradication Commission (KPK)	Law No.30/2002 on the Corruption Eradication Commission provided the legal basis for the establishment of the KPK. Its duties include investigating and prosecuting corruption cases and monitoring the governance of the state. It has wide powers for investigation and detention of suspects. Will participate in the Technical Advisory Committee and will be a key project partner in strengthening the multi-door approach to IWT prosecutions in Components 1 and 2.
Financial Transactions Analysis and Reporting Centre (PPATK)	Key role as an anti-money laundering agency, involved in wildlife crime trade detection and enforcement through the application of anti-money laundering legislation (2002 Anti-Money Laundering Law and its 2010 amendment). Will participate in the Technical Advisory Committee and will be a key project partner in strengthening the multi-door approach to IWT prosecutions in Components 1 and 2.
Indonesian National Police (INP)	Law enforcement in Indonesia. For forestry and wildlife crime issues works under a national-level MoU between the MoEF and the National Police Headquarters. The Criminal Investigation Division (CID, Bareskrim POLRI) is a member of the National Task Force for Wildlife Enforcement Network in Indonesia. Unit 1 is specifically tasked with targeting environmental crimes, and has played a leading role in the majority of high-profile prosecutions brought successfully in Indonesia over the past 5 years. Project Board member and key project partner for support in implementation of all project components.

Stakeholder	Main roles and responsibilities
Indonesia Institute of Science (LIPI)	LIPI is the CITES Scientific Authority for Indonesia, supporting MoEF as the CITES Management Authority. Key project partner for Component 1 in particular, in relation to the regulation and institutional framework for species protection and establishment of quotas for legally traded wildlife.
Wildlife Conservation Society (WCS)	WCS will act as a project implementation partner, building on their long experience in combatting illegal wildlife trade, advancing species management and in conserving specific landscapes through cofinanced programmes and working in partnership with the MoEF, MMAF and other agencies to build capacity, conduct joint patrolling and monitoring operations and other shared activities. Established and supports the Wildlife Crimes Unit (WCU) that brings together key government agencies for a coordinated response to wildlife crime.
Wildlife Crimes Unit (WCU)	Starting in 2003, the WCS Indonesia Program has pioneered an innovative approach towards working with Indonesian law enforcement agencies across local, regional, and national scales to combat illegal wildlife trade. The WCU brings together a partnership including MoEF, MMAF, Police, Attorney General and Customs, and a network of local civil society and media organizations. The WCU approach includes establishing informant networks around key landscapes, and in key markets and transport hubs; using highly-trained investigators to gather evidence correctly; assisting the government with the cases in the criminal courts; building the capacity of investigators, prosecutors and judges for case administration; and collaborating with media organisations to raise awareness about successful prosecutions. The WCU will play a central role in supporting Gakkum in the implementation of the project, especially the inter-agency coordination and joint operation aspects (All Components).
Eijkman Institute for Molecular Biology	MoU for collaboration with WCS and TRACE Wildlife Forensics Network for capacity building for forensic testing of species identified in illegal trade in support of prosecutions. Training for police, MoEF investigators and journalists started in April 2015. Eijkman Institute is expected to support capacity development activities in Component 2.
TRACE Wildlife Forensics Network	TRACE (Tools and Resources for Applied Conservation and Enforcement) was established in 2006 as a non-profit organisation dedicated to the promotion of forensic science in wildlife conservation and law enforcement. It has a global remit for the development, dissemination and implementation of forensic tools to help tackle wildlife crime. MoU for collaboration with WCS and Eijkman Institute. TRACE is expected to support capacity development activities in Component 2.
Other international and local NGOs (TRAFFIC, Fauna & Flora International (FFI), Zoological Society of London (ZSL), WWF-Indonesia, Birdlife/Burung Indonesia, ProFauna, Jakarta Animal Aid Network (JAAN), Conservation	A number of NGOs have been significantly supporting wildlife conservation and species protection efforts in Indonesia for decades, including anti-poaching measures (e.g. FFI, WWF and ZSL) and action to improve enforcement at markets (e.g. ProFauna, JAAN). TRAFFIC have conducted a number of investigations into the trade of certain species in Indonesia and provided recommendations to government. POJKA Kebijakan (a CSO coalition) is facilitating technical discussions on the review of the Conservation Law 5/1990 in collaboration with MoEF. The Technical Advisory Group provides a mechanism for engagement of CSOs, and additional inputs can be secured through subcontracting as necessary.

Stakeholder	Main roles and responsibilities
Policy Working Group (POJKA Kebijakan)	
<i>Landscape and site level (see Annexes 11 and 19 for further details)</i>	
Provincial and District Governments	According to the decentralisation process in Indonesia, including the natural resource management sector, the provincial governments, as well as district governments, at the targeted ports and in the target landscapes are responsible for local development and land use planning, service provision and natural resource management for all areas outside NPs. These government levels will be involved in overseeing the implementation of activities in the demonstration landscapes in northern Sumatra and northern Sulawesi (Component 3).
National Park Agencies	Subsidiary units of the MoEF responsible for managing individual national parks. This project will support anti-poaching and awareness raising activities in and around national parks in the demonstration landscapes, and connect park management with wider IWT enforcement operations (Component 3).
Natural Resources Conservation Agencies (BKSDA)	Provincial units of the MoEF responsible for managing wildlife and conservation areas, including nature reserves, wildlife sanctuaries, nature recreation parks and hunting parks. BKSDA will be key partners for implementation of activities in Component 3 in the demonstration landscapes and at the ports.
Provincial Forestry Agencies (<i>Dishut</i>)	Agency under the provincial government in charge of planning and management of the production and protection forests. Stakeholders for implementation of activities in Component 3 in the demonstration landscapes.
Provincial development and planning agencies (<i>Bappeda</i>)	Agency under the provincial government and responsible for provincial development planning, including spatial plan development. Stakeholders for implementation of activities in Component 3.
Port Administrations	Responsible for the management of port facilities. Key partners for implementation of activities in Component 3 at the demonstration ports.
Local communities and indigenous people	Key users and beneficiaries of natural resources and associated ecosystem services; may also participate in wildlife trade. Stakeholders for implementation of activities in Component 3, specific communities will receive targeted support in wildlife trade source areas in terms of awareness raising, community engagement and sustainable livelihood support.
CBOs	Currently support a range of activities focused on biodiversity conservation and socio-economic development for communities in target landscapes and are key partners for various government agencies and international NGOs. Stakeholders for implementation of activities in Component 3.
International and local NGOs	International NGO with qualifications and long-term contribution in combatting illegal wildlife trade and improving the effectiveness of PA management through introduction of a joint agency patrolling model (Wildlife Crimes Unit) will support project implementation at landscape level, including application of the SMART law enforcement monitoring system, and technical assistance for enforcement of trade

Stakeholder	Main roles and responsibilities
	in terrestrial and marine species. Local NGOs will be also engaged and trained to increase their capacity with regard to illegal wildlife trade during project implementation.
Academic institutions	Several local universities provide training in wildlife, forest and marine management to undergraduate and postgraduate students, of which many graduates now work for local and international environmental NGOs. Potential sources of TA for supporting the implementation of Component 3 activities.
<i>International level</i>	
Association and South East Asian Nations – Wildlife Enforcement Network (ASEAN-WEN)	ASEAN-WEN was established in 2006 and covers all 10 ASEAN states including Indonesia (where the ASEAN Secretariat is currently based). It aims to provide an inter-governmental law enforcement network to combat wildlife crime, and a mechanism for sharing best practices. It provides a significant means of tackling international illegal wildlife trade routes through collaborative operations and to enhance the regional networking capacity of the CITES and law enforcement authorities in Indonesia. The project will coordinate with ASEAN WEN and seek to increase the level of Indonesian participation in its activities (Component 2).
International Consortium on Combating Wildlife Crime (ICWC)	Established in 2010, the ICCWC brings together the main international governmental organizations responsible for combating wildlife crime (CITES Secretariat, INTERPOL, UNODC, WCO and World Bank) to provide a coordinated response. A key output is the Wildlife and Forest Crime Analytic Toolkit to guide national responses, and the more recent ICCWC Indicator Framework (Components 2 and 3).
INTERPOL (International Criminal Police Organization)	The main platform for policing authorities to work across borders to catch wildlife trade criminals through its Wildlife Crime Working Group, which works under the auspices of its Environmental and Compliance Committee. They lead operations to address wildlife crime, develop best practice guidelines and link national environmental agencies. INTERPOL participated in PPG consultation meetings and will be a key project partner at the national level (All Components).
TRAFFIC	Formed by an alliance of WWF and IUCN in 1976, TRAFFIC works to ensure that the trade in wild plants and animals is not a threat to nature conservation. It has 7 regional teams and a presence in 30 countries. The SE Asian regional office is located in Malaysia, and has conducted a number of investigations involving Indonesia. TRAFFIC will be kept informed about project progress and its advice and technical assistance sought where necessary (All Components).
UNODC (UN Office on Drugs and Crime)	The key UN agency mandated to act on wildlife crime since 2000. UNODC operates a Global Program for Combating Wildlife and Forest Crime/Sustainable Livelihoods Unit (GP/SLU) through which it accesses various UN divisions to provide country support through capacity development to combat wildlife crime. UNODC is a partner in the GWP Ports of Excellence project and will support training activities at ports in Indonesia in Component 3, and potentially other TA.

Stakeholder	Main roles and responsibilities
Wildlife Conservation Society	WCS's Vietnam, China and Tanzania programs are actively engaged in wildlife trade issues and provide capacity to facilitate transnational collaboration. Project activities will be coordinated with these programs through WCS Indonesia and its Wildlife Crimes Unit that operates across the archipelago (All Components).
World Customs Organization	Represents the customs authorities of 179 countries; established its environment programme in 2012, with a focus on IWT. Resources for members include ENVIRONET – a real-time communication tool and CLiKC - a learning tool offering courses on environmental crime. Partner for Component 3 activities on ports.

Mainstreaming gender:

90. During the PPG phase, a consultancy study was undertaken to conduct a gender assessment reviewing the roles of men and women in the project development and implementation and potential impacts of the project on each gender group, and to provide guidance on gender mainstreaming for the project. This aimed to ensure an inclusive approach through which women and men are able to participate actively and benefit equitably, have equitable access to the project resources and receive fair social and economic benefits. The full report of this study is given in **Annex 16**, while its key findings and recommendations are summarized here, with recommended gender mainstreaming actions given in **Table 3** below. A gender mainstreaming strategy will be developed in year 1 as part of the M&E Plan and its implementation monitored by the M&E and Gender Mainstreaming consultant.

Gender analysis

91. The situation analysis for the project study area included social economic assessment for the project context, at national level and a case study for Langkat Regency, part of the Leuser Ecosystem in North Sumatra.

92. In Indonesia, gender is perceived as the contrast of attitude, role and position of men against women by society and influenced by beliefs or religions, cultural, political and economic system. Therefore, gender as a concept may be changing by time, space and culture. As reported in the Gender Inequality Index (GEI) of 2011, Indonesia ranked 100 out of 146 countries indicating strong gender bias in many areas: women had a lower literacy rate (86 %) than men (94 %); fewer years of schooling (6.5 years) than men (7.6 years); smaller share of income (USD 2,289) than men (USD 4,434) in 2003; and less access to productive resources than men (Hoque, 2015). The policy framework on governance of gender equality in Indonesia consists of:

- Ratified UN Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1984.
- Indonesia's Basic Constitution of 1945 that treats men and women equally before the law and the government.
- Law No. 10 of 2008 on legislative election reserving a 30 percent quota for women.
- Presidential instruction No. 9 of 2000 on gender mainstreaming in the national development.

93. To operationalize the above policies, the Government of Indonesia has established the State Ministry for Women's Empowerment and Child Protection which has been built on the Ministry originally established in 1978 for the first time. Despite the relatively adequate policy framework and institution, gender equality in performing biodiversity conservation management is still weak. The predominant role of men is primarily due to biophysical, cultural and structural factors. As to date, the majority of Indonesians perceive that particular forest management activities are not proper or taboo for women to do because they involve physical power, masculinity and extended periods of stay in the field. Examples are hunting of wildlife and harvesting of NTFPs. For reasons of traditional beliefs and values, the majority of households in rural areas

still believe that wives' primary task is to rear children and do domestic chores like cooking and cleaning. Another limiting factor is the established structure of state employees that is predominated by men, thus facilitates domination of men in decision-making on different aspects of biodiversity conservation management.

94. In Indonesia, gender is an important variable that determines access to and control over forest resources and women play pivotal roles in the resource management and use. While activities vary across the country, women engage in collection of firewood, harvesting of NTFPs and forest protection, to mention only a few. In general, rural women work 13 hours longer than men in a week because they have to combine child rearing and other domestic chores with other activities to fulfill subsistence needs. Access to and control over productive resources such as land is pivotal for women because the resources provide income, can be used as collateral for credit and reflect gendered decision making. Rights over land in Indonesia is formally regulated by the Basic Agrarian Law of 1960 but in practice, traditional patriarchal social norms as well as religious and customary laws create barriers for women to gain equitable access to land and control of productive resources (FAO, 2001). Further details from the gender analysis are available in **Annex 11**.
95. The Social and Environmental Screening Procedure applied to the project has reviewed its potential impacts on women and gender equality through consultations conducted at national and demonstration region levels, with some disaggregated socio-economic information available in the site profiles. Safeguards have been applied to the project design in order to mitigate issues identified in the SESP conclusions (see **Annex 6**).
96. With its focus on strengthening the legal and policy framework and capacity building for wildlife crime law enforcement, this is not a typical development project regarding gender issues. However, there is scope for seeking a gender balance in training activities for national and regional agencies, as is the case for the capacity building program involving WCS, TRACE and the Eijkman Institute, which is being led by several female Indonesian scientists. It is most likely that the project interventions in the two demonstration subnational regions will provide the greatest opportunities to mainstream gender and to empower women in local communities through participation in project activities such as education and awareness programmes, sustainable livelihoods and working groups / committees.
97. Consistent with the WB/UNDP/GEF Global Wildlife Programme, this project will focus on gender in developing the pathways out of poaching for local communities, for instance the development of tourism as an alternative livelihood to enhance job opportunities for women. Tourism relies on charismatic species to attract visitors and so is one among several important antidotes to poaching. Moreover, it employs a large segment of the services sector across poor countries, whose ranks are largely peopled by women. Although this project is focused on controlling wildlife trade at source and trafficking, it should be noted that women and women's groups play a significant role in reducing the demand for wildlife. Many wildlife products are used in the health sector, as spurious catch-all cures. As women are the primary procurers and managers of family healthcare across the developing world, they are an integral constituency to convince in order to reduce demand. Consequently, the awareness programmes planned through this project will have a strong emphasis on targeting women as key proponents of attitudinal change.

Table 3. Proposed gender mainstreaming actions for project implementation

Outcome/ Output	Responsible	Gender Mainstreaming Actions
Component 1: Effective national framework for managing wildlife trade		

Outcome/ Output	Responsible	Gender Mainstreaming Actions
Output 1.1: Amendments and drafts for policies, legislation, regulations and procedures to reduce illegal wildlife trade and improve implementation of CITES in Indonesia are developed and legal adoption processes supported	MOEF, LIPI	<ul style="list-style-type: none"> • Proactive inclusion of women in working groups and committees involved in policy and regulatory reviews • Consideration of gender disaggregated information on socio-economic aspects of resource use and livelihoods related to IWT and implications for women
Output 1.2: Proposal for a Taskforce for improved collaboration amongst responsible agencies is developed and active during the project	MOEF	<ul style="list-style-type: none"> • Proactive inclusion of women in working groups and committees concerned with IWT
Output 1.3: Economic assessments conducted to quantify the value of legal and illegal wildlife trade and its impacts on the national economy and to assess the feasibility of cost-recovery mechanisms	MOEF	<ul style="list-style-type: none"> • Proactive inclusion of women in working groups and consultancy roles for economic assessments
Component 2: Institutional capacity for implementation and enforcement at the national and international levels		
Output 2.1: Strengthened capacity of Gakkum to tackle IWT	MOEF, WCS	<ul style="list-style-type: none"> • Proactive inclusion of women in TA roles and committees on IWT • Proactive inclusion of women participants in related capacity development activities
Output 2.2: Training modules and standard operating procedures (SOPs) are developed based on needs assessment for integration into government training programmes		<ul style="list-style-type: none"> • As above • Gender roles to be clearly articulated while undertaking training needs assessment and incorporate in training modules. • Proactive inclusion of women in working groups, committees, new positions • Focus specific incentive mechanisms targeting female law enforcement officers
Output 2.3: DG Law Enforcement and other key agencies are trained in wildlife forensics techniques and provided with necessary equipment and expert support		<ul style="list-style-type: none"> • As above
Output 2.4: Drafts of National and International Agreements on IWT control are prepared; collaboration between national and international agencies is facilitated; participation of Indonesia representatives in international meetings/initiatives is supported		<ul style="list-style-type: none"> • As above
Output 2.5: Communication Strategy and social marketing campaigns to increase awareness on IWT are implemented at national and regional scales		<ul style="list-style-type: none"> • Proactive inclusion of women in TA roles and working groups for awareness raising programme

Outcome/ Output	Responsible	Gender Mainstreaming Actions
		<ul style="list-style-type: none"> • Requirement for gender disaggregated information to design communications strategy and awareness campaign • Focus on women as a key target group in wildlife trade source areas for fostering attitudinal change • Identification of female champions to participate in awareness efforts
Component 3: Scaling-up improved enforcement strategy at key trade ports and ecosystems		
Output 3.1: Capacity development supported at demonstration ports including training of key agency staff on CITES and IWT control with focused intervention at Surabaya port	MOEF, WCS	<ul style="list-style-type: none"> • Proactive inclusion of women in working groups on IWT at ports • Proactive inclusion of women participants in related capacity development activities
Output 3.2: Gakkum's operations strengthened and key stakeholders engaged in the selected subnational regions and ports	MOEF, WCS	<ul style="list-style-type: none"> • Proactive inclusion of women in working groups, committees, new positions and unofficial roles • Proactive inclusion of women participants in related capacity development and field activities • Requirement for gender disaggregated information on wildlife exploitation and trade including demand aspects
Output 3.3: Coordination mechanisms of IWT intelligence are developed and introduced to agencies and communities; and local people are trained in IWT monitoring and collaboration with law enforcement	MOEF, WCS, CSOs	<ul style="list-style-type: none"> • As above • Involvement of women as CBO facilitators for community work
Output 3.4: Livelihood options and HWC reduction mechanisms developed and introduced to local communities in wildlife trade source areas	MOEF, WCS, CSOs	<ul style="list-style-type: none"> • Involvement of women as CBO facilitators for community work • Proactive inclusion of women in working groups, committees, new positions and unofficial roles • Proactive inclusion of women participants in related capacity development and field activities • Requirement for gender disaggregated information on wildlife exploitation and trade including demand aspects
Component 4: Knowledge Management, M&E and Gender Mainstreaming		

Outcome/ Output	Responsible	Gender Mainstreaming Actions
Output 4.1: Knowledge management is coordinated with other GEF projects through the GEF Programmatic Framework to Prevent the Extinction of Known Threatened Species	MOEF, UNDP	<ul style="list-style-type: none"> • Requirement for gender disaggregated information on wildlife exploitation and trade including demand aspects • Proactive attention to lessons learned regarding gender roles in CBNRM and IWT management
Output 4.2: M&E system incorporating gender mainstreaming developed and implemented for adaptive project management	MOEF, UNDP	<ul style="list-style-type: none"> • Gender mainstreaming strategy developed in year 1 • Requirement for gender-disaggregated information for appropriate indicators in the M&E Plan • Specific monitoring of gender mainstreaming progress during project implementation

South-South and Triangular Cooperation:

98. The project falls under the GEF *Programmatic Approach to Prevent the Extinction of Known Threatened Species*, and is specifically included as a Phase I child project in 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-fertilisation of the individual regional and national projects will be assured, including African and Asian countries. Beyond this general framework for SS/TrC, the project does aim to engage specifically with other countries in SE Asia on IWT issues through strengthened presence in ASEAN-WEN and bilateral cooperation with key neighbouring countries that are transit or destinations for Indonesian wildlife, such as Vietnam, Thailand, Malaysia, Singapore and China. In addition, efforts will be made to connect with SA WEN in southern Africa in relation to the trade in African ivory. Finally, the engagement with the *Ports of Excellence* global project under the Global Wildlife Programme for systematic assessment, monitoring and capacity development of key Indonesian ports will provide opportunities for networking, improved tracking and interception of illicit cargoes and global recognition for efforts being undertaken by the Indonesian government to stem IWT. The *Ports of Excellence* initiative will further facilitate knowledge exchange and adoption of best practices amongst the countries in AP and Africa – Indonesia, Thailand, Kenya, Tanzania, Uganda, Vietnam, Philippines, etc.

V. FEASIBILITY

Cost efficiency and effectiveness:

99. The weaknesses in the policy and regulatory framework, suboptimal institutional capacity for compliance monitoring and enforcement, ineffective enforcement at regional and port levels, and inadequate information sharing mechanisms to support responses to IWT are all significant barriers impeding the conservation and sustainable management of Indonesia's rich and diverse wildlife resources. The proceeds of IWT benefit the individuals and criminal organizations engaged in such trade at the cost of the wider values to society that such wildlife populations would otherwise bring, and denying the country revenue that would be obtained through lawful, sustainable wildlife trade. These losses have not been calculated in the Indonesian context, but their massive scale is apparent through the huge diversity of species in trade, the large volumes in the case of some species and the very high values attached to certain wildlife products²³. The project intervention will aim to quantify these values and remove these barriers, allowing more effective conservation of Indonesia's terrestrial and marine biodiversity, more sustainable use of wildlife resources and greater benefits to both the national economy and local communities in wildlife source areas. This approach is cost-effective in that it will address key barriers at national level and also demonstrate the approach towards outrolling more efficient enforcement systems at specific ports and subnational regions with strong potential for future replication and upscaling to other regions of Indonesia. As such, the project will contribute directly towards national policy, planning, fiscal and communications goals in support of biodiversity conservation.
100. In line with the National Implementation Modality (NIM), implementation will be led largely by existing government structures, with TA from the relatively advanced CSO sector. This approach is believed to be particularly cost effective, as it reduces costs that would need to be spent on consultant-driven implementation, and it builds the capacity of the government system for ongoing and more widespread implementation of integrated land and seascape management. At a technical level, the streamlining of progressive approaches into wildlife resource management and the variety of law enforcement agencies for eventual replication across the country will be a cost-effective investment in terms of project impact.
101. In order to reduce costs and to avoid duplication, the GEF-financed project will pursue an active partnership strategy with other ongoing and planned initiatives, including the current GEF projects on protected areas management effectiveness in Sumatra and Sulawesi and the diversity of IWT initiatives (see Partnerships section above). Through these collaborations, the project will build on the lessons learned and best practices from past and current projects and ensure that cost effectiveness is included as a selection criteria or in the identification of appropriate adaptation practices and implementation protocols. As part of the GEF Global Wildlife Program "Global Partnership On Wildlife Conservation And Crime Prevention For Sustainable Development" the GEF investment in this project will contribute towards larger scale impact through interconnectivity with other countries participating in the Program, especially through the UNDP/GEF global project component on Ports of Excellence, where standardized assessment, performance recognition and capacity development approaches will be applied for ports related to wildlife trade activities. In general, coordination and outreach through the Program with partners and collaborators can be achieved to bring more efficiency to the investments and avoid duplication of efforts. The lessons learned through this project will also be shared and applied more readily via south-south exchanges through the Program.

²³ See for example: WCS 2015. Changes for Justice Project Wildlife Crime In Indonesia: A Rapid Assessment Of The Current Knowledge, Trends And Priority Actions. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. Report to USAID. http://pdf.usaid.gov/pdf_docs/PA00KH52.pdf

102. The total GEF investment of US\$6,988,853 for this project will leverage a minimum of US\$ 42 million in cofinancing, a cost-effective ratio of 6.01 with additional associated financing inputs anticipated during project implementation.

Risk Management:

103. The key risks that could threaten the achievement of results through the chosen intervention strategy are shown in **Table 4**. 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.

Table 4. Description of project risks, impact and probability and mitigation measures

Project Risks					
Description	Type	Impact & Probability, and Risk level	Mitigation Measures	Owner	Status
Enter a brief description of the risk	Category of risk	Describe the potential effect on the project if this risk were to occur: Probability P from 1 (low) to 5 (high) Impact I from 1 (low) to 5 (high)	What actions have been taken/will be taken to counter this risk	Who is appointed to keep an eye on this risk	e.g. over, reducing, increasing, no change
Delays and uncertainties in achieving government approval for proposed legislative changes and international agreements related to combatting IWT. Such delays may be attributable to lengthy bureaucratic procedures, opposition from certain quarters, or lack of interest / lack of priority afforded to their completion.	Political	P=3, I=3 MODERATE	There is a strong baseline on strengthening the legal and institutional frameworks for combating the illegal wildlife trade, including a rapid assessment of current knowledge, trends and priority actions for wildlife crime ²⁴ , and a detailed analysis of the policy and legal context ²⁵ with support from USAID, with subsequent support to MoEF to implement report recommendations for legal revisions to improve species protection. This has included significant achievements – government agreement to revise the Conservation Law 5/1990 during 2016, MoEF agreement that the revised Law should always reflect the current and existing CITES list, and progress towards updating the Protected Species List in 2016. This process has received significant support from CSOs, with WCS playing a leading role, which the project will provide additional resources to follow through on key legislation.	Project Manager	Decreasing

²⁴ USAID Report Changes for Justice Project Wildlife Crime In Indonesia: A Rapid Assessment Of The Current Knowledge, Trends And Priority Actions. 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. http://pdf.usaid.gov/pdf_docs/PA00KH52.pdf

²⁵ Changes for Justice Project Wildlife Trade, Wildlife Crimes And Species Protection In Indonesia: Policy And Legal Context. March 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. USAID. http://pdf.usaid.gov/pdf_docs/PA00KH4Z.pdf

			Engagement with neighbouring countries occurs through ASEAN WEN but remains weak, and by developing a national IWT strategy associated with a national task force, increasing the capacity of MoEF's Gakkum to play a leading role in IWT enforcement, and strengthening its international exposure and engagement through the GEF GWP, increased momentum will be provided for such agreements to be developed and put into action.		
Mal-governance and Corruption: this is a major factor in wildlife trade, and accordingly one that has not been underestimated. Even when laws and mandates are clear, the mandated response is not always forthcoming. This is related to low motivation, poor resource allocation, but also to the insidious effects of corruption, that thrives in the poorly regulated environment.	Political, Operational & Strategic	P= 3; I= 3 MODERATE	Addressing corruption requires considerable high-level political support. Reducing its impact requires action against corruptors, but can also be addressed through tighter regulatory structures and improved monitoring that highlight when appropriate action is not being taken. Many of the described project components are designed to specifically address corruption and other forms of mal-practice and mal-governance. For example, strengthening the regulatory framework and government capacity will enhance oversight and limit opportunities for malpractice. Key agencies responsible for anti-corruption measures, namely the Corruption Eradication Commission (KPK) and Financial Transactions Analysis and Reporting Centre (PPATK) will participate in the project Technical Advisory Committee and will be key project partners in strengthening the multi-door approach to IWT prosecutions in Components 1 and 2. The presence of an internationally funded high profile project will further support the government's efforts to fight corruption.	Project Manager	Possibly decreasing

<p>Lack of industry support due to links with IWT: the wildlife trade industry is secretive, fragmented as well as multi-national. There is often a link to criminal syndicates. This presents challenges for project implementation, industry engagement and enforcement</p>	<p>Strategic</p>	<p>P= 3; I= 3</p> <p>MODERATE</p>	<p>The project implementers have considerable experience with such trade participants, and will seek to engage industry at all levels, as well as devise a strategy with international organisations to counter criminal syndicates. The project activities have been developed based on a thorough situation analysis based on the latest global information, data and knowledge on the structure of the international and national trade compiled by international organisations and individuals, and supported by a series of consultation workshops and other stakeholder consultations involving all relevant agencies. The project will support the strengthening of intelligence analysis based on WCU capacity, and agreements for information exchange between agencies and collaboration with CSOs such as TRAFFIC to enable understanding and adaptation to changing IWT and legal trade trends. The development of relationships with recognized reputable traders and documentation of their practices as models has potential as a way forward in encouraging responsible trade.</p>	<p>Project Manager</p>	<p>Stable</p>
<p>Suboptimal collaboration between IWT enforcement agencies: coordination between various agencies may be constrained due to sectionalism, bureaucracy, the demands of</p>	<p>Operational</p>	<p>P= 3; I= 3</p> <p>MODERATE</p>	<p>This project has been developed in full collaboration with the Indonesian government and its agencies. There have already been considerable discussions and joint efforts between key government law enforcement agencies. The momentum created by the project will further strengthen and institutionalise the coordination and joint action mechanisms. Joint work will be demonstrated at both national and local levels and necessary systemic and institutional capacities will be installed to ensure sustainability. The WCS-WCU has</p>	<p>Project Manager</p>	<p>Stable / decreasing</p>

coordination, and/or unclear mandates, impacting the effectiveness of IWT responses.			demonstrated that inter-agency cooperation to conduct collaborative counter-IWT operations can be successful through a number of investigations leading to prosecution of high profile IWT traders, and will continue to support this approach throughout the project. In addition, the involvement of Bappenas as a high level coordinating ministry in the Project Board should help to facilitate inter-agency cooperation.		
Major natural disasters: natural disasters such as earthquakes, floods, volcanic eruptions, etc. inhibit or divert the increase in national and provincial government's attention towards and investment in combatting illegal wildlife trade	Environmental	P= 2; I= 2 LOW	This risk is very prevalent in Indonesia. The project will elevate the illegal wildlife trade issues to the national political and economic agenda, as well as developing the <i>National Strategy to Combat Illegal Wildlife Trade</i> . Increased awareness that illegal wildlife trade is a national and global crisis and security issues should minimise shifting of resources away from the work to natural disaster emergency work. The project is also designed to institutionalise every output and install the necessary systemic and institutional capacity for tackling illegal wildlife trade, operationalising essential inter-agency coordination at both national and local level, and this will ensure continuation of core work even in the event of natural disasters.	Project Manager	Stable
Climate change impacts on endangered wildlife species populations: climate change may undermine the conservation objectives of the Project by impacting populations of	Environmental	P= 2; I= 2 LOW	Responses to the impacts of climate change on animal populations lie outside the scope of this project and are being addressed through other initiatives. The exact nature of this risk will vary substantially between different taxonomic groups and species, but are generally considered to be slow-acting – beyond the project timescale. By removing a major anthropogenic pressure on wildlife populations, this project would	Project Manager	Increasing

endangered species <i>in situ</i> .			contribute towards reducing their overall vulnerability as small population size is a sensitivity factor for climate change impacts.		
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Social and environmental safeguards:

104. **The Social and Environmental Screening Procedure (SESP)** was followed during project preparation, as required by the SESP Guidance Note of the UNDP (see Table 4). Accordingly, the social and environmental sustainability of project activities will be in compliance with the SESP for the project (see **Annex 6**). The SESP identified moderate social risks for this project that would have potential negative impacts in the absence of safeguards. Overall, the project is expected to result in major long term positive impacts for biodiversity conservation and socio-economic benefits to the nation and local communities through the more sustainable use of wildlife and natural resources. At the landscape level, it is planned that greater participation of local and indigenous communities in PA management processes should result from the project activities.
105. The project's community-related interventions will be focused on communities in key wildlife source areas, markets and trading ports along trade chains within the two demonstration subnational regions, namely Northern Sumatra and North Sulawesi – Gorontalo. Given the project's conservation objectives, the anticipated environmental impacts of the project are overwhelmingly positive. The project also aims to have a positive social impact, by strengthening the sustainability of natural resource use which will benefit dependent communities in natural landscapes in the long term through sustained ecosystem service provision. Communities in such areas will also benefit from increased PA management capacity for community outreach and participatory management through related GEF projects, as well as establishing mechanisms for securing alternative livelihoods where needed.
106. Despite the above, based on the results of the SESP, several issues will need to be carefully considered during project implementation. These include the need to ensure that recognition of human rights is fully incorporated into training for enforcement agency staff at all levels and considered in plans and strategies for enhanced wildlife trade enforcement. An oversight mechanism will be put in place to ensure that all project activities are carried out in accordance with Indonesian Law and international legal obligations, and that any prosecutions supported by the project are carried out correctly and fairly. This will consist of an SESP ombudsman appointed by the UNDP CO and DG Law Enforcement (MoEF) during the project inception period who will review project progress reports and news from stakeholders, as well as providing a telephone hotline and email contact address for complaints from affected parties. Specific measures will be incorporated for activities in the demonstration areas to ensure that project activities do not restrict **legal access** of local people to natural resources and that legal cultural traditions are respected. This will include sensitization of project staff to human rights and other social and environmental issues before the outset of field activities. Mitigation measures will be considered by project management if it is judged that project activities will curtail illegal activities which form a significant portion of local peoples' livelihoods, such as a consultation process with affected stakeholders to determine alternative approaches. Specific measures will be applied to ensure that regulatory reform activities will include appropriate consultation with key stakeholders, including umbrella groups that represent the interests of local forest dependent and indigenous peoples. At the demonstration area scale, consultation mechanisms are proposed in the stakeholder engagement plan to be used during project implementation. The project capacity-building component (Component 2) has been designed to enhance the capacity and understanding of Indonesian law enforcement agencies to ensure that the law is applied correctly.
107. Project activities may also have impacts that could affect women's and men's ability to use, develop and protect natural resources. This may particularly affect communities that are directly involved in hunting or fishing activities that include the regular taking of protected species or unsustainable harvesting of unprotected species (such as the wide range of reptiles such as turtles, snakes and geckos). While effective law enforcement is required to control such impacts on biodiversity, it will need to be coupled with programs that provide alternative income sources or other social benefits (e.g. education and health, access to credit) in order to be sustainable, and also to mitigate impacts on households that may already be close to the poverty line. Prioritizing the apprehension and prosecution of middlemen and higher level traders and exporters rather than village hunters, fishermen and collectors will help to limit such impacts.

108. Selection of target communities will be done in a transparent fashion, based on criteria such as location of the communities in relation to protected areas and key biodiversity areas outside the protected areas, likelihood of involvement in illegal and legal wildlife trade, type of livelihood activities and their impacts on biodiversity and protected area management. Different roles played by women and men in households and communities will be fully taken into account to ensure that the project benefits both genders equitably. The project will ensure that all stakeholders will be involved in the development of conservation agreements and other local area management plan development, and capacity will be developed (within both genders) for their implementation, thereby increasing women's and men's ability to use, develop and protect natural resources. Further consultations will be conducted in the demonstration regions during project implementation to obtain Free Prior Informed Consent for the communities that are identified for targeted interventions according to further analysis of wildlife trade chains including source areas, transportation routes, markets and ports.

109. 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 SC in person, via mail, email, via special page of the Project web-site, and phone. 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 SC will be registered by the PMU and the complaint will be assigned a unique tracking number upon its submission. 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 & act. Strict complaint resolution procedures will be developed and observed, and personnel at the PMU will be assigned to handle the grievances.** 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 SC 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.** 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.
- f) **Monitor & Evaluate. 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.

Sustainability and Scaling Up:

110. The project will address **sustainability** as follows. The development of cost-effective and sustainable solutions to reduce the detrimental impacts of wildlife trade is central to all aspects of this project. The project will work to support and strengthen Indonesian and regional institutions and authorities to reduce

poaching and illegal wildlife trafficking. The underlying premise of the project is that interest already exists within the Government of Indonesia, especially its enforcement agencies, in controlling poaching and wildlife trafficking; what is needed is a combination of facilitation and demonstration to show that those resources can be applied for the benefit of globally important biodiversity and Indonesia's economic development.

111. Financial sustainability will be achieved by working through existing government agencies and mechanisms as far as possible such that the outcomes are mainstreamed into the regular operations and budgets of these agencies (e.g. MoEF, MMAF, Indonesian National Police, Customs and Excise, and provincial government). Following the completion of the project these institutions and authorities will be empowered and better equipped to exercise their mandates, without requiring further external resources. The project will also test cost-recovery mechanisms from illegal trade seizures using money laundering legislation and from legal trade through fiscal regulations to ensure trade is taxed at a level commensurate with the cost of regulating it. These types of approaches have been often discussed with respect to wildlife trade, but have never been trialled in the region.
112. The project will build on existing initiatives and policies to develop better collaboration and information exchange, rather than creating new costly systems. The project will promote the legitimate industry over unscrupulous traders by developing the market and regulatory environment into one which provides a clear competitive advantage for legal, sustainable and responsible trade. The project's goal is to put in place a comprehensive system to control trade which will eliminate the risk of further loss and extinction of wildlife, *and* which requires no further donor input.
113. In addition, the project has been designed to ensure that the major costs involved in setting up new systems and technologies are covered during the project period, with any necessary long-term maintenance costs related to project initiatives remaining affordable. Most project components will be completed within the project period, including improvement of policies, laws and regulations, capacity building, demonstration activities at the selected sites including site management and monitoring plans, enhanced law enforcement and monitoring, biodiversity monitoring systems, community participation and development programmes, and education and awareness programmes. At the target landscape level, it is recognised that sufficient financial sustainability must be established to cover long term management costs, especially patrolling and monitoring.
114. Institutional sustainability will be improved through systematic capacity development measures for the law enforcement and natural resource management agencies involved in combating wildlife crime, and the upgrading of key technical skills such as the SMART patrol and data management system, which will contribute directly towards piloting effective implementation of RBM at the demonstration sites, techniques for evidence collection, species identification at ports and markets, etc. It is intended that the capacity development through this project will contribute towards enhanced national training systems for agencies engaged in combating wildlife crime, in order to enhance professionalism and the uptake of progressive techniques in line with rapidly advancing global responses across international trading routes.
115. Social sustainability will be improved through the development/strengthening of stakeholder participation mechanisms for the target demonstration landscapes and sites, establishment of landscape level partnerships for biodiversity conservation and wildlife crime enforcement, and local level community-based natural resource management committees. Local communities will be empowered through involvement in PA management, wildlife trade informant networks and demonstration activities in the wider landscape activities, as well as sustainable livelihood development and awareness raising to address existing local resource use conflicts and empower women. Long-term investments to raise staff and institutional capacities for stakeholder participation, and sustained improvements in relations with local communities (through regular communication, joint field operations and targeted awareness raising) will lead to increased levels of local participation and improved PA governance, contributing to the overall sustainability of project outcomes. Given that the agencies involved are already receiving technical support from local

and international CSOs through species assessments, trade studies, capacity building and joint operations (see baseline analysis), this project will serve to strengthen such partnerships both nationally and locally for greater cumulative impact in addressing the illegal wildlife trade.

116. Environmental sustainability will be achieved through a coordinated approach involving a wide range of government and civil society organizations to shift the baseline for wildlife crime such that the risks will outweigh potential rewards, through strengthening the policies, legislation and the institutional capacity to implement throughout the wildlife trade supply chains and with particular focus on priority species and landscapes. This project is one element of the global GEF Program on Illegal Wildlife Trade that will work across the criminal chain and in source-transit-demand countries to establish the enabling environment for preventing IWT. In the demonstration landscapes, improved natural resource management, PA management effectiveness and reduction of external threats on PAs and wildlife through landscape level partnerships, will enhance controls on the wildlife trade and poaching.
117. Innovation and scaling up: particularly innovative aspects of this project include scaling-up the Wildlife Crimes Unit (WCU) approach and the development of cost recovery mechanisms. The WCU is already one of the most successful approaches to combat illegal wildlife trafficking in Asia, albeit on a modest scale currently, and key to the success is the partnership of Indonesian law enforcement agencies (MoEF, INP, MMAF, AGO, PPATK, etc.) working together to combat wildlife crimes. Activities for capturing best practices will be used in the project to help promote replicability, shared through training programmes and the project's Knowledge Management activities.
118. Overall, the project will ensure that information and knowledge accumulated within the project will be codified and documented for sharing and upscaling efforts. It will do this through annual rigorous project implementation review exercises, mid-term and final project review, as well as publication of discussion papers and communication pieces. This project is part of the GEF *Programmatic Approach to Prevent the Extinction of Known Threatened Species*, and is specifically included in 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-fertilisation of the individual regional and national projects will be assured. In addition, design of the project incorporates a number of features related to strengthening the country's knowledge management system and capacity. The project will support establishment of systems for storing and sharing information on illegal and legal wildlife trade volumes, revenues and enforcement actions, including operationalisation of transnational intelligence and information exchange systems with international partners.

Economic and/or financial analysis: N/A

VI. PROJECT RESULTS FRAMEWORK

<p>Intended Outcome as stated in the UNPDF/Country Programme Results and Resources Framework: Outcome 3. By 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with an increased resilience to the effects of climate change, disasters and other shocks.</p> <p>Output 3.3: National/local governments have improved policies, systems, and partnerships with non-state actors to protect biodiversity and endangered species.</p>					
<p>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:</p> <p>CP Output Indicator 1: Extent to which progress is made on the development and implementation of a) the law on conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, and b) guideline on IUU Fishing and illegal wildlife trade;</p> <p>Baseline: 2 (Very Partially); Target: 2 (Largely)</p>					
<p>Applicable Outputs from the 2014 – 2017 UNDP Strategic Plan:</p> <p>Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.</p> <p>Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.</p>					
<p>Applicable Output Indicators from the UNDP Strategic Plan Integrated Results and Resources Framework:</p> <p>Output 1.3 indicator 1.3.1: Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level ,disaggregated by partnership type</p> <p>Output 2.5 indicator 2.5.1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.</p>					
	Objective and Outcome Indicators	Baseline²⁶	Mid-term Target	End of Project Target	Assumptions²⁷
<p>Project Objective:</p> <p>To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia</p>	<p>0.1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems. (IRRF Output 2.5 indicator 2.5.1)</p>	<p><i>UU5/1990²⁸ need to be revised (the current law has not specifically addressed IWT issue; PP7/1999²⁹ has not been revised</i></p>	<p><i>At least 3 additional policies/laws under review;</i></p> <p><i>Policy and institutional framework with specification on</i></p>	<p><i>At least 2 additional laws/policies completed</i></p> <p><i>Articles on IWT are accommodated in</i></p>	<p><i>There is sufficient political will to support revision of key policies, laws and regulations</i></p> <p><i>There are no major bureaucratic delays in seeing revisions through to approval stage</i></p>

²⁶ Baseline, mid-term and end of project levels must be expressed in the same neutral unit of analysis as the corresponding indicator.

²⁷ Risks must be outlined in the Feasibility section of this project document.

²⁸ Act on conservation of living resources and their ecosystems

²⁹ Government Regulation on the Protected Species List

<p>and East and South-East Asia</p>			<p>articles related to IWT PP7/1999, PP8/1999, Permen 447/2003</p> <p>Working procedure of DG Gakkum and DG KSDAE, as well as MoEF and Ministry of Marine and Fisheries are developed.</p>	<p>the revised UU 5/90</p> <p>National strategy for combating IWT developed</p>	
	<p>0.2: Number of direct project beneficiaries:</p> <ul style="list-style-type: none"> - Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f) - Number of local people in project demonstration areas benefiting from engagement in conservation activities, reduced HWC impacts and improved livelihoods (m/f) 	<p>0</p>	<p>At least 1000 personnel have improved knowledge on IWT (500m/500f);</p> <p>At least 300 local people in project demo areas benefit directly from project intervention (150m/150f);</p>	<p>At least 2100 personal have improved knowledge on IWT (1050m/1050f);</p> <p>At least 600 local people in project demo areas benefit directly from project intervention (300m/300f);</p>	<p>Continuing level of political will to support the project intervention</p> <p>Good relationship continues between enforcement agencies and key CSO partners</p> <p>Local people refers to member of Community-Based Partner of Forest Rangers (Masyarakat Mitra Polhut/MMP, CSOs, villagers who act as collector and distributor of illegal wildlife products</p>
	<p>0.3: Expert evaluation of IWT annual volume (number of animal specimens – body parts or live animals) in Indonesia based on the WCS IWT database</p>	<p>4666 wild animals are seized from 34 protected species</p> <p>Source: Lakip, Gakkum 2016</p>	<p>Increasing number of cases prosecuted</p>	<p>Increasing number of settled cases on IWT</p>	<p>Improved legislation (Component 1) and law enforcement (Component 2 and 3) will allow the Indonesian government to decrease the level of unsustainable WT.</p>
	<p>0.4: Number of individuals of IWT flagship species (Sumatran Tiger, Sumatran Rhinoceros, Sumatran Elephant, Black-crested macaque, Anoa</p>	<p>2015: Tiger (5 poached); Elephant (7 poached); Rhino (1 poached);</p>	<p>>20% reduction from baseline</p>	<p>>40% reduction from baseline</p>	<p>Decrease in IWT will lead to decrease in poaching as a main driver of species loss.</p>

	and Babirusa) killed by poachers annually in the 2 project demonstration areas ³⁰	<i>Anoa (10 poached), Babirusa (12), Black-crested macaque (~200)</i>			
Component 1: Effective national framework for managing wildlife trade Outcome 1: Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade	1.1: The following key legislation gaps are addressed by improved IWT legislation documents approved by Government: -Minimum fines and sentences increased to provide deterrent effect; -Non-native endangered species including elephant, rhinoceros, big cat and pangolin species given legal protection -Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species - Authority of forestry civil investigators improved - Detention/prison evaluation for creating deterrent effect and rehabilitation for criminals. - online trade regulation to address online wildlife trafficking.	0	-Minimum fines increase by 25% Average sentences increase by 10% on baseline. Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species, including non-native species	All key gaps incorporated in the issued legislation and be implemented.	<i>There is sufficient political will to support revision of key policies, laws and regulations</i> <i>There are no major bureaucratic delays in seeing revisions through to approval stage</i>
	1.2: Inter-agency taskforce in place and operational as indicated/measured by the signing of an inter-agency agreements targeting IWT	0	<i>Inter-agency taskforce in place and operational; 1 inter agency collaboration agreement</i>	<i>Inter-agency taskforce operational; 1 formal inter agency collaboration agreements</i>	<i>National organizations are willing to collaborate on IWT</i>

³⁰ See also GEF Global Wildlife Program Tracking Tool in **Annex 4**

<p>Component 2:</p> <p>Institutional capacity for implementation and enforcement at the national and international levels</p> <p>Outcome 2:</p> <p>Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels</p>	<p>2.1: Strengthened institutional capacity to combat IWT as indicated by</p> <p>i) the ICCWC Indicator Framework (note – baselines to be determined in year 1),</p> <p>ii) UNDP Capacity Development Scorecard for <i>Gakkum</i> (see Annex 18), and iii) Operational status of <i>Gakkum's</i> Information System</p>	<p>i) ICCWC Indicator Framework – Baseline scores TBD</p> <p>ii) UNDP CD Scorecard Baseline Score: 60%</p> <p>iii) Operational database within <i>Gakkum</i></p>	<p>i) ICCWC Indicator Framework – Midterm targets TBD</p> <p>ii) UNDP CD Scorecard Midterm Target: 70%</p> <p>iii) Data sharing agreements enacted between government agencies</p>	<p>i) ICCWC Indicator Framework – Project Completion targets TBD</p> <p>ii) UNDP CD Scorecard EOP Target: 80%</p> <p>iii) Information System is fully operational and operated by trained staff</p>	<p>Assessments are carried out consistently between years and agencies</p> <p>Strengthened inter-agency collaboration is reflected in the increased scores</p> <p>Political support continues for <i>Gakkum's</i> role in managing the information system on IWT</p>
	<p>2.2:</p> <p>- annual number seizures/arrests</p> <p>- annual number of successful prosecutions</p>	<p>Official national statistics on seizures/arrests and prosecutions</p> <p>From mid-2015 to mid-2016: The WCU facilitated law enforcement operations for 31 cases with 55 people arrested and taken to court. Of those with a known outcome, 41 were prosecuted (100% prosecution). This is for terrestrial species in</p>	<p>Official national statistics on seizure/arrests and prosecutions³¹</p> <p>>10% increase in seizures/arrests from baseline</p> <p>>50% cases prosecuted</p>	<p>Official national statistics on seizures/arrests and prosecutions</p> <p>>25% increase in seizures/arrests from baseline</p> <p>>75% cases prosecuted</p>	<p>Official national statistics are made available to the project as required in a timely manner</p>

³¹ Note – the expected trend would be initial increase in seizures/arrests and prosecutions as enforcement is strengthened, followed by an eventual decrease as increased awareness and deterrence take effect. The timeline for this process is unclear, but the latter stages are likely to occur after the end of the project

		<i>Sumatra and Java.</i>			
	2.3: - Annual number of joined up transnational counter-IWT operations- - Annual number of seizures as a result of transnational counter-IWT operations	<i>No transnational operations</i>	<i>1 transnational operation/seizure</i>	<i>3 transnational operations / seizures</i>	<i>Political support is sustained for international collaboration with key countries</i>
Component 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems	3.1: Enforcement effectiveness at 5 key trade ports (Jakarta, Surabaya, Bitung, Belawan and Kualanamu airport), indicated by: - Annual PortMATE assessment tool scores (average score for KSDA, Customs, Port Management Authority at each port)	<i>PortMATE Baseline scores: Surabaya (Tg Perak):17.00 Belawan: 18.67 (Jakarta, Bitung and Kualanamu to be done in Year 1)</i>	<i>25% increase over baseline score</i>	<i>50% increase over baseline score</i>	<i>Statistics reflect an increase in enforcement effectiveness and not simply improved monitoring and reporting</i>
	3.2: Effective enforcement of two subnational regions known to include significant wildlife trade routes, measured by ³² : - annual number of IWT seizures at the project sites - annual number of IWT investigations leading to arrests at the project sites; - annual number of successful IWT prosecutions at the project sites	<i>4666 wild animals seized from 34 protected species Source: Lakip, Gakkum 2016</i>	<i>Increasing number of cases prosecuted (c.10%)</i>	<i>Increasing number of settled cases on IWT</i>	<i>Assessments are carried out consistently between years and sites</i>
Component 4: Knowledge Management, M&E and Gender Mainstreaming Outcome 4: Implementation and upscaling/replication of	4.1: number of project lessons documented and used by other national and international projects.	<i>0</i>	<i>At least 3 project lessons used by other national and international projects</i>	<i>At least 5 project lessons used by other national and international projects</i>	

³² Note – the expected trend would be initial increase in seizures/arrests and prosecutions as enforcement is strengthened, followed by an eventual decrease as increased awareness and deterrence take effect. The timeline for this process is unclear, but the latter stages are likely to occur after the end of the project

project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming					
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*)Annual target of the project will be defined and adjusted based on approved AWP

VII. MONITORING AND EVALUATION (M&E) PLAN

119. 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 4, which includes 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.
120. 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.
121. 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.

M&E Oversight and monitoring responsibilities:

122. **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.
123. The Project Manager will develop annual work plans based on the multi-year work plan included in **Annex 1**, 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, knowledge management strategy, communications strategy, etc.) occur on a regular basis.
124. **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. Immediately following the Mid Term Review, the Project Board will meet to determine the management response to its findings. 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.
125. **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.

126. **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.
127. 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.
128. 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).
129. **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.
130. **Audit:** The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.³³

Additional GEF monitoring and reporting requirements:

131. **Inception Workshop and Report:** A project inception workshop will be held within three 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 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.
132. 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.
133. **GEF Project Implementation Report (PIR):** The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Adviser will provide objective input to the annual GEF PIR covering the

³³ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

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.

134. 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.

135. 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. This will be supported by knowledge management activities in Component 4, including the sharing of experiences through annual Stakeholder Forum meetings, national and regional workshops and exchange visits, and online information exchange.

136. GEF Focal Area Tracking Tools: The following GEF Tracking Tool will be used to monitor global environmental benefit results: GEF Global Wildlife Programme Tracking Tool. The baseline/CEO Endorsement GEF Focal Area Tracking Tool – submitted as **Annex 4** to this project document – will be updated by the Project Manager/Team and shared with the mid-term review consultants and terminal evaluation consultants (not the evaluation consultants hired to undertake the MTR or the TE) 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.

137. 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 3rd 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.

138. 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 publicly available in English on the UNDP ERC.

139. 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.

140. 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 5. Mandatory GEF M&E Requirements and M&E Budget

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³⁴ (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 15,000		Within three months of project document signature
Inception Report	Project Manager	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	Per year: USD 4,000 x 6 yrs = USD 24,000		Annually
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 4,000 x 6 yrs = USD 24,000		Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Manager	USD 18,000		Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	None		On-going
Addressing environmental and social grievances	Project Manager UNDP Country Office BPPS as needed	None for time of project manager, and UNDP CO		
Project Board meetings	Project Board UNDP Country Office Project Manager	USD 1000 per meeting x 12 = USD 12,000		Meeting twice annually
Technical Advisory Group meetings*	Technical Advisory Committee	USD 1000 per meeting x 12		Meeting twice annually

³⁴ Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³⁴ (US\$)		Time frame
		GEF grant	Co-financing	
	UNDP Country Office Project Manager	= USD 12,000		
Supervision missions	UNDP Country Office	None ³⁵		Annually
Oversight missions	UNDP-GEF team	None ³⁵		Troubleshooting as needed
Knowledge management as outlined in Outcome 4	Project Manager	1% of GEF grant = USD 66,500		On-going
Development and monitoring of gender mainstreaming strategy	M&E and Gender Mainstreaming Specialist	USD 10,000		Develop strategy year 1, monitor implementation annually
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	None		To be determined.
Mid-term GEF Tracking Tool to be updated by (add name of national/regional institute if relevant)	Project Manager	USD 5,000		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 40,000		Between 2 nd and 3 rd PIR.
Terminal GEF Tracking Tool to be updated by (add name of national/regional institute if relevant)	Project Manager	USD 5,000		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 35,000		At least three months before operational closure
Translation of MTR and TE reports into English	UNDP Country Office	USD 10,000		
TOTAL indicative COST (3-5% of GEF grant)		USD 276,500		
Excluding project team staff time, and UNDP staff and travel expenses				

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

141. **Roles and responsibilities of the project's governance mechanism:** The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Indonesia, and the Country Programme.

142. The **Implementing Partner** for this project is the Directorate General of Law Enforcement of the Ministry of Environment and Forestry (Gakkum). The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

143. The project organisation structure diagram is given below (**Figure 5** below).

144. The **Project Board** (also called the Project Steering Committee) is responsible for making by consensus management decisions when guidance is required by the Project Manager, including recommendations

³⁵ The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

for UNDP/Implementing Partner 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 for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. The Project Board shall meet at least twice each year.

145. The terms of reference for the Project Board are given in **Annex 5**. These will be reviewed and finalized at the Project Inception Workshop. The Project Board consists of representatives of the following institutions:

- Gakkum, Ministry of Environment and Forestry (MOEF)
- Directorate of Forestry and Water Conservation, Ministry of National Development Planning (BAPPENAS)
- Directorate of Loan and Grant, Ministry of Finance (MoF)
- Directorate General of Customs and Excise, Ministry of Finance (MoF)
- Indonesian Institute of Science (LIPI)
- Criminal Investigation Department, Indonesian National Police (INP)
- UNDP Country Office Indonesia

146. Other organizations may be added as necessary and agreed by the Project Board. The PMU will serve as secretary for the Project Board.

147. The Director of Forest Protection and Surveillance, of the Directorate General of Law Enforcement of Environment and Forests will act as the **National Project Director (PD)**, who is the MoEF Focal Point for the project. The NPD will be responsible for providing government facilitation and guidance for project implementation. The NPD will not be paid from the project funds, but will represent a Government in-kind contribution to the Project.

Key to the roles in the Project Organization Structure diagram (according to the UNDP template):

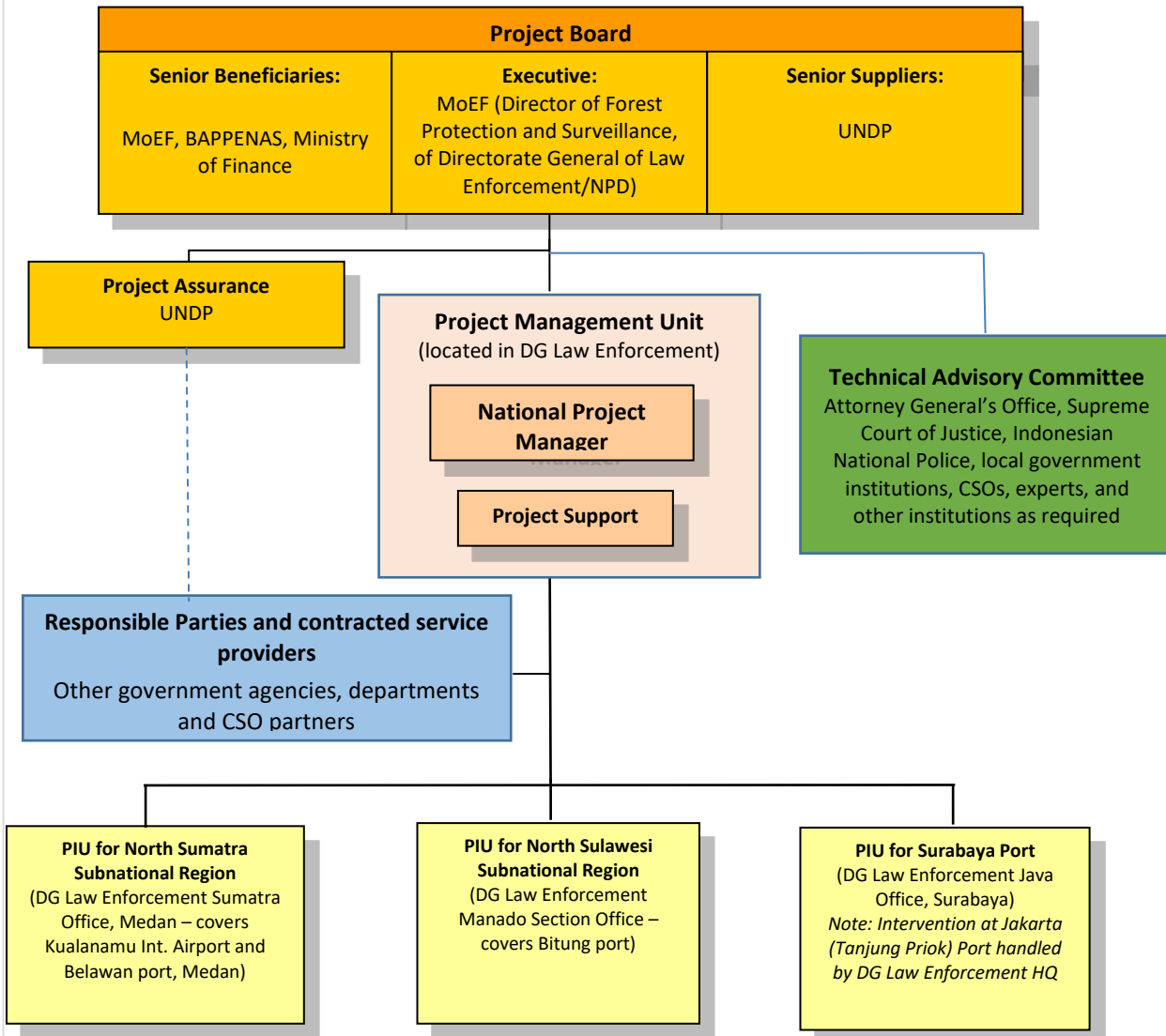
Executive: individual representing the project ownership to chair the Project Board.

Senior Supplier: individual or group representing the interests of the parties concerned which provide funding for specific cost sharing projects and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.

Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

The Project Assurance role supports the Board/Committee's Executive by carrying out objective and independent project oversight and monitoring functions. The PC and Project Assurance roles should never be held by the same individual for the same project. This is the function of UNDP, as UNDP will be responsible for reporting to GEF SEC.

Figure 5. Project Organisation Structure



148. UNDP is the sole GEF Implementing Agency for the project, providing the project assurance and cycle management services. As such, UNDP holds overall accountability and responsibility for the delivery of results to the GEF. Working closely with MoEF, the UNDP Country Office (UNDP CO), specifically the Environment Unit Programme Manager, will provide the project assurance role and will: 1) provide financial and audit services to the project including budget release and budget revision, 2) oversee financial expenditures against project budgets, 3) ensure that all activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures, 4) ensure that the reporting to GEF is undertaken in line with the GEF requirements and procedures, 5) ensure project objectives achievement and timeliness, 6) facilitate project learning, exchange and outreach within the GEF family, 7) contract the project mid-term and final evaluations, and 8) trigger additional reviews and/or evaluations as necessary and in consultation with the project counterparts. The UNDP Country Director or his designated officials will be represented on the Project Board. Strategic oversight and additional quality assurance will be provided by the UNDP/GEF Regional Technical Advisor (RTA) responsible for the project. This oversight will include ensuring that the project practices due diligence with regard to UNDP's Social and Environmental Screening Procedure (see Annex 6).

149. Based on the approved Annual Work Plan, UNDP provides the required financial resources to the Implementing Partner to carry out project activities. The transfer of financial resources is done in accordance with the Harmonized Approach to Cash Transfer (HACT) mechanism, which identifies the following four cash transfer modalities:

- i. Direct Cash Transfers to Implementing Partners, for obligations and expenditures to be made by them in support of activities;
- ii. Direct Payments to vendors and other third parties, for obligations incurred by the Implementing Partners;
- iii. Reimbursement to Implementing Partners for obligations made and expenditure incurred by them in support of activities;
- iv. Direct Agency Implementation through which UNDP makes obligations and incurs expenditure in support of activities (Country Office Support Services – COSS).

150. Under the COSS arrangement, UNDP will be responsible for (i) the identification and recruitment of project and programme personnel, (ii) procurement of goods and services, (iii) the administration of donor financial contributions and, (iv) provision of other technical or administrative support required to deliver the outputs. In providing these services, UNDP will apply its rules and regulations. Services provided by the UNDP Country Office, including those through the COSS modality, will be subject to audit by UNDP's external (the United Nations Board of Auditors) and/or internal auditors (UNDP's Office of Audit and Investigation).

151. UNDP will provide technical guidance, administrative and managerial support and oversight to the project. A National Project Director will be appointed by the Implementing Partner to oversee and provide appropriate guidance to the UNDP-Project Management Unit, which will manage day to day activities of the project. However, the Implementing Partner will retain overall ownership of the programme, including authority to provide strategic guidance and to endorse the project Annual Work Plan.

152. With respect to the Government of Indonesia's reporting procedures on grant realization, UNDP shall prepare the Minutes of Handover (Berita Acara Serah Terima – BAST) of Goods and Services to be signed jointly by UNDP and the Implementing Partner's Authorized Budget Owner (Kuasa Pengguna Anggaran - KPA). This will be submitted by the Implementing Partner to the Directorate General of Budget Financing and Risk Management (Direktorat Jenderal Pengelolaan Pembiayaan dan Risiko– DJPPR) and the State Treasury Service Office (Kantor Pelayanan Pembendaharaan Negara – KPPN) under the Directorate General of Treasury (Direktorat Jenderal Perbendaharaan) of the Ministry of Finance.

153. The **Project Manager (PM)** will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board, and head the **Project Management Unit (PMU)**. The Project

Manager function will end when the final project terminal evaluation report, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project). The PM will be responsible and accountable for the implementation of the project. The PM will be paid by project funds. See **Annex 5** for the ToR for this position.

154. A **Technical Advisory Committee (TAC)** will be established to provide technical advice and inputs relating to project implementation and will be chaired by the PD with support from the PM. The members of the TAC will consist of representatives from MoEF, UNDP, AG Office, Ministry of Justice, Quarantine, provincial governments, other relevant government agencies, research and educational organizations, NGOs (including WCS), technical experts and other relevant stakeholders to be agreed by the National Project Director. Technical experts may be invited in to discuss specific issues.

155. While the TAC will primarily focus on project-related issues, the intention is that this group would evolve to provide technical support to the Gakkum/MoEF on a wide range of issues concerning illegal and unsustainable wildlife trade. During the project period, the TAC will provide a means of updating related stakeholders at the national level about project implementation progress, to share lessons learned from project implementation, to obtain information about and coordinate with related initiatives, and to obtain technical advice on specific issues. There should be an option to request the TAC or a subset of its members to undertake specific project-related tasks, such as preparing or reviewing analytical reports, strategies and action plans, etc. See **Annex 5** for ToR for the TAC.

Governance role for project target groups:

156. Components 1 and 2 of this project focus on agency staff involved in policy and legislation development, law enforcement, the judiciary, and supportive scientific bodies related to unsustainable and illegal wildlife trade. The key target groups will all be represented on the Project Board (see above), while others including technical advisory organizations will be represented on the Technical Advisory Committee.

157. Component 3 focuses on the two demonstration subnational regions in northern Sumatra and northern Sulawesi, where technical assistance would be provided by the Wildlife Conservation Society (WCS) and local CSOs. Component 3 also focuses on demonstration activities at four ports and one airport (three of which fall within the demonstration subnational regions) at which the DG of Customs and Excise of the Ministry of Finance would be an important partner.

158. Implementation of local stakeholder involvement will start out with identifying key communities within each demonstration subnational region to work with on specific issues, according to baseline information and consultations during the PPG (see **Annexes 11 and 16**, on landscape profiles and socioeconomic assessment respectively). It recognizes the need for strong local CSOs and CBOs as effective partners for addressing wildlife trade issues (especially in source areas), and will seek to strengthen existing local CSOs/CBOs and/or develop new CBOs to fulfil such roles. The CSOs/CBOs will be responsible for specific tasks in the demonstration regions and will be supported by central project management and the demonstration region management teams. Experienced staff will be appointed to act as focal points for community engagement and development, and will assign and train community facilitators to lead the community participation and capacity development processes. There will be proactive consideration of the involvement of women and ethnic minorities on local level committees and groups related to project activities including community co-management, training and awareness activities. See the **Results and Partnerships Section IV** for further details.

159. UNDP Direct Project Services as requested by Government (if any): The UNDP, as GEF Agency for this project, will provide project management cycle services for the project as defined by the GEF Council. In addition the Government of Indonesia may request UNDP direct services for specific projects, according to its policies and convenience. The UNDP and Government of Indonesia acknowledge and agree that those services are not mandatory, and will be provided only upon Government request. If requested, the services

would follow the UNDP policies on the recovery of direct costs. These services (and their costs) are specified in the Letter of Agreement (**Annex 10**). As is determined by the GEF Council requirements, these service costs will be assigned as Project Management Cost, duly identified in the project budget as Direct Project Costs. Eligible Direct Project Costs should not be charged as a flat percentage. 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: “64398- Direct Project Costs – Staff” and “74598- Direct Project Costs – General Operating Expenses (GOE)”.

160. 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 Policy³⁶ and the GEF policy on public involvement³⁷.

Project management:

161. The **Project Management Unit (PMU)** will be established within the Gakkum at MoEF Headquarters in Jakarta headed by the PM and staffed by project hired personnel, and supported by project partner staff according to the terms of related agreements for cooperation between the MoEF and the project partners.

162. Senior staff experts from the project partners will provide the primary technical assistance required by the project for policy, legal and regulatory analysis and development, and information management (component 1); institutional capacity building and training (component 2); coordinated law enforcement operations for landscapes and ports, including awareness raising and community engagement (component 3); and knowledge management and monitoring (component 4). These inputs will be delivered through agreements between the project partners, and subcontracts between UNDP CO and service providers. Beyond these inputs, additional technical experts will be recruited to assist the Project Manager, PMU and Gakkum staff with implementation of specific project activities.

163. Recruitment of specialist services for the project will be done by the PM (MoEF) in consultation with the UNDP. The PM will also liaise and work closely with all partner institutions to ensure strong coordination with other complementary national programmes and initiatives. The organogram for project management illustrates the working relationship between the main project implementing units and parties.

164. The demonstration activities in Component 3 of the project (for two subnational regions, four seaports and one airport) will be coordinated by **Project Implementation Units (PIUs)**, each of which will be led by a manager of the relevant regional or local office of the Gakkum and supported by one Project Liaison Officer per region. Existing regional and local capacity and key stakeholders for IWT enforcement in each of the demonstration regions is outlined in the regional profiles (see **Annex 11**). Technical assistance will be provided for project implementation in each demonstration region through subcontracted inputs from WCS and other partners. Key features of the two demonstration regions are summarized in **Table 6** below:

Table 6. Key features of the project demonstration regions

Features	Demonstration Regions	
Name	Northern Sumatra	Northern Sulawesi

³⁶ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

³⁷ See https://www.thegef.org/gef/policies_guidelines

Administrative Units	Aceh province and Langkat Regency of North Sumatra province	Gorontalo and North Sulawesi provinces
DG Law Enforcement Offices	Medan (Sumatra regional office)	Manado (Section office) Sulawesi regional office is in Makassar
Land area	6,272 km ² (Langkat Regency) 58,377 km ² (Aceh Province) Total: 64,649 km ²	11,257 km ² (Gorontalo) 13,851 km ² (North Sulawesi) Total: 25,108 km ²
Population (Jan 2014 Estimate) ³⁸	967,535 (Langkat Regency) ³⁹ 4,731,705 (Aceh) Total: 5,699,240	1,134,498 (Gorontalo) 2,382,941 (North Sulawesi) Total: 3,517,439
Key Protected Areas and size in ha	Gunung Leuser NP 1,094,692 ha	Bogani Nani Wartabone NP 287,115 ha
Globally significant species	Sumatran Tiger, Sumatran Elephant, Sumatran Orang-utan, Sumatran Rhinoceros, Sunda Pangolin	Anoa, Babirusa, Celebes Crested Macaque, Yellow-crested cockatoo, Maleo, Green and Hawksbill Turtles.
Key species impacted by wildlife trade	Sunda Pangolin, Sumatran Tiger, Sumatran Elephant, tortoises and freshwater turtles, birds, Greater Slow Loris, macaques, Sun Bear, Sumatran Rhinoceros	Birds sourced locally and in transit, including Yellow-crested cockatoo, parrots and lorries, white-eyes, munias, and hornbills. Green and Hawksbill Turtles, sharks, Pangolins, Tarsier, Slow Loris, etc. Many species taken for local bushmeat trade including Anoa, Babirusa, Black Crested Macaque, Maleo eggs.
Key ports and markets involved in wildlife trade	Kuala Namu international airport and Belawan seaport, Medan market	Bitung seaport, Manado port, Tomohon market
Key local stakeholders	BKSDA, NP staff, local and int CSOs, port authorities, police, etc.	BKSDA, NP staff, local and int CSOs, port authorities, police, etc.

IX. FINANCIAL PLANNING AND MANAGEMENT

165. The total cost of the project is USD 51,937,595. This is financed through a GEF grant of USD 6,988,853, and USD 44,948,742 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.

Parallel co-financing: The planned parallel co-financing will be used as follows:

³⁸ January 2014: Estimasi Penduduk Menurut Umur Tunggal Dan Jenis Kelamin 2014 Kementerian Kesehatan <http://www.depkes.go.id/downloads/Penduduk%20Kab%20Kota%20Umur%20Tunggal%202014.pdf>

³⁹ 2010 census

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Government (MoEF)	Grant	42,848,742	Office space for PMU, staff inputs to implementation of all project components, use of government equipment, vehicles, facilities, etc. Routine law enforcement patrols, routine operations to protect forest area, infrastructures procurement and maintenance related to law enforcement activities, training for forest rangers, equipment for monitoring and patrolling, coordination and collaborations on forest protection and surveillance, pre-emptive and preventive activities related to forest protection and surveillance.	Unforeseen budget cuts to relevant agencies	GEF budget allocated for specific activities and outputs sufficient to achieve results
CSO (WCS)	Grant	2,000,000	Various outputs in Components 1, 2 and 3	Changes in relations with government	WCS has agreements with MoEF covering project related interventions
UNDP	Grant	100,000	Strengthen coordination among law enforcement agencies, promoting knowledge exchange, and leveraging possible resources to sustain project results.	Change in Government structure may affect programming priority and participation of relevant key Government partner in the project activities.	UNDP and the project team will provide equal information and written progress report to the beneficiaries both policy maker and technical staff. Further, regular project reporting will be distributed to the project board members and strengthen knowledge management system

166. The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF.
167. Advance Authorization: As discussed and agreed at the Project Appraisal Committee (PAC) meeting dated 15 June 2017, the Implementing Partner and UNDP deemed necessary to accelerate the project implementation. Therefore, an Advance Authorization will be undertaken in accordance with UNDP Policy and Regulation.
168. Budget Revision and Tolerance: As per the UNDP requirements outlined in the UNDP POPP, the project board can 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.
169. Project Closure: Project closure will be conducted as per the UNDP requirements outlined in the UNDP POPP (see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>). On an exception 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.
170. UNDP and Government of Indonesia may decide to extend the duration of the project to take account of delays in implementing certain activities and therefore in producing results or received additional financial resources. Such extensions shall be consulted with the Project Board. Upon approval by the Project Board, the revised project document shall be signed by all the signatories to the original project document or agreed by exchange of letter, subject to UNDP and Government regulations. The request for extension of project document amendment will be consulted with the government at least 2 (two) months before the financial closing date.
171. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed including the final clearance of the Terminal Evaluation Report that must be available in English, and after the final project board meeting. The Implementing Partner through a Project Board decision, will notify the UNDP Country Office when the operational closure has been completed. The relevant parties will then agree on the disposal of any equipment that is still the property of UNDP.
172. 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). Upon the financial completion, UNDP will notify the government and provide the report as a basis for project completion.
173. 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 Country Office.
174. 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.

X. TOTAL BUDGET AND WORK PLAN

NOTE to project developer: This table must be completed using a separate excel file and then copied here. All sub-totals and totals should be tally. All figures must be “numeric value”, not as “text”. The TBWP table of the ProDoc need to be compliant with the table B and D of the CEO endorsement template).

Total Budget and Work Plan	
Atlas Proposal or Award ID	00094636
Atlas Project ID	00098732
Atlas Proposal or Award Title	Illegal Wildlife Trade Indonesia
Atlas Business Unit	IDN10
Atlas Primary Output Project Title	Combatting Illegal and Unsustainable Trade in Endangered Species in Indonesia
UNDP-GEF PIMS No.	5391
Implementing Partner	Ministry of Environment and Forestry (Directorate General for Law Enforcement of Environment and Forestry)

Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2017 (USD)	Amount 2018 (USD)	Amount 2019 (USD)	Amount 2020 (USD)	Amount 2021 (USD)	Amount 2022 (USD)	Amount 2023 (USD)	Total (USD)	Budget Note
COMPONENT 1: Strengthened national policy, legal and institutional framework for regulating commercial wildlife trade and combating illegal wildlife trade										
71200	International Consultants									
71300	Local Consultants									
71400	Contractual Services-Individual	1.715	10.292	10.292	10.292	10.292	10.292	8.578	61.753	1
71800	Contractual Services-Impl Partner	2.748	16.487	16.487	16.487	16.487	16.487	13.739	98.922	2
72100	Contractual Services-Companies		54.560	54.560	54.560	54.560	54.560	68.200	341.000	3
71600	Travel	2.500	2.500	2.500	2.000	2.000	2.000	2.000	15.500	4
72200	Equipment & Furniture		22000	-	-	-			22.000	5

Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2017 (USD)	Amount 2018 (USD)	Amount 2019 (USD)	Amount 2020 (USD)	Amount 2021 (USD)	Amount 2022 (USD)	Amount 2023 (USD)	Total (USD)	Budget Note
72800	Information Technology Equipment	9.000	29.500	-	-	-	-	-	38.500	6
72400	Communication & audio visual equipment	2.000	2.880	2.880	2.880	2.880	2.880	1.600	18.000	7
72500	Supplies	1.000	2.600	2.600	2.600	2.600	2.600		14.000	8
74200	Audio Visual & print production costs	1.500	5.600	5.600	5.600	5.600	5.600	5.500	35.000	9
75700	Training, Workshops and Conference	41.994	61.230	61.230	61.230	61.230	44.455	71.956	403.325	10
	Total Component 1	62.457	207.649	156.149	155.649	155.649	138.874	171.573	1.048.000	
COMPONENT2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels										
71200	International Consultants	-	-	-	-	-	-		-	
71300	Local Consultants	-	18.600	23.250	23.250	18.600	9.300		93.000	11
72100	Contractual Services-Companies	0	205.700	257.125	257.125	102.850	102.850	102.850	1.028.500	12
71400	Contractual Services-Individual	1.715	10.292	10.292	10.292	10.292	10.292	8.578	61.753	13
71600	Travel	2.000	13.776	13.776	12.608	17.608	7.658	13.018	80.444	14
71800	Contractual Services-Impl Partner	6.217	37.304	37.304	37.304	37.304	37.304	31.086	223.823	15
72200	Equipment & Furniture	-	76.000	-	-	-	-		76.000	16
72800	Information Technology Equipment	9000	100.500	36.500	-	-	-		146.000	17
72400	Communication & audio visual equipment	15.000	10.000	10.000	10.000	10.000	10.000	10.000	75.000	18
72500	Supplies	1.500	16.300	16.300	16.300	16.300	8.150	6.650	81.500	19
74200	Audio Visual & print production costs	5.000	22.200	22.200	22.200	22.200	11.100	6.100	111.000	20

Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2017 (USD)	Amount 2018 (USD)	Amount 2019 (USD)	Amount 2020 (USD)	Amount 2021 (USD)	Amount 2022 (USD)	Amount 2023 (USD)	Total (USD)	Budget Note
75700	Training, Workshops and Conference	50.708	46.996	46.996	46.996	38.438	4.846		234.980	21
	Total Component 2	91.140	557.668	473.743	436.075	273.592	201.500	178.282	2.212.000	
COMPONENT 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems										
71200	International Consultants	0	24.000	24.000	24.000	24.000	12.000	12.000	120.000	22
71300	Local Consultants	0	28.000	28.000	28.000	28.000	14.000	14.000	140.000	23
72100	Contractual Services-Companies	0	205.200	273.600	342.000	273.600	205.200	68.400	1.368.000	24
71400	Contractual Services-Individual	3.430	20.584	20.584	20.584	20.584	20.584	17.156	123.506	25
71600	Travel	2.500	28.204	28.204	28.204	28.204	2.900	26.931	145.147	26
71800	Contractual Services-Impl Partner	8.965	53.791	53.791	53.791	53.791	53.791	44.825	322.745	27
72200	Equipment & Furniture	0	8.000	8.000	8.000	8.000	4.000	4.000	40.000	28
72800	Information Technology Equipment	9.000	23.000	0	0	0	0		32.000	29
72400	Communication & audio visual equipment	1.000	18.300	18.300	18.300	18.300	9.150	8.150	91.500	30
72500	Supplies	1.500	22.000	22.000	22.000	22.000	11.000	8.500	109.000	31
74200	Audio Visual & print production costs	1.000	22.200	22.200	22.200	22.200	11.100	9.100	110.000	32
75700	Training, Workshops and Conference	31.621	119.221	119.221	119.221	85.000	27.855	17.463	519.602	33
	Total Component 3	59.016	572.500	617.900	686.300	583.679	371.580	230.525	3.121.500	
COMPONENT 4: Strengthened national policy, legal and institutional framework for regulating commercial wildlife trade and combating illegal wildlife trade										
71200	International Consultants			16.250			19.500		35.750	34

Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2017 (USD)	Amount 2018 (USD)	Amount 2019 (USD)	Amount 2020 (USD)	Amount 2021 (USD)	Amount 2022 (USD)	Amount 2023 (USD)	Total (USD)	Budget Note
71300	Local Consultants		20.000	28.750	15.000	15.000	30.500	15.000	124.250	35
71600	Travel			8.500	3.500	3.500	3.500		19.000	36
74200	Audio Visual & print production costs	500	750	750	750	750	500	500	4.500	37
74100	Professional Services	-	4.000	9.000	4.000	4.000	9.000	4.000	34.000	38
75700	Training, Workshops and Conference	5.386	14.000	14.000	4.000	4.000	4.000	13.614	59.000	39
	Total Component 4	5.886	38.750	77.250	27.250	27.250	67.000	33.114	276.500	
Project Management										
71300	Local Consultants	-	-	-	-	-	-	18.589	18.589	40
71400	Contractual Services-Individual	3.521	21.129	21.129	21.129	21.129	21.129	17.606	126.772	41
71800	Contractual Services-Impl Partner	389	2.332	2.332	2.332	2.332	2.332	1.943	13.992	42
71600	Travel	2.000	4.000	4.000	4.000	4.000	4.000	2.000	24.000	43
72200	Equipment & Furniture	2.000	1.000						3.000	44
72800	Information Technology Equipment	9.000	10.500						19.500	45
72400	Communication & audio visual equipment	1.000	2.000						3.000	46
72500	Supplies	500	1.000	1.000	1.000	1.000	1.000	500	6.000	47
74200	Audio Visual & print production costs	500	2.000	3.000	3.000	4.000	5.000	500	18.000	48
74598/64398	UNDP Direct Project Costs	20.000	15.000	15.000	10.000	10.000	10.000		80.000	49
74500	Miscellaneous Expenses	1.000	2.000	3.000	3.000	4.000	5.000		18.000	50
	Total Project Management	39.910	60.961	49.461	44.461	46.461	48.461	41.138	330.853	
	SUB-TOTAL GEF	258.409	1.437.528	1.374.503	1.349.735	1.086.631	827.415	654.632	6.988.853	
	PROJECT TOTAL								6.988.853	

Budget Notes

Component 1		
1	Contractual Service - Individual Contract under UNDP contract. Total estimate cost is USD 61,753.	
2	Contractual Service - Individual Contract under Implementing Partner contract. Estimate cost is USD 98,922	
3	Cost of contracting service providers/companies to, <ul style="list-style-type: none"> Prepare & facilitate workshops for 5 key themes (consultancy fee = \$60,000; travel = \$5500; 2 laptops = \$3000; communications = \$3000; printing = \$3000) (Output 1.1) Support CITES implementation, permitting process/listed species, and regulatory mechanisms with training workshops and technical support (consultancy fee = \$55,000; travel = \$5500; 1 laptop = \$1500; supplies = \$1500; communications = \$3000; printing = \$3000) (Output 1.1). Support establishment of national Taskforce (consultancy fee = \$22,500; travel = \$1500; 1 laptop = \$1500; communications = \$1500; printing = \$1500) and support Taskforce strategy development (consultancy fee = \$22,500; travel = \$1500) (Output 1.2). Conduct economic assessment and facilitate consultation workshops (consultancy fee = \$38,000; travel = \$3000; 1 laptop = \$1500; supplies = \$1500; communications = \$1500; printing = \$3000; 2 consultation workshops = \$6000 and 1 dissemination workshop = \$3000) (Output 1.3). Conduct study of cost recovery mechanisms and facilitate consultation workshops (consultancy fee = \$30,000; travel = \$1500; printing = \$1500; 2 workshops = \$7000) (Output 1.3). Support formulation of policy and actions on cost-recovery (consultancy fee = \$30,000; travel = \$3000; communications = \$1500; printing = \$1500; 2 workshops = \$10,500) (Output 1.3). 	
	Total estimated cost is \$341,000	
	4	Costs towards travel expenses is \$15,500 (approx. \$2,500/year), which is primary for supporting travel to training, workshops and other meetings (Outputs 1.1-1.2).
	5	Office equipment and furniture for Gakkum/Taskforce (meeting table/chairs, computer table/chairs, filing cabinets etc) (Outputs 1.1-1.2). Total estimated cost is \$22,000.
	6	Procure information technology equipment for use by Gakkum and Taskforce including computers (at \$1500 each, 10 units), digital cameras (at \$1500 each, 3 units), colour printers (at \$5000 each, 3 units) and in-focus (at \$2000 each, 2 units) (Outputs 1.1-1.2). Total estimated cost is \$38,500.
	7	Costs of mobile phone vouchers/communication over project lifespan (\$3000/year). Total estimated cost is \$18,000.
	8	Cost of purchasing office supplies and stationery for the project office (at approx. \$166/month). Total estimated cost is \$14,000.
9	Costs of printing and publication - As part of the development of training materials, policy briefs, technical reports, strategy documents and communication activities for internal meetings, trainings, workshops and conferences. Total estimated cost is \$35,000.	
10	Costs of conducting training and training workshops as follows:	

	<ul style="list-style-type: none"> Policy revisions including i) Confirmation of policy, legislative and regulatory needs for key partner agencies; ii) Finalization of new/revised Act to replace UU5/1990; iii) Plan to renew the list of protected species in PP7/1999; iv) Regulation/permitting for sustainable breeding of commonly traded wildlife; v) Protection of non-natives species. 6 meeting for each of the 5 core themes with an average meeting cost of \$10,000 (this will involve a combination of multiple small meetings and 1-2 larger workshops) and Facilitate improvements to legislative framework (protect ted species list, minimum penalty for wildlife crimes, test/implement anti money-laundering act re IWT) - 5 annual meetings/core theme (30 meetings = \$300,000) (Output 1.1).
	<ul style="list-style-type: none"> Support to regulatory mechanisms development - CITES technical training (2 training sessions, \$7500 each) and piloting CITES e-permits (2 workshops, \$7500 each) (Output 1.1).
	<ul style="list-style-type: none"> Develop National Wildlife Crime Taskforce proposal (2 workshops, \$6,000 each), Facilitate the establishment of a National Wildlife Crime Taskforce (4 meetings, \$6,000 each), and Taskforce IWT meetings (6 meetings, \$6,000 each) (12 meetings = \$72,000) (Output 1.2).
	Total estimated cost is \$403.325
Component 2	
11	<p>Cost of contracting service providers/companies to,</p> <ul style="list-style-type: none"> Improved investigator training in forensic analysis (consultancy fee = \$45,000) (Output 2.3). Collaboration with Eijkman Institute and litbang hut (FORDA) for technical support for laboratories (consultancy fee = \$48,000) (Output 2.3).
	Total estimated cost is \$93,000
12	<p>Cost of contracting service providers/companies to,</p> <ul style="list-style-type: none"> Provide technical assistance to strengthen Gakkum to operate in Sumatra, Java, and Wallacea region, with support from WCS-WCU over 6 years (consultancy fee = \$300,000; travel = \$36,000; 1 laptop = \$1500; communications = \$30,000; biannual review meetings with WCU and key government partners) (Output 2.1). Provide technical assistance/training to strengthen Gakkum operation room as intelligence /cybercrime analysis centre for law enforcement operation, with support from the WCS-WCU (consultancy fee = 60,000; travel = \$9000; communications = \$3000) (Output 2.1). Provide technical assistance to Gakkum to conduct research on wildlife trafficking, producing various peer-reviewed articles, and strategy formulation, with support from WCS-WCU (consultancy fee = \$90,000; travel = \$9000; communication = \$6000; supplies = \$6000; 12 bi-annual coordination meetings = \$12,000) (Output 2.1).
	<ul style="list-style-type: none"> Develop training modules with various agencies (e.g. detection, species identification, investigators, prosecutors, international conventions/agreements) (consultancy fee = \$126,000; travel = \$12,000; communications = \$3000; supplies = \$3000; 6 meetings = \$6000) (Output 2.2). Deliver high quality training in priority IWT topics (consultancy fee = \$210,000 for training over 6 yrs) (Output 2.2). Training for improved investigator training in forensic analysis (including securing crime scene, DNA sampling (consultancy fee = \$51,000) (Output 2.3). Develop and support a systematic approach to increase media coverage of IWT cases (consultancy fee = \$15,000) (Output 2.5). Use social/online media to distribute IWT case information (consultancy fee = \$15,000; 5 meetings = \$10,000) (Output 2.5). Support targeted awareness campaigns (consultancy fee = \$15,000) (Output 2.5).
	Total estimated cost is \$1,028,500

13	Contractual Service - Individual Contract under UNDP contract. Estimate cost is USD 61,753.
14	Costs towards travel expenses is \$80,444 (approx. \$11,492/year), which is primary for supporting travel to training, workshops and other meetings.
15	Contractual Service - Individual Contract under Implementing Partner contract. Estimate cost is USD 223,823
16	Office equipment and furniture for Gakkum operations room (meeting table/chairs, computer table/chairs, filing cabinets etc) and equipment for Gakkum/Eijkmann as determined during project. Total estimated cost is \$76,000.
17	Procure information technology equipment for use by Gakkum and other partnering law enforcement agencies (30 laptops at \$1500 each; 3 high spec PCs at \$6500 each; 4 i2 software licences at \$10,000 each; 3 in-focus at \$2000 each; 6 digital cameras at \$1000 each, 3 high spec printer at \$7500 each). Total estimated cost is \$146,000.
18	Costs of mobile phone vouchers/communication over project lifespan (\$12,500/year). Total estimated cost is \$75,000.
19	Cost of purchasing office supplies and stationery for the project office (at approx. \$1,132/month). Total estimated cost is \$81,500.
20	Costs of printing and publication - As part of the development of training materials, policy briefs, technical reports, strategy documents, communication pieces (Output 2.5) for internal meetings, trainings, workshops and conferences. Total estimated cost is \$111,000.
21	Costs of conducting training and training workshops as follows:
	<ul style="list-style-type: none"> Strengthen Gakkum (12 meetings/training, \$2500 each) (Output 2.1)
	<ul style="list-style-type: none"> Provide technical assistance/training to strengthen Gakkum as intelligence /cybercrime analysis centre for law enforcement operation (3 trainings, \$5000 each) (Output 2.1)
	<ul style="list-style-type: none"> Meetings on producing counter-IWT job descriptions and performance criteria (6 meetings, \$3500 each) (Output 2.2).
	<ul style="list-style-type: none"> Deliver high quality training in IWT priority topics (24 training workshops, \$4,000 each) (Output 2.2).
	<ul style="list-style-type: none"> Preparation for improved investigator training in forensic analysis (6 meetings, \$2000 each) (Output 2.3).
	<ul style="list-style-type: none"> Training for improved investigator training in forensic analysis (3 training workshops, \$4000 each) (Output 2.3).
	<ul style="list-style-type: none"> Collaboration with Eijkman Institute and litbang hut (FORDA) for technical support for laboratories (6 annual meetings, \$2500 each) (Output 2.3).
	<ul style="list-style-type: none"> Develop and implement project communications strategy to reduce IWT demand (3 meetings, \$1000 each) (Output 2.5).
	<ul style="list-style-type: none"> Develop and support a systematic approach to increase media coverage of IWT cases (5 meetings, \$1500 each) (Output 2.5).
	Support targeted awareness campaigns (6 events, \$3750 each) (Output 2.5).
	Total estimated cost is \$234,980.
Component 3	
22	Cost of contracting international consultants to,
	<ul style="list-style-type: none"> Use of PortMATE assessment tool to track improvements in enforcement at all five ports in line with the global wildlife trafficking and ports project (consultancy fee = \$40,000) (Output 3.1)
	<ul style="list-style-type: none"> Capacity building / training activities (taken from global ports project) (consultancy fee = \$40,000) (Output 3.1)
	<ul style="list-style-type: none"> Pilot Dubai Customs World system at Surabaya port as contribution to / with TA from the global wildlife trafficking and ports project (consultancy fee = \$40,000) (Output 3.1).
	Total estimated cost is \$120,000

23	Cost of contracting local consultants to,
	<ul style="list-style-type: none"> Information sharing mechanisms (national level forum discussion between relevant agencies) (consultancy fee = \$7500) (Output 3.1).
	<ul style="list-style-type: none"> To consider: development of wildlife handling facilities for each port, with trained staff, and procedures for how to dispose of confiscated wildlife quickly and efficiently in terms of welfare, supporting conservation efforts, etc., without impacting legal evidence requirements for cases (consultancy fee = \$7500) (Output 3.1).
	<ul style="list-style-type: none"> Engage local NGOs/CSOs to conduct awareness programmes in schools, churches, mosques, and community centres + capacity development for communities (consultancy fee = \$125,000)
	Total estimated cost is \$140,000.
24	Cost of contracting service providers/companies to,
	<ul style="list-style-type: none"> Provide technical support to set up subnational level IWT forum to facilitate inter-agency coordination for each demonstration region based on series of stakeholder consultations to detail wildlife trade chains, key species involved, key actors (consultancy fee = \$40,000) (Output 3.2).
	<ul style="list-style-type: none"> Coordination of information through CID, customs, quarantine, INTERPOL, immigration, anti-corruption agency and other information systems to combat IWT (consultancy fee = \$63,000; travel = \$12,000; supplies = \$3000; 6 meetings = \$6000) (Output 3.2).
	<ul style="list-style-type: none"> Provide technical assistance to support Gakkum to establish/expand in northern Sumatra and northern Sulawesi demonstration regions, technical assistance provided by WCS-WCU (consultancy fee = \$70,000 for 2 landscapes; travel = \$10,000; supplies = \$2000; printing = \$4000) (Output 3.3).
	<ul style="list-style-type: none"> Work with local stakeholders to monitor and report IWT in northern Sumatra and northern Sulawesi demonstration sites over 6 years (Consultancy fees for 2 landscape teams = \$240,000; travel = \$36,000; supplies = \$24,000; printing = \$24,000; monthly stakeholder meetings over 6 yrs = \$48,000); and in Ulu Masen (1 landscape; consultancy fee = \$60,000; travel = \$24,000; supplies = \$12,000; printing = \$12,000; monthly stakeholder meetings over 6 yrs = \$24,000) (Output 3.3).
	<ul style="list-style-type: none"> Employment of local people as informants (NGO consultancy fee = \$144,000; community informant honorarium = \$240,000; travel \$36,000; 1 laptop = \$1500; digital camera = \$1500; supplies = \$12,000; printing = \$18,000; 6 annual strategic planning meetings \$24,000) (Output 3.4).
	<ul style="list-style-type: none"> Engagement of local communities in patrolling, market surveillance, HWC mitigation/livelihood issues (consultancy fee = \$72,000; travel = \$18,000; 2 laptops = \$3000; communications = \$18,000; supplies = \$12,000; printing = \$18,000; 6 meetings \$36,000) (Output 3.4).
	Total estimated cost is \$1,368,000.
25	Contractual Service - Individual Contract under UNDP contract. Estimate cost id USD123,506
26	Costs towards travel expenses is \$145,147 (approx. \$20,735/year), which is primary for supporting travel to training, workshops and other meetings.
27	Contractual Service - Individual Contract under Implementing Partner contract. Estimate cost is USD 322,823
28	Office equipment and furniture for partner agencies to monitor online IWT/hold inter-agency meetings at Gakkum subnational offices (meeting table/chairs, computer table/chairs, filing cabinets etc). Estimate cost USD 40,000.
29	Procure information technology equipment for use by Gakkum and other partnering law enforcement agencies in 2 subnational demonstration sites (8 laptops = \$12,000; 4 digital cameras = \$4000; 2 in-focus = \$4000; 2 colour printers = \$10,000). Total estimated cost is \$32,000.
30	Costs of mobile phone vouchers/communication over project lifespan (\$15,250/year). Total estimated cost is \$91,500.
31	Cost of purchasing office supplies and stationery for the project office (at approx. \$1297/month). Total estimated cost is \$109,000
32	Costs of printing and publication - As part of the development of training materials, policy briefs, technical reports, strategy documents, communication pieces for internal meetings, trainings, workshops and conferences. Total estimated cost is \$110,000.

	Costs of conducting training and training workshops as follows:
	<ul style="list-style-type: none"> Use of PortMATE assessment tool to track improvements in enforcement at all five ports in line with the global wildlife trafficking and ports project (5 ports, meetings to assessment/review/adapt, \$10,000/port) (Output 3.1).
	<ul style="list-style-type: none"> Capacity building / training activities (taken from global ports project) (5 port training workshops, \$10,000 each) (Output 3.1).
	<ul style="list-style-type: none"> Pilot Dubai Customs World system at Surabaya port as contribution to / with TA from the global wildlife trafficking and ports project (5 annual review meetings, \$10,000 each) (Output 3.1).
	<ul style="list-style-type: none"> Information sharing mechanisms (national level forum discussion between relevant agencies) (6 annual multi-agency meetings, \$3000 each) (Output 3.1).
33	<ul style="list-style-type: none"> To consider: development of wildlife handling facilities for each port, with trained staff, and procedures for how to dispose of confiscated wildlife quickly and efficiently in terms of welfare, supporting conservation efforts, etc., without impacting legal evidence requirements for cases (6 meetings, \$3000 each) (Output 3.1).
	<ul style="list-style-type: none"> Operationalise subnational level IWT forum to facilitate inter-agency coordination for each demo region based on series of stakeholder consultations to detail wildlife trade chains, key species involved, key actors (2 multi-agency workshops, \$15,000 each) (Output 3.2).
	<ul style="list-style-type: none"> Coordination meetings and information sharing through CID, customs, quarantine, INTERPOL, immigration, anti-corruption agency and other information systems to combat IWT (6 annual meetings, \$7500 each) (Output 3.2).
	<ul style="list-style-type: none"> Gakkum to establish/expand in northern Sumatra and northern Sulawesi demonstration regions (12 meetings, \$6000 each) (Output 3.3).
	<ul style="list-style-type: none"> Engagement of local communities in patrolling, market surveillance, local informant networks (6 Gakkum local coordination meetings/landscape, \$5000 each) (Output 3.3).
	<ul style="list-style-type: none"> Engage local NGOs/CSOs to conduct awareness programmes in schools, churches, mosques, and community centres + capacity development for communities (2 landscapes and 48 meetings/events, \$1800 each) (Output 3.4).
	Total estimated cost is \$519,602.
	COMPONENT 4
34	International Consultant for MTR (16250) Y3 and TE (19500) Y6 (Output 4.2)
35	Local Consultant for MTR (8750) Y3 and TE (10500) Y6; updating GEF GWP TT for MTR Y3 and TE Y6 (5000 and 5000) (Output 4.2); develop IWT indicators Y2 (5000) (Output 4.2); KM consultant for lessons learned 2000/year over 6 yrs (Output 4.1); M&E and gender mainstreaming consultant 4000 / year over 6 yrs (output 4.2); Local Consultant for communications inputs (output 4.1) at 1000/m (8000 each year over 6 yrs)
36	Travel for MTR (5000) and TE (5000) (Output 4.2); travel to GWP and International conference events for KM purposes at 3000/trip in years 3,4,5,6 and case studies travel at \$2000 (Output 4.1)
37	Printing of case studies (4000) and communications strategy (500) (Output 4.1)
38	Audit 4000/year over 6 years; translation for MTR and TE 5000 each (Output 4.2)
39	PB meetings and TAC meetings twice each year at \$1000 each; Inception workshop Y1 (15000), National Indicators workshop Y2 (10,000); MTR workshop (10,000) (Output 4.2)
	PROJECT MANAGEMENT COSTS
40	Local consultant to support PMU activity. Cost estimate USD 18,589
41	Service Contract - Individual Contract under UNDP contract. Estimate cost is 126.772 for Project Manager; Accountant; Admin Assistant, Office Clerk
42	Service Contract - Individual Contract under Implementing Partner contract. Estimate Cost is USD 13,992.

43	PMU travel at 4,000/year
44	PMU office equipment and furniture 3,000
45	PMU IT equipment, including: 4 computers (incl. for comms consultant and M&E consultant inputs) 8000, 1 Combo Printer/Scanner/Fax 500; 1 Laser printer 500, 1 Digital camera 1000, IT Accessories 3500, and Software purchase and subscription renewals 6000.
46	Communication and AV equipment LCD projector, mobile phones, etc.
47	PMU office supplies- stationery, printer cartridges, etc
48	AV and print production costs – for printing and circulating project technical reports, publicity materials, lessons learned, terminal report 18,000
49	UNDP Direct Project Costs – Refer to LOA in Annex 10 for breakdown of itemized services and their associated costs.
50	Miscellaneous – to allow for contingency, PMU translation needs, administrative services

XI. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions to the Project Document](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof. All references in the SBA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by Ministry of Environment and Forestry (Directorate General of Law Enforcement on Environment and Forestry) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

ANNEXES

Mandatory Annexes

- 1. Multi-year Workplan**
- 2. Monitoring Plan**
- 3. Evaluation Plan**
- 4. GEF Global Wildlife Programme Tracking Tool at baseline**
- 5. Terms of Reference for A) Project Board, B) TACC and C) PMU staff**
- 6. UNDP Social and Environmental and Social Screening Template (SESP)**
- 7. UNDP Project Quality Assurance Report**
- 8. UNDP Risk Log**
- 9. Results of the capacity assessment of the project implementing partner and HACT micro assessment**
- 10. Additional agreements: 1) Co-financing letters and 2) Letter of Agreement LOA**
- 11. Country Office Support Service Agreement**
- 12. Supplemental Provisions to the Project Document: The Legal Context**

Annex 1 - Multi Year Workplan

-See separate files-

Annex 2 – Monitoring Plan

The Project Manager/Coordinator will collect results data according to the following monitoring plan.

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Project objective: <i>To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</i>	0.1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems. (IRRF Output 2.5 indicator 2.5.1)	Consultations with government institutions and partners to review policy and legal frameworks status	Annually	Project Manager/ M&E Officer Coordinator IP	Official government notifications and announcements for new legislation Monitoring progress reports	Assumptions: There is sufficient political will to support revision of key policies, laws and regulations There are no major bureaucratic delays in seeing revisions through to approval stage Risks: Political change
	0.2: Number of direct project beneficiaries: - Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f) - Number of local people in project demonstration areas benefiting from engagement in conservation activities, reduced HWC impacts and improved livelihoods (m/f)	Review of project reports; questionnaire surveys for target communities in demo areas	MTR and TE	Project Manager/ M&E officer Coordinator IP	Reports from consultation processes Survey Results Monitoring progress reports	Assumptions: Continuing level of political will to support the project intervention Good relationship continues between enforcement agencies and key CSO partners Risks: Communities do not accept project intervention in their areas

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	0.3: Expert evaluation of IWT annual volume (number of incidents or total number of animals) in Indonesia based on the WCS IWT database	WCS-WCU database	Annually	Project Manager/ M&E officer Coordinator IP	WCS-WCU database reports	Assumptions: Improved legislation (Component 1) and law enforcement (Component 2 and 3) will allow the Indonesian government to decrease the level of unsustainable WT. Risks: Data are very incomplete or unreliable
	0.4: Number of individuals of IWT flagship species (Sumatran Tiger, Sumatran Rhinoceros, Sumatran Elephant, Black-crested macaque, Anoa and Babirusa) killed by poachers annually in the 2 project demonstration areas ⁴⁰	WCS-WCU database	Annually	Project Manager/ M&E officer Coordinator IP	WCS-WCU database; project reports	Decrease in IWT will lead to decrease in poaching as a main driver of species loss. Risks: Increasing value and demand of wildlife products drives IWT and poaching rates up still higher
Project Outcome 1 Strengthened national policy, legal and institutional framework for	1.1: The following key legislation gaps are addressed by improved IWT legislation documents approved by Government:	Consultations with government institutions and partners to review	Annually	Project Manager/ M&E Officer Coordinator IP	Official government notifications and announcements for new legislation	Assumptions: There is sufficient political will to support revision of key policies, laws and regulations

⁴⁰ See also GEF Global Wildlife Program Tracking Tool in **Annex 4**

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
regulating commercial wildlife trade and combating illegal wildlife trade indicated by:	-Minimum fines and sentences increased to provide deterrent effect; -Non-native endangered species including elephant, rhinoceros, big cat and pangolin species given legal protection -Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species - Authority of forestry civil investigators improved - Detention/prison evaluation for creating deterrent effect and rehabilitation for criminals. - online trade regulation to address online wildlife trafficking.	changes in IWT legislation			Monitoring progress reports	Risks: bureaucratic delays in seeing revisions through to approval stage
	1.2: Inter-agency Taskforce in place and operational as indicated/measured by the signing of an inter-agency agreements targeting IWT	Consultations with MOEF staff	Annually	Project Manager/ M&E officer Coordinator IP	Official government notifications and announcements for new agreements; Monitoring progress reports	Assumptions: National organizations are willing to collaborate on IWT Risks: bureaucratic delays stall the finalization and approval of agreements

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Project Outcome 2 Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels	2.1: Strengthened institutional capacity to combat IWT as indicated by i) the ICCWC Indicator Framework (note – baselines to be determined in year 1), ii) UNDP Capacity Development Scorecard for <i>Gakkum</i> (see Annex 18), and iii) iii) Operational status of <i>Gakkum's</i> Information System	i) ICCWC Indicator Framework assessments ii) UNDP CD Scorecard assessments iii) Operational database within Gakkum	At project inception; MTR and TE	Project Manager/ M&E officer Coordinator IP	ICCWC Indicator Framework assessment reports; UNDP CD Scorecard assessment reports; Information System is fully operational and operated by trained staff	Assumptions: Assessments are carried out consistently between years and agencies Strengthened inter-agency collaboration is reflected in the increased scores Political support continues for DG Law Enforcement's role in managing the information system on WT Risks: Difficulty to find trained staff to conduct ICCWC IF assessments Lack of collaboration from key partners constrains effective information flow
	2.2: - annual number seizures/arrests - annual number of successful prosecutions	WCU database	Annually	Project Manager/ M&E officer Coordinator IP	WCU database; project reports	Assumptions: Official national statistics are made available to the project as required in a timely manner Risks: Corruption and interference in enforcement operations

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	<p>2.3:</p> <ul style="list-style-type: none"> - Annual number of joined up transnational counter-IWT operations- - Annual number of seizures as a result of transnational counter-IWT operations 	Gakkum information system	Annually	Project Manager/ M&E officer Coordinator IP	Official announcements reporting on transnational IWT operations and seizures; Gakkum/MOEF annual reports	<p>Assumptions: Political support is sustained for international collaboration with key countries</p> <p>Risks: Language, communication and cultural barriers inhibit transnational joint operations</p>
<p>Project Outcome 3 Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems</p>	<p>3.1: Enforcement effectiveness at 5 key trade ports (Jakarta, Surabaya, Bitung, Belawan and Kualanamu airport), indicated by:</p> <ul style="list-style-type: none"> - Annual PortMATE assessment tool scores (average score for KSDA, Customs, Port Management Authority at each port) 	PortMATE assessments at demo ports	Annually	Project Manager/ M&E officer Coordinator IP	PortMATE assessment reports	<p>Assumptions: Statistics reflect an increase in enforcement effectiveness and not simply improved monitoring and reporting</p> <p>Risks: Lack of interest in participating in annual PortMATE assessments</p>
	<p>3.2: Effective enforcement of two subnational regions known to include significant wildlife trade routes, measured by:</p> <ul style="list-style-type: none"> - annual number of IWT seizures at the project sites - annual number of IWT investigations leading to arrests at the project sites; - annual number of successful IWT prosecutions at the project sites 	Consultations with regional Gakkum staff and other key project stakeholders including INP, Customs, WCS; WCS-WCU database	Annually	Project Manager/ M&E officer Coordinator IP	Official announcements on IWT seizures, investigations and prosecutions; project reports; WCS-WCU database	<p>Assumptions: Assessments are carried out consistently between years and sites</p> <p>Risks: Lack of interest in collaboration by agencies other than IP</p>

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Project Outcome 4 Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management	4.1: - number of project lessons used by other national and international projects.	Review of GEF GWP website, other websites and social media, reports on related projects, technical and scientific publications; communication with related project staff	Annually	Project Manager/ M&E officer Coordinator IP	Reports from related projects; communications with GWP and related project staff	Assumptions: project lessons are promptly and widely disseminated to other relevant projects. Risks: Synthesis and translation of M&E information into generation of lessons learned is often hampered by time constraints.
Mid-term GEF Tracking Tools	GEF GWP TT	Baseline GEF GWP Tracking Tool included in Annex 4	After 2 nd PIR submitted to GEF	Project Manager and IP	Completed GEF GWP Tracking Tool	Assumptions: Continuous monitoring of project results on a quarterly basis will facilitate completion of the mid-term GEF GWP Tracking Tool prior to the MTR evaluation mission. Project team has the capacity and resources to complete the Tracking Tool Risks: Project team fails to conduct periodic monitoring of project results and therefore compromise the quality and completeness of the tracking tool. Lack of consistency in how the tracking tool are completed.

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Final GEF Tracking Tools	GEF GWP TT	Baseline GEF GWP Tracking Tool included in Annex 4	After final PIR submitted to GEF	Project Manager and IP -NEC	Completed GEF GWP Tracking Tool	<p>Assumptions: continuous monitoring of project results on a quarterly basis will facilitate completion of the GEF GWP tracking tool prior to the TE mission. Project team has the capacity and resources to complete the Tracking Tool</p> <p>Risks: Project team fails to conduct periodic monitoring of project results and therefore compromise the quality and completeness of the tracking tool. Lack of consistency in how the tracking tools are completed.</p>
Mid-term Review and management response	N/A	Independent evaluators	Submitted to GEF same year as 3 rd PIR	Independent Evaluators as contracted by UNDP	UNDP Cleared MTR Report	<p>Assumptions: The budgeted resources are sufficient to support a comprehensive MTR process.</p> <p>Risks: The MTR team do not have access to all stakeholders and fully updated and completed information on the project. There is a delayed or ineffective management response to the MTR</p>

Monitoring	Indicators	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
						findings by the Project Board.
Terminal Evaluation and management response	N/A	Independent evaluators	Initiate 3 months before operation closure; to be submitted to GEF within three months of operational closure	Independent Evaluators as contracted by UNDP	UNDP Cleared TE Report	<p>Assumptions: The budgeted resources are sufficient to support a comprehensive TE process.</p> <p>Risks: The TE team do not have access to all stakeholders and fully updated and completed information on the project. There is a delayed or ineffective management response to the TE findings by the Project Board.</p>

Annex 3 - Evaluation Plan

Evaluation Title	Planned start date Month/year	Planned end date Month/year	Included in the Country Office Evaluation Plan	Budget for consultants ⁴¹	Other budget (i.e. travel, site visits etc...)	Budget for translation
Terminal Evaluation	<i>Add date: 3 months before operation closure</i>	<i>Add date: To be submitted to GEF within three months of operational closure</i>	Yes/No <i>Mandatory</i>	<i>USD 35,000</i>	<i>Travel: 5,000</i>	<i>5,000</i>
Total evaluation budget				USD 45,000		

⁴¹ The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days.

Annex 4 - GEF Global Wildlife Programme Tracking Tool Baseline

-See separate files-

Annex 5 - Terms of Reference

Terms of Reference for the Project Board

The Project Board (PB) will serve as the project's decision-making body. It will meet according to necessity, at least twice each year, to review project progress, approve project work plans and approve major project deliverables. The PB is responsible for providing the strategic guidance and oversight to project implementation to ensure that it meets the requirements of the approved Project Document and achieves the stated outcomes. The PB's role will include:

- (i) providing strategic guidance to project implementation;
- (ii) assuring coordination between various donor funded and government funded projects and programmes;
- (iii) ensuring coordination with various government agencies and their participation in project activities;
- (iv) approving annual project work plans and budgets, at the proposal of the Project Manager;
- (v) approving any major changes in project plans or programmes;
- (vi) overseeing reporting in line with GEF requirements;
- (vii) ensuring commitment of human resources to support project implementation, arbitrating any issues within the project;
- (viii) negotiating solutions between the project and any parties beyond the scope of the project;
- (ix) overall project evaluation; and
- (x) ensuring that UNDP Social and Environmental Screening Procedure safeguards are applied to project implementation.

These terms of reference will be finalized during the Project Inception Workshop.

Terms of Reference for the Technical Advisory Committee (TAC)

The TAC will provide technical advice and inputs relating to project implementation and will be chaired by the PD with support from the PM. The members of the TAC will consist of representatives from MoEF, UNDP, other relevant government agencies, research and educational organizations, NGOs (including WCS), technical experts and other relevant stakeholders to be agreed by the Project Board. Technical experts may be invited in to discuss specific issues. Indicative Terms of Reference are as follows. These will be reviewed by the Project Board during project inception and may be extended as necessary.

- Review planned activities and ensure that they are technically sound and that, wherever possible, there is integration and synergy between the various project components during planning and implementation;
- promote technical coordination between institutions, where such coordination is necessary and where opportunities for synergy and sharing of lessons exist;
- provide technical advice and guidance on specific issues concerning illegal and unsustainable wildlife trade;
- share information on project progress and lessons learned with related stakeholders at the national level;
- the TAC or a subset of its members may be requested to undertake specific project-related tasks, such as preparing or reviewing analytical reports, strategies and action plans, etc.;
- Other tasks as indicated by the Project Board

Terms of Reference for Key Project Staff

National Project Director

Background

The National Project Director (PD) is the Director of Forest Protection and Surveillance, Directorate General of Law Enforcement (MOEF), , who will be accountable to the MoEF and UNDP for the achievement of objectives and results in the assigned Project. The NPD will be part of the Project Steering Committee and answer to it. The NPD will be financed through national government funds (co-financing), whose appointment will be made by the Director General of Law Enforcement, in consultation with the UNDP CO.

Duties and Responsibilities

- Serve as a member of the Project Board.
- Supervise compliance with objectives, activities, results, and all fundamental aspects of project execution as specified in the project document.
- Supervise compliance of project implementation with MoEF policies, procedures and ensure consistency with national plans and strategies.
- Facilitate coordination with other organizations and institutions that will conduct related conservation activities for the protected area system, same target landscapes or same themes from elsewhere in Indonesia, especially related to the UNDP/GEF E-PASS project in Sulawesi and UNDP/GEF Project Transforming effectiveness of biodiversity conservation in priority Sumatran landscapes.
- Participate in project evaluation, testing, and monitoring missions.
- Coordinate with national governmental representatives on legal and financial aspects of project activities.
- Coordinate and supervise government staff inputs to project implementation.
- Coordinate, oversee and report on government cofinancing inputs to project implementation.

Project Manager

Background

The Project Manager (PM), will be locally recruited following UNDP procedure, with input to the selection process from the Project partners. The position will be appointed by the project implementing agencies and funded entirely from the Project. The PM will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors. The PM will report to the PD in close consultation with the assigned UNDP Programme Manager for all of the Project's substantive and administrative issues. From the strategic point of view of the Project, the PM will report on a periodic basis to the Project Board, based on the PD's instruction. Generally, the PM will support the PD who will be responsible for meeting government obligations under the Project, under the NIM execution modality. The PM will perform a liaison role with the government, UNDP and other UN agencies, CSOs and project partners, and maintain close collaboration with other donor agencies providing co-financing. The PM will work closely with the Project Implementation Unit Coordinators.

Duties and Responsibilities

- Plan the activities of the project and monitor progress against the approved work-plan.
- Supervise and coordinate the production of project outputs, as per the project document in a timely and high quality fashion.
- Coordinate all project inputs and ensure that they are adhere to UNDP procedures for nationally executed projects.
- Supervise and coordinate the work of all project staff, consultants and sub-contractors ensuring timing and quality of outputs.
- Coordinate the recruitment and selection of project personnel, consultants and sub-contracts, including drafting terms of reference and work specifications and overseeing all contractors' work.
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments, or reimbursement using the UNDP provided format.
- Prepare, revise and submit project work and financial plans, as required by Project Board and UNDP.
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports, submitted on a quarterly basis.

- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log.
- Liaise with UNDP, Project Board, relevant government agencies, and all project partners, including donor organisations and CSOs for effective coordination of all project activities.
- Facilitate administrative support to subcontractors and training activities supported by the Project.
- Oversee and ensure timely submission of the Inception Report, Combined Project Implementation Review/Annual Project Report (PIR/APR), Technical reports, quarterly financial reports, and other reports as may be required by UNDP, GEF and other oversight agencies.
- Disseminate project reports and respond to queries from concerned stakeholders.
- Report progress of project to the steering committees, and ensure the fulfilment of PSC directives.
- Oversee the exchange and sharing of experiences and lessons learned with relevant community based integrated conservation and development projects nationally and internationally.
- Assist community groups, municipalities, CSOs, staff, students and others with development of essential skills through training workshops and on the job training thereby increasing their institutional capabilities.
- Encourage staff, partners and consultants such that strategic, intentional and demonstrable efforts are made to actively include women in the project, including activity design and planning, budgeting, staff and consultant hiring, subcontracting, purchasing, formal community governance and advocacy, outreach to social organizations, training, participation in meetings; and access to program benefits.
- Assists and advises the Project Implementation Units responsible for activity implementation in the target sites.
- Carry regular, announced and unannounced inspections of all sites and the activities of the Project Implementation Units.

Required skills and expertise

- A university degree (MSc or PhD) in a subject related to natural resource management or environmental sciences.
- At least 10 years of experience in natural resource management (preferably in the context of wildlife conservation and law enforcement).
- At least 5 years of demonstrable project/programme management experience.
- At least 5 years of experience working with ministries, national or provincial institutions that are concerned with natural resource and/or environmental management.

Competencies

- Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.
- Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies.
- Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.
- Ability to coordinate and supervise multiple Project Implementation Units in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government.
- Strong drafting, presentation and reporting skills.
- Strong communication skills, especially in timely and accurate responses to emails.
- Strong computer skills, in particular mastery of all applications of the MS Office package and internet search.
- Strong knowledge about the political and socio-economic context related to the Indonesian protected area system, biodiversity conservation and law enforcement at national and subnational levels.
- Excellent command of English and Indonesian languages.

Project Monitoring and Evaluation and Gender Mainstreaming Officer

Under the overall supervision and guidance of the Project Manager, the M&E and GM Officer will have the responsibility for monitoring and evaluation and gender mainstreaming. The M&E and GM Officer will work closely with the Communications Officer on knowledge management aspects of the project. Specific responsibilities will include:

- Monitor project progress and participate in the production of progress reports ensuring that they meet the necessary reporting requirements and standards;
- Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;
- Align the project's M&E requirements with those of GoI, and ensure that both GoI and UNDP M&E requirements are effectively coordinated and addressed;
- Develop and coordinate implementation of the project gender mainstreaming strategy, monitor gender mainstreaming effectiveness according to indicators in the M&E Plan and gender strategy;
- Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;
- Facilitate mid-term and terminal evaluations of the project;
- Facilitate annual reviews of the project and produce analytical reports from these annual reviews;
- Liaise with UNDP Indonesia and responsible parties for implementation of project activities in matters related to M&E and knowledge resources management;
- Visit project sites as and when required to appraise project progress on the ground and validate written progress reports.

The Project M&E Officer will be recruited based on the following qualifications

- Masters degree, preferably in the field of environmental or natural resources management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UN project will be a definite asset;
- Significant experience in collating, analyzing and writing up results for reporting purposes;
- Very good knowledge of results-based management and project cycle management, particularly with regards to M&E approach and methods. Formal training in RBM/ PCM will be a definite asset;
- Knowledge and working experience of the application of gender mainstreaming in international projects;
- Understanding of biodiversity conservation, law enforcement, sustainable livelihoods and associated issues;
- Very good inter-personal skills;
- Proficiency in computer application and information technology.
- Excellent language skills in English (writing, speaking and reading) and in Bahasa Indonesia

Project Assistant

Under the guidance and supervision of the Project Manager, the Project Assistant will carry out the following tasks:

- Assist the Project Manager in day-to-day management and oversight of project activities;
- Assist the M&E officer in matters related to M&E and knowledge resources management;
- Assist in the preparation of progress reports;
- Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff;
- Provide PMU-related administrative and logistical assistance.

The Project Assistant will be recruited based on the following qualifications:

- A Bachelors degree or an equivalent qualification;
- At least three years of work experience preferably in a project involving biodiversity conservation, natural resource management and/or sustainable livelihoods. Previous experience with UN project will be a definite asset;
- Very good inter-personal skills;
- Proficiency in the use of computer software applications especially MS Word and MS Excel.
- Excellent language skills in English (writing, speaking and reading) and in Bahasa Indonesia

Project Accountant

Under the guidance and supervision of the Project Manager, the Project Accountant will have the following specific responsibilities:

- Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager;
- Review project expenditures and ensure that project funds are used in compliance with the Project Document and Gol financial rules and procedures;
- Validate and certify FACE forms before submission to UNDP;
- Provide necessary financial information as and when required for project management decisions;
- Provide necessary financial information during project audit(s);
- Review annual budgets and project expenditure reports, and notify the Project Manager if there are any discrepancies or issues;
- Consolidate financial progress reports submitted by the responsible parties for implementation of project activities;
- Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.

The Project Accountant will be recruited based on the following qualifications:

- A Bachelors degree or an advanced diploma in accounting/ financial management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UN project will be a definite asset;
- Proficiency in the use of computer software applications particularly MS Excel;
- Excellent language skills in English (writing, speaking and reading) and in Bahasa Indonesia

Project Communications Officer

Under the overall supervision and guidance of the Project Manager, the Communications Officer will have the responsibility for leading knowledge management outputs in Component 4 and developing the project communications strategy at the project outset and coordinating its implementation across all project components. The Communications Officer will work closely with the M&E Officer on knowledge management aspects of the project. Specific responsibilities will include:

- Develop a project communications strategy / plan, incorporate it with the annual work plans and update it annually in consultation with project stakeholders; coordinate its implementation
- Coordinate the implementation of knowledge management outputs of the project;
- Coordinate and oversee the implementation of public awareness activities across all project components;
- Facilitate the design and maintenance of the project website/webpages and ensure it is up-to-date and dynamic;
- Facilitate learning and sharing of knowledge and experiences relevant to the project;

The Project Communications Officer will be recruited based on the following qualifications:

- A Bachelors degree, preferably in the field of community development or natural resource / environmental management;
- A communications qualification (diploma, Bachelors degree)

- At least three years of relevant work experience of communications for project or programme implementation, ideally involving international donors. Previous experience with UN projects will be a definite asset;
- Previous experience in developing and implementing communications strategies for organizations or projects
- Strong professional working capacity to use information and communications technology, specifically including website design and desk top publishing software
- Understanding of illegal wildlife trade, biodiversity conservation, sustainable livelihoods and associated issues;
- Very good inter-personal skills
- Excellent language skills in English (writing, speaking and reading) and in Bahasa Indonesia

Annex 6

Social and Environmental Screening for CEO Endorsement Stage:

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Combatting illegal and unsustainable trade in endangered species in Indonesia
2. Project Number	5391
3. Location (Global/Region/Country)	Indonesia

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project focuses on improving the regulatory and institutional framework to ensure effective action to combat illegal wildlife trade and regulate the legal wildlife trade, at national, provincial and landscape levels in Indonesia. This will include enhancing the effectiveness of law enforcement agencies and their agents, which has the potential to enhance overall governance in Indonesia, including recognition of human rights and sound application of the law. Enhanced law enforcement does also have the potential to lead to negative impacts on some people, if not properly managed. The project will therefore put in place rigorous controls to ensure that all activities are consistent with Indonesian law and international legal obligations, including the Universal Declaration on Human Rights. Component 1 will ensure good governance, including respect for human rights, through the improvements in the institutional and regulatory framework governing wildlife trade in Indonesia. Through the capacity-building component (Component 2) the project will ensure that rights of people involved with or impacted by wildlife trade are respected, including the rights of those accused of wildlife trafficking to fair treatment under the legal system. Under Component 3, the project will work closely and in a culturally appropriate context on crime reduction with the leaders of villages in wildlife trade sources areas adjacent to the Leuser ecosystem in Northern Sumatra (a critical tiger, Asian elephant, rhinoceros, orang-utan and pangolin landscape) and to Bogani Nani Wartabone NP in Northern Sulawesi (a key ecosystem for endemic globally threatened species including babirusa, anoa and maleo fowl).

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

The project will integrate gender equality and a social inclusion perspective in programme/project planning and implementation. This is to ensure equal participation of both women and men and people from different economic and social backgrounds in project planning and decision making, in order to make certain that neither of the groups is disadvantaged by the project activities and will derive equal benefits from the project activities. In order to achieve gender mainstreaming in this project, the PPG (project preparation phase) has

undertaken baseline assessments in the project landscapes to identify the measures needed to ensure the equal participation of men and women so as to fully take into account the different perspectives, priorities and socio-economic realities that women and men face. The equal participation of women has been taken into account in project design for planning and decision making among the key stakeholders, including the national, provincial and local government agencies and local communities. Project design pertaining to institutional strengthening and capacity building has also ensured that target trainees will include both sexes and institutional development will mainstream gender in the institutional system and decision making mechanisms. At the landscape level, consultation sessions have been held to obtain views and inputs of a wide range of local stakeholders in selected landscapes to develop the project activities and to develop a robust stakeholder involvement plan with full gender considerations. Relevant indicators including gender disaggregated targets and baselines have also been included as part of the project results framework and monitoring plan.

Briefly describe in the space below how the Project mainstreams environmental sustainability

In line with the project's biodiversity conservation objectives, its environmental impacts are expected to be overwhelmingly positive, through ensuring appropriate control of wildlife trade and action to address illegal wildlife trade in the Indonesian regulatory and institutional framework, and addressing capacity constraints at all scales in Indonesia. Under Component 3, the project will also support specific demonstration and scaling-up activities to determine, monitor and interrupt trade chains across the demonstration areas including strengthening surveillance and enforcement capacity at key IWT ports and markets and for source areas around key protected area ecosystems. Overall, the project will assist Indonesia to meet its commitments under the CBD and CITES.

Part B. Identifying and Managing Social and Environmental Risks




<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p>
<p>Risk 1: Adverse impacts on human rights of local communities, including marginalized groups.</p>	<p>I = 3 P = 4</p>	<p>Moderate</p>	<p>Enhanced enforcement by Indonesian government agencies could lead to negative impacts for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.</p>	<p>During the project design, measures have been included to ensure that recognition of human rights are fully incorporated into the project plans. An oversight mechanism will be put in place to ensure that all project activities are carried out in accordance with Indonesian Law and international legal obligations, and that any prosecutions supported by the project are carried out correctly and fairly. This will consist of an SESP ombudsman appointed by the UNDP CO and DG Law Enforcement (MoEF) during the project inception period who will review project progress reports and news from</p>

				<p>stakeholders, as well as providing a telephone hotline and email contact address for complaints from affected parties.</p> <p>As the project demonstration area in Sulawesi covers a large area, it does include areas occupied by different ethnic groups, and some of these are engaged in bushmeat trade and pet trade involving nationally protected species. In these cases, the law would be applied equally irrespective of ethnicity, and legally established cultural traditions would be respected.</p>
Risk 2: Restricted access to natural resources due to enhanced enforcement for local communities, including marginalized groups.	I = 3 P = 4	Moderate	Enhanced enforcement by Indonesian government agencies could restrict access to natural resources for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.	<p>During the project design, specific measures have been incorporated to ensure that project activities do not restrict legal access of local people to natural resources. This will include sensitization of project staff to human rights and other social and environmental issues before the outset of field activities. Mitigation measures will be considered by project management if it is judged that project activities will curtail illegal activities which form a significant portion of local peoples' livelihoods, such as a consultation process with affected stakeholders to determine alternative approaches.</p> <p>As for risk 1, the project demonstration area in Sulawesi covers a large area including areas occupied by different ethnic groups, in which case specific attention will be given to ensuring that legal access to natural resources is not hindered by project activities, and that cultural traditions are taken into account.</p>
Risk 3: Exclusion of potentially affected stakeholders, in particular marginalized groups, from participating in decisions that might affect them.	I = 1 P = 4	Low	Reform of Indonesian law enforcement regulations and the protected species list could further restrict the opportunities for local people to legally exploit wildlife.	During the project design, PMU staff will ensure that project groups involved in regulatory reform activities consult appropriately with key stakeholders, including umbrella groups that represent the interests of local forest dependent peoples. At the project demonstration area scale, appropriate consultation mechanisms have been established for use during the project implementation.
Risk 4: Indonesian law enforcement agencies do not apply the law correctly.	I = 3 P = 4	Moderate	Increasing the capacity of Indonesian law enforcement agencies carries the risk of improper application of the law,	The project capacity-building component (Component 2) should be specifically designed to enhance the capacity and understanding of Indonesian law enforcement agencies to ensure that the law is applied correctly.

			unless mitigation measures are put in place.	
Risk 5: Project activities are within or adjacent to environmentally sensitive areas including PAs.	I = 1 P = 5	Low	Some project activities will occur in protected areas, but these are expected to benefit biodiversity.	None required
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
<i>Low Risk</i>			<input type="checkbox"/>	
<i>Moderate Risk</i>			<input checked="" type="checkbox"/>	It is considered that the project activities with potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation.
<i>High Risk</i>			<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply			Comments	
<i>Principle 1: Human Rights</i>			<input checked="" type="checkbox"/>	It is considered that the project activities with potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation.
<i>Principle 2: Gender Equality and Women's Empowerment</i>			<input type="checkbox"/>	
<i>1. Biodiversity Conservation and Natural Resource Management</i>			<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>			<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>			<input type="checkbox"/>	
<i>4. Cultural Heritage</i>			<input type="checkbox"/>	

	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input checked="" type="checkbox"/>	During the project design, measures have been included to ensure that recognition of human rights are fully incorporated into the project plans. In addition, appropriate oversight mechanisms have been put in place to ensure that all activities are carried out in accordance with Indonesian Law and international legal obligations, and that any prosecutions supported by the project are carried out correctly and fairly.
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
 QA Assessor Name: Iwan Kurniawan Programme Officer	18 Nov 2016	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
 QA Approver Name: Francine Pickup Deputy Country Director UNDP CO Indonesia	22 Nov. 2016	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
 PAC Chair Name: Budhi Sayoko Head of Environment Unit UNDP CO Indonesia	15 Jun 2017	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁴²	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5.	Are there measures or mechanisms in place to respond to local community grievances?	No
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No

⁴² Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No

1.11	<p>Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?</p> <p><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i></p>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁴³ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	<p>Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?</p> <p><i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i></p>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No

⁴³ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ⁴⁴	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No

⁴⁴ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	Yes
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No

7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex 7 - UNDP Project Quality Assurance Report

Annex 8 - UNDP Risk Log

Description	Type	Impact & Probability, and Risk level	Mitigation Measures	Owner	Status
Enter a brief description of the risk	Category of risk	Describe the potential effect on the project if this risk were to occur: Probability P from 1 (low) to 5 (high) Impact I from 1 (low) to 5 (high)	What actions have been taken/will be taken to counter this risk	Who is appointed to keep an eye on this risk	e.g. over, reducing, increasing, no change
Delays and uncertainties in achieving government approval for proposed legislative changes and international agreements related to combatting IWT. Such delays may be attributable to lengthy bureaucratic procedures, opposition from certain quarters, or lack of interest / lack of priority afforded to their completion.	Political	P=3, I=3 MODERATE	There is a strong baseline on strengthening the legal and institutional frameworks for combating the illegal wildlife trade, including a rapid assessment of current knowledge, trends and priority actions for wildlife crime ⁴⁵ , and a detailed analysis of the policy and legal context ⁴⁶ with support from USAID, with subsequent support to MoEF to implement report recommendations for legal revisions to improve species protection. This has included significant achievements – government agreement to revise the Conservation Law 5/1990 during 2016, MoEF agreement that the revised Law should always reflect the current and existing CITES list, and progress towards updating the Protected Species List in 2016. This process has received significant support from CSOs, with WCS playing a leading role, which the project will provide additional resources to follow through on key legislation. Engagement with neighbouring countries occurs through ASEAN WEN but remains weak, and by developing a national IWT strategy associated with a national task force, increasing the capacity of MoEF’s Gakkum to play a leading role in IWT enforcement, and strengthening its international exposure and	Project Manager	Decreasing

⁴⁵ USAID Report Changes for Justice Project Wildlife Crime In Indonesia: A Rapid Assessment Of The Current Knowledge, Trends And Priority Actions. 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. http://pdf.usaid.gov/pdf_docs/PA00KH52.pdf

⁴⁶ Changes For Justice Project Wildlife Trade, Wildlife Crimes And Species Protection In Indonesia: Policy And Legal Context. March 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. USAID. http://pdf.usaid.gov/pdf_docs/PA00KH4Z.pdf

Description	Type	Impact & Probability, and Risk level	Mitigation Measures	Owner	Status
			engagement through the GEF GWP, increased momentum will be provided for such agreements to be developed and put into action.		
Mal-governance and Corruption: this is a major factor in wildlife trade, and accordingly one that has not been underestimated. Even when laws and mandates are clear, the mandated response is not always forthcoming. This is related to low motivation, poor resource allocation, but also to the insidious effects of corruption, that thrives in the poorly regulated environment.	Political, Operational & Strategic	P= 3; I= 3 MODERATE	Addressing corruption requires considerable high-level political support. Reducing its impact requires action against corruptors, but can also be addressed through tighter regulatory structures and improved monitoring that highlight when appropriate action is not being taken. Many of the described project components are designed to specifically address corruption and other forms of mal-practice and mal-governance. For example, strengthening the regulatory framework and government capacity will enhance oversight and limit opportunities for malpractice. Key agencies responsible for anti-corruption measures, namely the Corruption Eradication Commission (KPK) and Financial Transactions Analysis and Reporting Centre (PPATK) will participate in the project Technical Advisory Committee and will be key project partners in strengthening the multi-door approach to IWT prosecutions in Components 1 and 2. The presence of an internationally funded high profile project will further support the government's efforts to fight corruption.	Project Manager	Possibly decreasing
Lack of industry support due to links with IWT: the wildlife trade industry is secretive, fragmented as well as multi-national. There is often a link to criminal syndicates. This presents challenges for project implementation, industry engagement and enforcement	Strategic	P= 3; I= 3 MODERATE	The project implementers have considerable experience with such trade participants, and will seek to engage industry at all levels, as well as devise a strategy with international organisations to counter criminal syndicates. The project activities have been developed based on a thorough situation analysis based on the latest global information, data and knowledge on the structure of the international and national trade compiled by international organisations and individuals, and supported by a series of consultation workshops and other stakeholder consultations involving all relevant agencies. The project will support the strengthening of intelligence analysis based on WCU capacity, and agreements for information exchange between agencies and collaboration with CSOs such as TRAFFIC to enable understanding and adaptation to changing IWT and legal trade trends. The development of relationships with recognized	Project Manager	Stable

Description	Type	Impact & Probability, and Risk level	Mitigation Measures	Owner	Status
			reputable traders and documentation of their practices as models has potential as a way forward in encouraging responsible trade.		
Suboptimal collaboration between IWT enforcement agencies: coordination between various agencies may be constrained due to sectionalism, bureaucracy, the demands of coordination, and/or unclear mandates, impacting the effectiveness of IWT responses.	Operational	P= 3; I= 3 MODERATE	This project has been developed in full collaboration with the Indonesian government and its agencies. There have already been considerable discussions and joint efforts between key government law enforcement agencies. The momentum created by the project will further strengthen and institutionalise the coordination and joint action mechanisms. Joint work will be demonstrated at both national and local levels and necessary systemic and institutional capacities will be installed to ensure sustainability. The WCS-WCU has demonstrated that inter-agency cooperation to conduct collaborative counter-IWT operations can be successful through a number of investigations leading to prosecution of high profile IWT traders, and will continue to support this approach throughout the project. In addition, the involvement of Bappenas as a high level coordinating ministry in the Project Board should help to facilitate inter-agency cooperation.	Project Manager	Stable / decreasing
Enhanced enforcement by Indonesian government agencies could lead to negative impacts for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.	Political, Operational & Strategic	P= 4; I= 3 MODERATE	<p>During the project design, measures have been included to ensure that recognition of human rights are fully incorporated into the project plans. An oversight mechanism will be put in place to ensure that all project activities are carried out in accordance with Indonesian Law and international legal obligations, and that any prosecutions supported by the project are carried out correctly and fairly. This will consist of an SESP ombudsman appointed by the UNDP CO and DG Law Enforcement (MoEF) during the project inception period who will review project progress reports and news from stakeholders, as well as providing a telephone hotline and email contact address for complaints from affected parties.</p> <p>As the project demonstration area in Sulawesi covers a large area, it does include areas occupied by different ethnic groups, and some of these are engaged in bushmeat trade and pet trade involving nationally protected</p>	Project Manager	Stable

Description	Type	Impact & Probability, and Risk level	Mitigation Measures	Owner	Status
			species. In these cases, the law would be applied equally irrespective of ethnicity, and legally established cultural traditions would be respected.		
Enhanced enforcement by Indonesian government agencies could restrict access to natural resources for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.	Social, Livelihood	P= 4; I= 3 MODERATE	<p>During the project design, specific measures have been incorporated to ensure that project activities do not restrict legal access of local people to natural resources. This will include sensitization of project staff to human rights and other social and environmental issues before the outset of field activities. Mitigation measures will be considered by project management if it is judged that project activities will curtail illegal activities which form a significant portion of local peoples' livelihoods, such as a consultation process with affected stakeholders to determine alternative approaches.</p> <p>As for risk 1, the project demonstration area in Sulawesi covers a large area including areas occupied by different ethnic groups, in which case specific attention will be given to ensuring that legal access to natural resources is not hindered by project activities, and that cultural traditions are taken into account.</p>	Project Manager	Stable
Increasing the capacity of Indonesian law enforcement agencies carries the risk of improper application of the law, unless mitigation measures are put in place.	Operational & Legal	P= 4; I= 3 MODERATE	The project capacity-building component (Component 2) should be specifically designed to enhance the capacity and understanding of Indonesian law enforcement agencies to ensure that the law is applied correctly.	Project Manager	Stable
Major natural disasters: natural disasters such as earthquakes, floods, volcanic eruptions, etc. inhibit or divert the increase in national and provincial government's attention towards and	Environmental	P= 2; I= 2 LOW	This risk is very prevalent in Indonesia. The project will elevate the illegal wildlife trade issues to the national political and economic agenda, as well as developing the National Strategy to Combat Illegal Wildlife Trade. Increased awareness that illegal wildlife trade is a national and global crisis and security issues should minimise shifting of resources away from the work to natural disaster emergency work. In addition, the project is designed to institutionalise every output and install the necessary systemic and institutional capacity for tackling illegal wildlife trade,	Project Manager	Stable

Description	Type	Impact & Probability, and Risk level	Mitigation Measures	Owner	Status
investment in combatting illegal wildlife trade			operationalising essential inter-agency coordination at both national and local level, and this will ensure continuation of core work even in the event of natural disasters.		
Climate change impacts on endangered wildlife species populations: climate change may undermine the conservation objectives of the Project by impacting populations of endangered species <i>in situ</i> .	Environmental	P= 2; I= 2 LOW	Responses to the impacts of climate change on animal populations lie outside the scope of this project and are being addressed through other initiatives. The exact nature of this risk will vary substantially between different taxonomic groups and species, but are generally considered to be slow-acting – beyond the project timescale. By removing a major anthropogenic pressure on wildlife populations, this project would contribute towards reducing their overall vulnerability as small population size is a sensitivity factor for climate change impacts.	Project Manager	Increasing
Reform of Indonesian law enforcement regulations and the protected species list could further restrict the opportunities for local people to legally exploit wildlife.	Legal	P= 4; I= 1 LOW	During the project design, PMU staff will ensure that project groups involved in regulatory reform activities consult appropriately with key stakeholders, including umbrella groups that represent the interests of local forest dependent peoples. At the project demonstration area scale, appropriate consultation mechanisms have been established for use during the project implementation.	Project Manager	Stable
Some project activities will occur in protected areas, but these are expected to benefit biodiversity.	Legal	P= 5; I= 1 LOW	None required	Project Manager	Stable

Annex 9 - Results of the capacity assessment of the project implementing partner and HACT micro assessment

Annex 10 - Additional agreements



MINISTRY OF ENVIRONMENT AND FORESTRY
DIRECTORATE GENERAL OF LAW ENFORCEMENT ON ENVIRONMENT AND FORESTRY
SECRETARY DIRECTORATE GENERAL
Manggala Wanabakti Building, Block IV, 4th Floor, Jenderal Gatot Subroto Street,
Jakarta 10270 Telp/Fax. (+6221) 57902925

Ref. No. : S.243/Set/KU/BKM.2/3/2017
Attachment : 1 (one) file
Subject : Co-Financing Commitment Letter for The Project on
Combating Illegal and Unsustainable Trade in Endangered
Species in Indonesia.

March, 6 2017

Ms. Adriana Dinu
Executive Coordinator
UNDP – Global Environment Facility (GEF)
United Nations Development Programme
304 East 45th Street, FF 914
New York, NY 10017
United States of America

Ministry of Environment and Forestry of Indonesia, c.q. Directorate of Forest Protection and Surveillance, has developed a project document to secure funding under GEF-6 for the above mentioned project.

In this regard, as part of our commitment on co-financing for project entitled Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia, we would like to express our support for the project, by providing in kind contribution with total amount of USD 42,848,742 for 6 years project activities (forty two million eight hundred forty eight thousand and seven hundred and forty two US dollar) or as much as USD 7,141,457 per year.

This in-kind contribution will be used to support various project activities, including: routine law enforcement patrols, routine operations to protect forest area, infrastructures procurement and maintenance related to law enforcement activities, training for forest rangers, equipment for monitoring and patrolling, coordination and collaborations on forest protection and surveillance, pre-emptive and preventive activities related to forest protection and surveillance. In addition to that, DG of Law Enforcement on Environment and Forestry will support the provision of office space for Project Management Units, provision of staff inputs to implementation of all project components, and use of government equipment, vehicles, facilities as appropriate.

We believe that this project will strongly contribute to and it is aligned with national government priorities regarding efforts on combating illegal and unsustainable trade in endangered species in Indonesia.



Yours sincerely,

Ir. Kemal Amas, M.Sc
Secretary Directorate General

CC:

1. Director General of Law Enforcement on Environment and Forestry
2. Director General of Natural Resource and Ecosystem Conservation
3. Assistant Country Director/Head of Environment Unit, UNDP Indonesia



Joseph L. Walston
Vice President,
Global Conservation Program

October 31, 2016

Ms. Adriana Dinu
Executive Coordinator
UNDP - Global Environment Facility (GEF)
United Nations Development Programme
304 East 45th Street, FF914
New York, NY 10017
United States of America


Re: Co-financing for UNDP-GEF project, "Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia"

Dear Ms Dinu,

The Wildlife Conservation Society (WCS) is pleased to be an active partner in the development and implementation of the above UNDP-GEF project for Indonesia. This letter is to confirm WCS's commitment of US\$ 2,000,000 as co-financing to the project during the period 2017-2023.

We look forward to continuing our support to the project during its implementation.

Yours sincerely,


Joe Walston
Vice President, Field Conservation
Global Conservation Program

Wildlife Conservation Society
2300 Southern Boulevard, Bronx, NY 10460 USA
t + 1 718 220 5885 • jwalston@wcs.org
www.wcs.org



Empowered lives.
Resilient nations.

15 November 2016

Dear Ms. Dinu,

Subject: UNDP Indonesia Co-financing Confirmation for "Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia" Project (PIMS #5391)"

UNDP Country Office Indonesia is committed to and is supporting the national efforts of Government of Indonesia in combatting illegal wildlife trade of endangered species in Indonesia. It is expected that these efforts will in turn increase the population number of endangered species which is also the national target of the Ministry of Environment and Forestry in line with efforts towards achievement of Sustainable Development Goals (SDGs) targets.

With regard to the above commitment, with this letter we confirmed to provide US\$ 100,000 as co-financing to the project, to support implementation of the "Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia" Project (PIMS #5391)" for the whole project period. The fund will be used to strengthen coordination among law enforcement agencies, promoting knowledge exchange and leveraging possible resources to sustain project results.

UNDP will continue the support to ensure implementation of the project without any delay.

Thank you for your kind attention and continuous cooperation.

Yours sincerely,


Budhi Sayoko
Assistant Country Director/
Head of Environment Unit

Ms. Adriana Dinu
Executive Coordinator
UNDP - Global Environment Finance
Sustainable Development Cluster
Bureau for Policy and Programme Support
United Nations Development Programme
304 East 45th Street, FF 914
New York, NY 10017, USA

Country Office Support Service Agreement

AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES

1. Reference is made to consultations between officials of the Government of Indonesia (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
 - (a) Identification and/or recruitment of project and programme personnel as well as technical expertise;
 - (b) Identification and facilitation of training activities;
 - (c) Procurement of goods and services;
 - (d) Any other type of activities/services as per prevailing UNDP Universal/Local Price List.
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in the annual work plan (UNDP as a Responsible Party) as described in the project document. If the requirements for support services by the country office change during the life of a programme or project, the annual/multi-year work plan in the project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the Revised Basic Agreement for Technical Assistance signed 29 October 1954 between the United Nations, the International Labour Organisation, the Food and Agriculture Organisation of the United Nations, the United Nations Educational, Scientific and Cultural Organisation, the International Civil Aviation Organisation, and the World Health Organisation and the Government of the Republic of Indonesia, the Standard Agreement on Operational Assistance signed 12 June 1969 between the United Nations, the International Labour Organisation, the Food and Agriculture Organisation of the United Nations, the United Nations Educational, Scientific and Cultural Organisation, the International Civil Aviation Organisation, the World Health Organisation, the International Telecommunication Union, the World Meteorological Organisation, the International Atomic Energy Agency, the Universal Postal Union, the Inter-Governmental Maritime Consultative Organisation and the United Nations Industrial Development Organisation and the Government of the Republic of Indonesia, the Agreement signed 7 October 1960 between the United Nations Special Fund and the Government of the Republic of Indonesia, and the Partnership Framework Agreement signed 28 September 2012 between the Government of the Republic of Indonesia and the United Nations Development Programme, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annual/multi-year work plan of the project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the above mentioned agreements.
7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall refer to the prevailing UNDP Universal/Local Price List.
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. Upon your signature of the project document, this document shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Indicative services for the Combatting illegal and unsustainable trade in endangered species in Indonesia Project are estimated as follows:

No	Service Name	Unit	Volume	Unit Cost (US\$)*	Total (US\$)
1	Payment of DSA advance and its settlement	Financial Resource Management Unit	360	80,47	28.969
2	Payment process	Financial Resource Management Unit	336	38,79	13033,44
3	Payment Process for Cash Distribution via Service Provider	Financial Resource Management Unit	56	38,79	2172,24
4	Review and approval of APJV and GLJE (adjustment/correction/petty cash report)	Financial Resource Management Unit	28	26,87	752,36
5	Procurement Process < USD 5,000	Procurement	30	223,45	6703,5
6	Procurement Process Without ACP Approval (below USD 50,000)	Procurement	15	223,45	3351,75
7	Individual Consultant without ACP Approval (below USD 100,000)	Procurement	4	246,38	985,52
8	Individual Consultant < USD 5,000	Procurement	20	98,55	1971
9	Vendor registration for supplier	Procurement	50	20,92	1046
10	Request for PO creation only	Procurement	69	55,86	3854,34
11	RECRUITMENT: Service Contract (SC 3 – 7)	Human Resource	4	747,41	2989,64
12	RECRUITMENT: Service Contract (SC 5 – 7)	Human Resource	4	769,1	3076,4
13	RECRUITMENT: Service Contract (SC 8 – 11)	Human Resource	4	822,11	3288,44
14	Vendor registration for staff and SC	Human Resource	8	20,92	167,36
15	Extension of Service Contract	Human Resource	8	92,28	738,24
16	PO Ticket/Travel Creation (For Travel with Ticket Value USD 2500 and Above Only)	Administration Unit	50	50,96	2548

No	Service Name	Unit	Volume	Unit Cost (US\$)*	Total (US\$)
17	Courier services (City Courier, Domestic, International)	Administration Unit	20	41,46	829,2
18	Vendor Registration (for Workshop/Meeting Participant Only)	Administration Unit	20	20,92	418,4
19	Creation UNDP's email address for new recruit under UNDP' contract management	Information Communication	8	13,5	108
20	Asset management/disposal	Administration Unit	9	326,76	2996,97
	TOTAL				80.000
*Estimated based on UPL 2017 + 20% for the change in pricing for 6 years period.					

Annex 12 - Supplemental Provisions to the Project Document⁴⁷: The Legal Context

General responsibilities of the Government, UNDP and the executing agency

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting System.
2. The Government shall remain responsible for this UNDP-assisted development project and the realization of its objectives as described in this Project Document.
3. Assistance under this Project Document being provided for the benefit of the Government and the people of (the particular country or territory), the Government shall bear all risks of operations in respect of this project.
4. The Government shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities. It shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the "Co-operating Agency"), which shall be directly responsible for the implementation of the Government contribution to the project.
5. The UNDP undertakes to complement and supplement the Government participation and will provide through the Executing Agency the required expert services, training, equipment and other services within the funds available to the project.
6. Upon commencement of the project the Executing Agency shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Government or to an entity designated by the Government during the execution of the project.
7. Part of the Government's participation may take the form of a cash contribution to UNDP. In such cases, the Executing Agency will provide the related services and facilities and will account annually to the UNDP and to the Government for the expenditure incurred.

(a) Participation of the Government

1. The Government shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document. Budgetary provision, either in kind or in cash, for the Government's participation so specified shall be set forth in the Project Budgets.
2. The Co-operating Agency shall, as appropriate and in consultation with the Executing Agency, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.
3. The estimated cost of items included in the Government contribution, as detailed in the Project Budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said

⁴⁷ Standard annex to project documents for use in countries which are not parties to the Standard Basic Assistance Agreement (SBAA).

contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper execution of the project.

4. Within the given number of man-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the Government may be made by the Government in consultation with the Executing Agency, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.
 5. The Government shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.
 6. The Government shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.
 7. The Government shall make available to the project - subject to existing security provisions - any published and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.
 8. Patent rights, copyright rights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the Government shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.
 9. The Government shall assist all project personnel in finding suitable housing accommodation at reasonable rents.
 10. The services and facilities specified in the Project Document which are to be provided to the project by the Government by means of a contribution in cash shall be set forth in the Project Budget. Payment of this amount shall be made to the UNDP in accordance with the Schedule of Payments by the Government.
 11. Payment of the above-mentioned contribution to the UNDP on or before the dates specified in the Schedule of Payments by the Government is a prerequisite to commencement or continuation of project operations.
- (b) Participation of the UNDP and the executing agency
12. The UNDP shall provide to the project through the Executing Agency the services, equipment and facilities described in the Project Document. Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budget.
 13. The Executing Agency shall consult with the Government and UNDP on the candidature of the Project Manager⁴⁸ who, under the direction of the Executing Agency, will be responsible in the country for the Executing Agency's participation in the project. The Project Manager shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.
 14. The Executing Agency, in consultation with the Government and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and

⁴⁸ May also be designated Project Co-ordinator or Chief Technical Adviser, as appropriate.

determine standards for the training of national counterpart personnel.

15. Fellowships shall be administered in accordance with the fellowships regulations of the Executing Agency.
16. The Executing Agency may, in agreement with the Government and UNDP, execute part or all of the project by subcontract. The selection of subcontractors shall be made, after consultation with the Government and UNDP, in accordance with the Executing Agency's procedures.
17. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project, and will remain the property of the UNDP in whose name it will be held by the Executing Agency. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the Executing Agency.
18. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.
19. Prior to completion of UNDP assistance to the project, the Government, the UNDP and the Executing Agency shall consult as to the disposition of all project equipment provided by the UNDP. Title to such equipment shall normally be transferred to the Government, or to an entity nominated by the Government, when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.
20. At an agreed time after the completion of UNDP assistance to the project, the Government and the UNDP, and if necessary the Executing Agency, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.
21. UNDP may release information relating to any investment oriented project to potential investors, unless and until the Government has requested the UNDP in writing to restrict the release of information relating to such project.

Rights, Facilities, Privileges and Immunities

22. In accordance with the Agreement concluded by the United Nations (UNDP) and the Government concerning the provision of assistance by UNDP, the personnel of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.
23. The Government shall grant UN volunteers, if such services are requested by the Government, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.
24. The Executing Agency's contractors and their personnel (except nationals of the host country employed locally) shall:
 - (a) Be immune from legal process in respect of all acts performed by them in their official capacity in the execution of the project;
 - (b) Be immune from national service obligations;
 - (c) Be immune together with their spouses and relatives dependent on them from immigration restrictions;
 - (d) Be accorded the privileges of bringing into the country reasonable amounts of foreign currency for

the purposes of the project or for personal use of such personnel, and of withdrawing any such amounts brought into the country, or in accordance with the relevant foreign exchange regulations, such amounts as may be earned therein by such personnel in the execution of the project;

- (e) Be accorded together with their spouses and relatives dependent on them the same repatriation facilities in the event of international crisis as diplomatic envoys.
25. All personnel of the Executing Agency's contractors shall enjoy inviolability for all papers and documents relating to the project.
26. The Government shall either exempt from or bear the cost of any taxes, duties, fees or levies which it may impose on any firm or organization which may be retained by the Executing Agency and on the personnel of any such firm or organization, except for nationals of the host country employed locally, in respect of:
- (a) The salaries or wages earned by such personnel in the execution of the project;
 - (b) Any equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently withdrawn therefrom;
 - (c) Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the Government and, as appropriate, recorded in the Project Document; and
 - (d) As in the case of concessions currently granted to UNDP and Executing Agency's personnel, any property brought, including one privately owned automobile per employee, by the firm or organization or its personnel for their personal use or consumption or which after having been brought into the country, may subsequently be withdrawn therefrom upon departure of such personnel.
27. The Government shall ensure:
- (a) prompt clearance of experts and other persons performing services in respect of this project; and
 - (b) the prompt release from customs of:
 - (i) equipment, materials and supplies required in connection with this project; and
 - (ii) property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Executing Agencies, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.
28. The privileges and immunities referred to in the paragraphs above, to which such firm or organization and its personnel may be entitled, may be waived by the Executing Agency where, in its opinion or in the opinion of the UNDP, the immunity would impede the course of justice and can be waived without prejudice to the successful completion of the project or to the interest of the UNDP or the Executing Agency.
29. The Executing Agency shall provide the Government through the resident representative with the list of personnel to whom the privileges and immunities enumerated above shall apply.
30. Nothing in this Project Document or Annex shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.

Suspension or termination of assistance

1. The UNDP may by written notice to the Government and to the Executing Agency concerned suspend its assistance to any project if in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the Government and as the UNDP shall give written notice to the Government and the Executing Agency that it is prepared to resume its assistance.
2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days after notice thereof and of suspension shall have been given by the UNDP to the Government and the Executing Agency, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the Government and the Executing Agency terminate the project.
3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.