Project title: Enhanced Management and Enforcement of Ethiopia's Protected Area Estate

Country: Ethiopia	**Implementing Partner:** *Ethiopian Wildlife Conservation Authority (EWCA)*	**Management Arrangements:** National Implementation Modality (NIM)

UNDAF/Country Programme Outcome: Outcome 3: By 2020, key government institutions at federal level and in all regions and cities are able to plan, implement and monitor priority climate change mitigation and adaptation actions and sustainable natural resource management.
3.1. Number of annual greenhouse gas emissions (in million tons of carbon dioxide equivalent)
3.3. Hectares of land managed sustainably through afforestation

UNDP Strategic Plan: Integrated Results and Resources Framework *Output 2.5 indicator 2.5.1:* Extent to which national legal, policy, and institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.

UNDP Social and Environmental Screening Category: Low	**UNDP Gender Marker:** *2*
Atlas Project ID/Award ID number: *00100238*	**Atlas Output ID/Project ID number:** *00103276*
UNDP-GEF PIMS ID number: 5609	**GEF ID number: 9157**
Planned start date: *August 2017*	**Planned end date:** *September 2023 (72 months)*

LPAC date: *July 31, 2017*

Brief project description: Driven by low risk and high profitability, the trade in wildlife products and live animals continues to flourish. Ethiopia has been identified as a key transit (as well as source) country for wildlife products and live animals. The proposed project is seeking to implement solutions that will counter the threats to biodiversity and overcome the barriers to effective management of protected areas and to combatting illegal wildlife trade. It seeks to achieve the project's objective: **to build Ethiopia's capacity for biodiversity conservation through increased effectiveness of protected area management and implementation of measures to reduce Illegal Wildlife Trade (IWT) and poaching**. The objective will be achieved through the implementation of three project components. **Component 1**: *Protected area management and biodiversity conservation*. This component will focus on *demonstrating* how effective management of protected areas in Ethiopia can be achieved by targeting a small number of protected areas, given that the selected pilot sites are those protected areas in which key target species (elephants and big cats) are found. **Component 2**: *Implementation of anti-trafficking measures*. This component will focus on improving different aspects of law enforcement so as to increase the deterrent to illegal wildlife trafficking. **Component 3**: *Landscape approach to forest and agro-biodiversity conservation*. This component focuses on realizing the value of agro-biodiversity for the country and specifically for people living in the vicinity of the protected areas targeted in Component 1. Finally, **Component 4** *Knowledge Management, Gender*

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

FINANCING PLAN	
GEF Trust Fund	USD 7,294,495
UNDP TRAC resources	USD 200,000
(1) Total Budget administered by UNDP	**USD 7,494,495**
PARALLEL CO-FINANCING	
GoE (Ethiopian Wildlife Conservation Authority)	USD 30,868,725
GoE (Ethiopian Biodiversity Institute)	USD 3,161,356
IGAD/EU/HoAREC	USD 6,380,000
KfW	USD 21,267,000
GIZ	USD 12,234,400
Born Free Foundation	USD 1,500,000
Frankfurt Zoological Society	USD 1,800,000
Wildlife Conservation Society (WCS)	USD 1,000,000
African Wildlife Foundation (AWF)	USD 5,000,000
(2) Total co-financing	**USD 83,211,481**
(3) Grand-Total Project Financing (1)+(2)	**USD 90,705,976**

SIGNATURES		
Signature: ADMASU NEBEBE State Minister	**Agreed by: Ministry of Finance & Economic Cooperation**	**Date/Month/Year:** 04-10-2017
Signature: Kumara Wakjira Director General	**Agreed by: Ethiopian Wildlife Conservation Authority (EWCA)**	**Date/Month/Year:** 04-10-2017
Signature:	**Agreed by: UNDP**	**Date/Month/Year:** 04-10-2017

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

eastern lowlands[2]. The degree to which the natural vegetation and animal populations have been lost means that the region's biological diversity is acutely threatened.

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

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

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

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

12. The country is also seen as a transit route for ivory (and other commodities) with Bole International Airport being a pivotal hub (demonstrated by the 6.1 tons of ivory being confiscated, a proportion of which was confiscated in Bole International Airport). As a consequence, in 2012, Ethiopia scored 40% on the "Elephant Trade Information System" for law enforcement[6].

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al.). Conservation International: Cemex Press

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

[3] Hundessa, T. (1995) Utilisation of Wildlife in Ethiopia. Proc. Participatory Wildlife Management Workshop; Addis Ababa, August, 1995. pp 69-74. Ministry of Natural Resources Development and Environment Protection and Farm Africa. Addis Ababa, Ethiopia.; Pankhrust, R.K.P. (1998)

[4] Powell-Cotton, P. (1902) A Sporting Trip Through Abyssinia. London: Rowland Ward.

[5] EWCA (2015) Ethiopian Elephant Action Plan, 2015-2015. February 2015.

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

stability would also benefit the system: EWCA has been shifted among different ministries and at different levels ten times over the past three decades). If not addressed, such institutional issues present profound risks to the project (see Section V)[11].

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

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

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

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

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

23. *Marginalisation and limited knowledge of the environment sector.* Despite the development of the CRGE, in large part, the environment sector – and protected areas conservation in particular – remains marginalized off the public and political agenda. However, this is not wholly because of a lack of knowledge or awareness; indeed, the

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

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

[13] In 2008, the establishment of the present Ethiopian Wildlife Development, Conservation and Utilization Authority (EWCA) was proclaimed under the 575/2008 in May 24th 2008. Following this, the Council of Ministries provided the regulation163/2009 on February 19th 2009. Other legislation developed under the UNDP-GEF SDPASE project include: Revision of wildlife regulation and proclamation (draft), Trust fund proclamation (draft), seven protected areas gazetted; Reorganization of EWCA (draft)

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

people living in the vicinity of the protected areas targeted in Component 1. Finally, lessons learned from the project via active participation of all stakeholder groups in the project implementation and M&E will be made available nationally and internationally to facilitate IWT fight through implementation of **Component 4** ***Knowledge Management, Gender Mainstreaming, and M&E.***

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

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

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

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

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

Child Program Component	**GWP Program Component**	**GWP Program Outcomes**	**GWP indicators and targets**

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[15] For example, see http://www.farmafrica.org/downloads/participatory-forest-management-in-ethiopia.pdf, http://www.moa.gov.et/documents/93665/3423237/PFM+Guideline+4-20-12_MoA%2BKHSupdate.pdf/0a45467d-cf3e-4732-b4f6-25afffcc87ef, https://www.giz.de/en/worldwide/32891.html, http://www.fao.org/3/a-aq407e.pdf

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

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

29. In addition to contributing to the GWP, the project is almost unique in the degree to which it is contributing to the implementation of the **Ethiopian Elephant Action Plan**[18] (2015). This is even more important because Ethiopia acts as Secretariat for the Elephant Protection Initiative (EPI) and is one of the founding signatories for the initiative. The project is first making significant contribution to carrying out the *Priority Actions for Elephant Conservation in Ethiopia* (as listed on page 7 of the EEAP). Second, the project is contributing to the achievement of EEAP Strategic Objectives One (*Ivory trafficking within and through Ethiopia stopped by 2025*) and Two (*Site-based law enforcement*

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

[18] Ethiopian Wildlife Conservation Authority (2015) Ethiopian Elephant Action Plan 2015 – 2020. Addis Ababa, Ethiopia. March 2015.

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

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

Table 3. The project's Theory of Change

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

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

31. The strategy has been developed on the basis of consultation with the majority of stakeholders who have been active in conservation projects in Ethiopia over the past twenty years. This includes the UNDP-GEF project "Sustainable Development of the Protected Area System of Ethiopia" that was implemented from 2008 – 2016. Other projects and organisations that were consulted over the PPG period include FZS (who have been active since 2004 in protected areas projects – especially in the Bale Mountains National Park), African Parks (who have been previously active in Omo and Nechsar National Parks and who were, over the course of the PPG period, negotiating for a management agreement for Gambella National Park), HOAREC (who have been engaged in Gambella National Park), stakeholders working with AWF in Simien Mountains National Park, BFF and their Border Point Project and having a dedicated IWT Officer, and, of course, the MOEFCC, EBI, EWCA and representatives from the SNNPR Tourism & Culture Office (see Annex K for a list of the people consulted over the course of the PPG process). The project also draws off other ongoing initiatives, including other ongoing UNDP-GEF projects (Mainstreaming Incentives for Biodiversity Conservation in the Climate Resilient Green Economy Strategy, and Mainstreaming Agro-biodiversity into the Agricultural Production System of Ethiopia). The PPG included a stakeholder workshop[19] in

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[19] Held on 02 September 2016; see Annex K for a list of the participants.

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

38. **Kafta Shiraro NP.** This protected area (of 2,176km²) lies in the far north of the country. It was originally established as a wildlife reserve but upgraded to a national park in 2007. It was formally gazetted in 2015. As with Babille, there is an isolated elephant population in the area (estimated at 300 animals): this is the most northern population of elephants on the continent and the population crosses the border into Eritrea. The area is threatened with habitat loss as a result of frequent fires, and corridor obstruction by irrigation schemes, settlement and agricultural expansion.

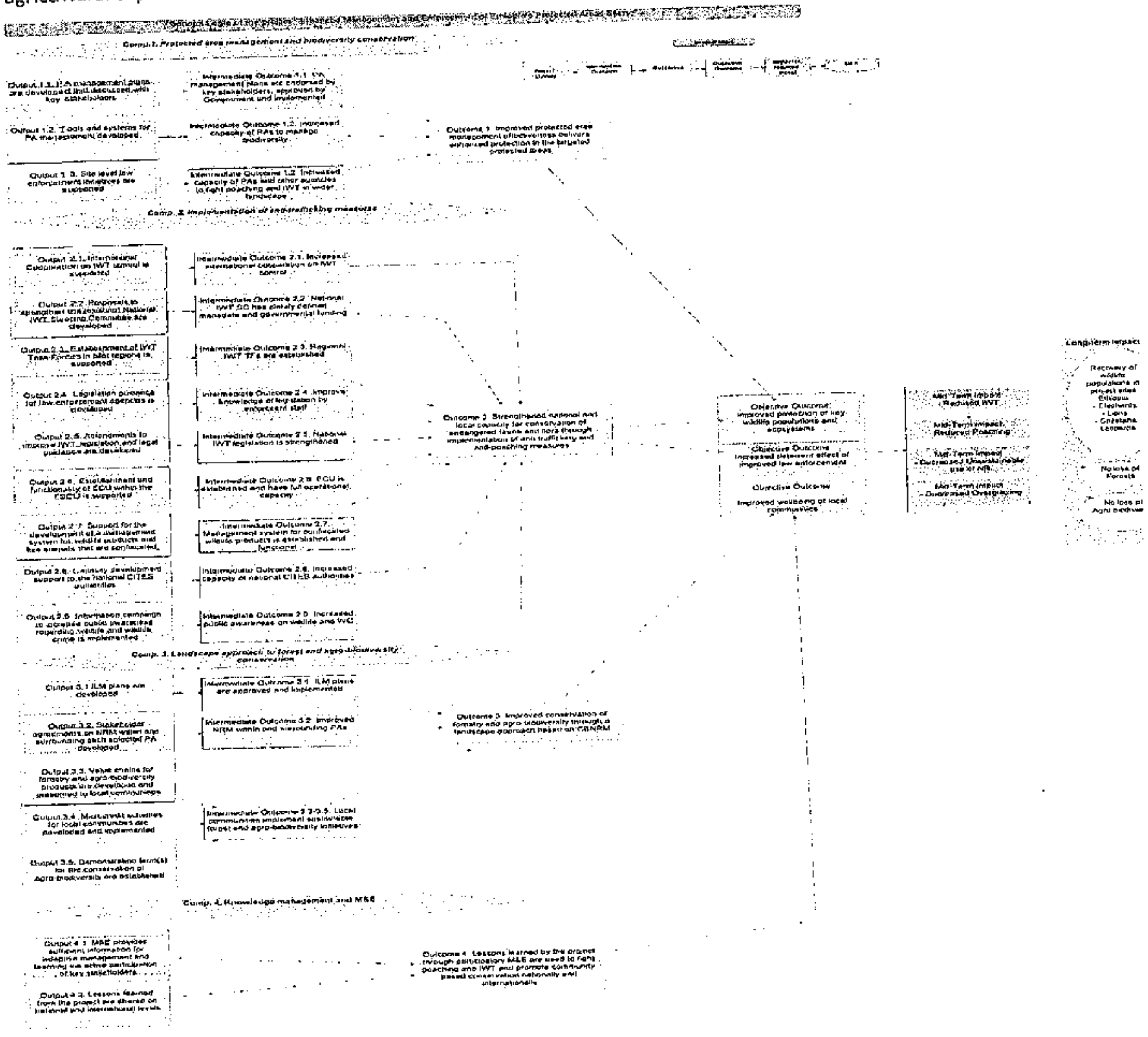
Comp.1. Protected area management and biodiversity conservation
Output 1.1. PA management plans are developed and discussed with key stakeholders
Intermediate Outcome 1.1. PA management plans are endorsed by key stakeholders, approved by Government and implemented
Output 1.2. Tools and systems for PA management developed
Intermediate Outcome 1.2. Increased capacity of PAs to manage biodiversity
Output 1.3. Site level law enforcement initiatives are supported
Intermediate Outcome 1.3. Increased capacity of PAs and other agencies to fight poaching and IWT in wider landscape
Outcome 1. Improved protected area management effectiveness delivers enhanced protection in the targeted protected areas
Comp. 2. Implementation of anti-trafficking measures
Output 2.1. International cooperation on IWT control is supported
Intermediate Outcome 2.1. Increased international cooperation on IWT control
Output 2.2. Proposals to strengthen the National IWT Steering Committee are developed
Intermediate Outcome 2.2. National IWT SC has clearly defined mandate and governmental funding
Output 2.3. Establishment of IWT Task Forces in pilot regions is supported
Intermediate Outcome 2.3. Regional IWT TFs are established
Output 2.4. Legislation guidance for law enforcement agencies is developed
Intermediate Outcome 2.4. Improve knowledge of legislation by enforcement staff
Output 2.5. Amendments to improve IWT legislation and legal guidance are developed
Intermediate Outcome 2.5. National IWT legislation is strengthened
Outcome 2. Strengthened national and local capacity for conservation of endangered fauna and flora through implementation of anti-trafficking and anti-poaching measures
Output 2.6. Establishment and functionality of ECU within the EWCA is supported
Intermediate Outcome 2.6. ECU is established and have full operational capacity
Output 2.7. Support for the development of a management system for wildlife products and live animals that are confiscated
Intermediate Outcome 2.7. Management system for confiscated wildlife products is established and functional
Output 2.8. Capacity development support to the National CITES authorities
Intermediate Outcome 2.8. Increased capacity of national CITES authorities
Output 2.9. Information campaign to increase public awareness regarding wildlife and wildlife crime is implemented
Intermediate Outcome 2.9. Increased public awareness on wildlife and IWC
Comp. 3. Landscape approach to forest and agro-biodiversity conservation
Output 3.1. ILM plans are developed
Intermediate Outcome 3.1. ILM plans are approved and implemented
Output 3.2. Stakeholder agreements on NRM within and surrounding each selected PA developed
Intermediate Outcome 3.2. Improved NRM within and surrounding PAs
Outcome 3. Improved conservation of forestry and agro-biodiversity through a landscape approach based on CBNRM
Output 3.3. Value chains for forestry and agro-biodiversity products are developed and supported by local communities
Output 3.4. Microcredit activities for local communities are developed and implemented
Intermediate Outcome 3.3-3.5. Local communities implement sustainable forest and agro-biodiversity initiatives
Output 3.5. Demonstration farm(s) for the conservation of agro-biodiversity are established
Comp. 4. Knowledge management and M&E
Output 4.1. M&E provides sufficient information for adaptive management and learning via active participation of key stakeholders
Output 4.2. Lessons learned from the project are shared on national and international levels
Outcome 4. Lessons learned by the project through participatory M&E are used to fight poaching and IWT and promote community based conservation nationally and internationally
Objective Outcome: Improved protection of key wildlife populations and ecosystems
Objective Outcome: Increased deterrent effect of improved law enforcement
Objective Outcome
Improved wellbeing of local communities
Mid-Term Impact - Reduced IWT
Mid-Term Impact - Reduced Poaching
Mid-Term Impact - Decreased Unsustainable use of NR
Mid-Term Impact - Decreased Overgrazing
Longterm Impact
Recovery of wildlife populations in project sites
Ethiopia
- Elephants
- Lions
- Cheetahs
Leopards
No loss of Forests
No loss of Agro biodiver

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

    ii. National IWT Steering Committee has clear mandate and TOR and operates at full capacity;
    iii. At least 2 IWT Task Forces are established and functional in pilot regions;
    iv. Critical gaps in IWT legislation are eliminated;
    v. Environmental Crime Unit within the Federal Serious Crime Unit is established and have necessary staff and funding;
    vi. Management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field is established and functional;
    vii. National CITES management and scientific authorities have necessary knowledge and skills to facilitate its implementation;
    viii. At least 10% of Ethiopia public are aware about negative impact of IWT and supportive to conservation;
    ix. Capacity of government agencies on IWT control increased by at least 20%

c. **Outcome Three:** Improved conservation of forestry and agro-biodiversity resources through a landscape approach based on community-based natural resource management, as indicated by:
    i. Two integrated landscape management plans covering 50,000ha are developed and are implemented
    ii. Four stakeholder agreements on access to and sustainable use of natural resources within and surrounding target PA are signed and implemented;
    iii. At least three new value chains for agro-biodiversity and forest products are used by local communities to generate sustainable income;
    iv. Local communities in the project areas have access to funding (up to $150,000 a year) for implementation of CBNRM projects;
    v. ~35 sustainable small businesses are developed by local communities based on CBNRM principles;
    vi. Average household impact of participating local communities increased by 30%
    vii. Agro-biodiversity farms are established at the area of 100 ha.

d. **Outcome Four:** Lessons learned by the project through participatory M&E, including gender mainstreaming, are used to fight poaching and IWT, and promote community-based conservation nationally and internationally, as indicated by
    i. Five project lessons used in other conservation projects;
    ii. At least ten national and international organisations participate in project M&E.

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

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

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

57. Output 1.3 Site level law enforcement initiatives are supported

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

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

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

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

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

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

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

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

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

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

67. Output 2.1 International cooperation on IWT control is supported

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

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

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

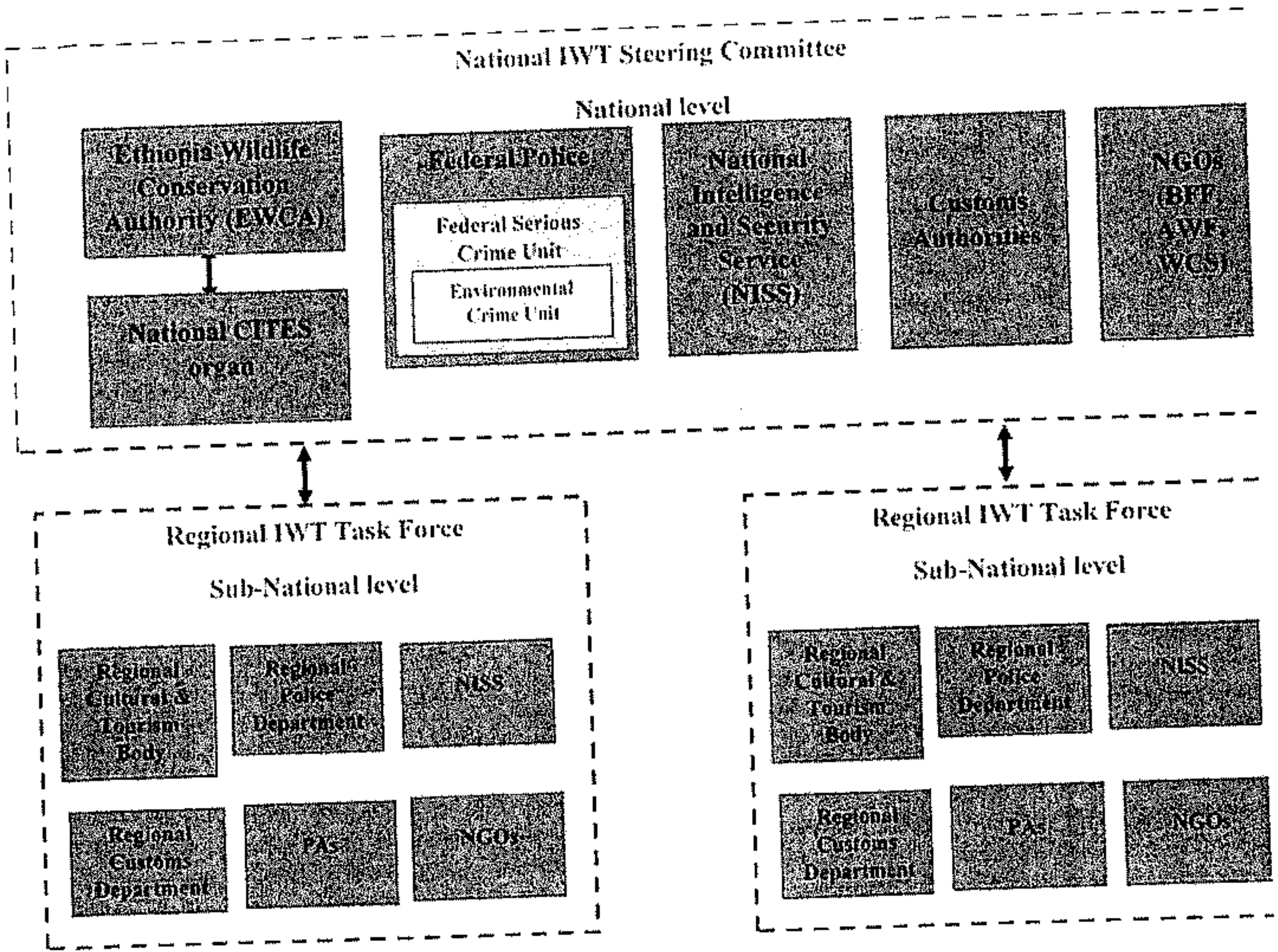
National IWT Steering Committee
National level
Ethiopia Wildlife Conservation Authority (EWCA)
National CITES organ
Federal Police
Federal Serious Crime Unit
Environmental Crime Unit
National Intelligence and Security Service (NISS)
Customs Authorities
NGOs (BFF, AWF, WCS)
Regional IWT Task Force
Sub-National level
Regional Cultural & Tourism Body
Regional Police Department
NISS
Regional Customs Department
PAs
NGOs
Regional IWT Task Force
Sub-National level
Regional Cultural & Tourism Body
Regional Police Department
NISS
Regional Customs Department
PAs
NGOs

Figure 3. Proposed IWT Law Enforcement Structure in Ethiopia

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

111. The project will support the following studies:

a. Study to determine the economic viability for local communities to grow different varieties of crops

b. Study to examine value chains (mechanisms to provide sustainable income, including growing, marketing, and selling production) for selected crops and their products, and the viability for local communities in the vicinity of selected PAs growing those crops and products

c. Study to examine value chains for NTF products (e.g., spices) and the economic viability for local communities to harvest them on a sustainable basis

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

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

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

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

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

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

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

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

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

therefore, collaborate with a number of on-going projects and programmes within the country with the objective of leveraging funding and avoiding duplications. The collaborations will also allow for lessons and best practices to be shared and, therefore, to increase the overall positive impact on wildlife in Ethiopia.

Table 4. Proposed partnerships and synergies for the project

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

Stakeholder	Mandate	Roles & responsibility in project
FDRE Ministry of Environment, Forestry and Climate Change (MoEFCC)	MOEFCC was established under proclamation 803/2013 to coordinate and ensure that the environmental objectives provided under the Constitution and the basic principles set out in the environmental policy of Ethiopia are realized. It also ensures participatory environmental management for sustainable development and governs the use of environmental resources by the present and future generations in each sector at each administrative level. It is an agency in the administrative structure of the central government for the planning, promotion, co-ordination and overseeing the implementation of Ethiopia's climate, environmental and forestry policies and programmes. The MoEFCC's mandate includes coordinating national development efforts with the aim of avoiding duplication among stakeholders and promoting sustainable utilization of environmental resources	The MoEFCC is the Ministry in which the GEF OFP sits; and will be the Chair of project steering committee
FDRE Ministry of Culture & Tourism	The main mission of the ministry is to study, preserve, develop and promote the cultural wealth and the national tourism attractions of the nations, nationalities and peoples of Ethiopia and to build the positive images of Ethiopia with a view to adding a sustainable socio-economic and political values with popular and stakeholder's participation. The Ethiopian Wildlife Conservation Authority is under this Ministry.	EWCA is (currently) housed in this ministry and thus falls under its mandate[30].
Ministry of Finance and Economic Cooperation , Ministry of Agriculture and Natural Resources and Ministry of Livestock and Fisheries	These are other government ministries that responsibilities in different sectors that have some bearing on the project (most pertinently, agriculture – for the large-scale agricultural projects that are being carried out in the vicinity of some protected areas, natural resources and livestock)	The project will ensure contact with these key stakeholders is maintained throughout the project's implementation and that they are consulted as necessary and included as stakeholders in all consultative forums.

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

Ethiopian Revenue & Customs Authority (ERCA)	The Ethiopian Revenues and Customs Authority (ERCA) is the body responsible for collecting revenue from Customs duties and Domestic taxes. In addition to raising revenue, it is responsible to protect the society from adverse effects of smuggling and contraband. It seizes and takes legal action on the people involved in the act of smuggling, tax evasion and avoidance while it facilitates the legitimate movement of goods and people across the border.	Beneficiaries of Component Two ERCA is a key partner given their responsibility in countering smuggling and trafficking. Also, can be a member of the national steering committee for IWT and the ECU (Component Two).
Southern Nation, Nationality & Peoples' Region Culture and Tourism Bureau	The Bureau works to preserve and sustainably develop the region's natural, cultural, language, historical heritages and other cultural assets; and improve the capacity of tourist service rendering institutions, thereby increasing the sector contribution in the development of economy and ensures community benefits.	Beneficiaries of Components One, Two and Three The Bureau manages PAs involved in this project (Mago and Chebera Churchura National Parks). The Bureau will, as a result, be a key partner in these areas and will be targeted for capacity development. The Bureau also has the mandate to approve some of the outputs of the project (e.g., management plans for regional protected areas). The Bureau will also have representation on the PB.
Somali Region Culture and Tourism Bureau		Beneficiaries of Components Two and Three The Bureau wil be primarily involved in i) working with the relevant organisations to counter IWT (Component Two), and also Integrated Landscape Plans in the vicinity of Babille Elephant Sanctuary.
Tigray Region Culture and Tourism Bureau		Beneficiaries of Components Two and Three The Bureau wil be primarily involved in i) working with the relevant organisations to counter IWT (Component Two), and also Integrated Landscape Plans in the vicinity of Kafta Shiraro National Park.
KfW Development Bank	KfW supports effective management of important protected areas in the country; it focuses on park management and financing for investment in park infrastructure. In consultation with the government in 2013, it has been agreed that the Bank would broaden its engagement in biodiversity conservation and sustainable management of natural resources.	KfW is a co-financing partner for this project – financing protected areas work in the country (Component One). KfW will represent the donor community on the PB.

Born Free Foundation (BFF)	The BFF has been operating in Ethiopia since 2008 (although it has been supporting the EWCP – see below – since the late 1990s). BFF manages the Wildlife Rescue, Conservation and Education Centre for rescued animals (uually associated with illegal trade in live animals or animals kept unlawfully). BFF also run the Border Point Project, designed to strengthen law enforcement and the role of Criminal Justice in IWT, and funded by the Department for Environment, Food and Rural Affairs in UK. BFF operates in Babille Elephant Sanctuary on a conservation project aims to halt or significantly reduce elephant poaching and reduce other anthropogenic pressures.	Two of the BFF projects, the Border Point Project and the Babille Elephant Conservation and Awareness project, are in line with the proposed GEF project. As such, BFF could be a key partner (if not Responsible Party) for the project.
Horn of African Regional Environment Centre and Network (HoA-REC/N)	HoAREC is a Sub-regional environmental network operating in the Horn of Africa countries of Sudan, South Sudan, Ethiopia, Kenya, Djibouti, Somalia and Uganda. It focuses on environmental concerns and sustainable development options within the Horn of Africa. It facilities, strengthens and advocates for initiatives related to environmental conservation and natural resource management. The Network works with a number of learning institutions, research centres, civil society and community-based organisation in the Sub-Region.	This Network manages a project entitled Strengthening Biodiversity Management in the Boma-Gambella landscape Gambella Region (Ethiopia) and Boma Landscape (South Sudan). This is a multifaceted project but it has a component of designing and implementation of an integrated law enforcement strategy over the Boma – Gambella landscape. It aims to conduct a survey on the extent of IWT, and training and capacity building of the park rangers as well as training on IWT for law enforcement authorities and partners in the region. In general, this project will implement activities in the Boma – Gambella landscape (Component Two).
Horn of Africa Wildlife Enforcement Network (HAWEN)	The idea of the network was initiated by the Ethiopian Wildlife Conservation Authority (EWCA), the US Embassy in Ethiopia and Addis Ababa University (HoAREC/N) with a number of member countries and other institutions. The objective is to facilitate the establishment of the Horn of Africa Wildlife Enforcement Network – HAWEN. The Network was established with one representative from each country (Djibouti; Ethiopia; Kenya; Sudan; South Sudan; Somaliland; Somalia and Uganda). It aims to communicate and work with the concerned national authorities and work with intergovernmental organizations like IGAD, the new partnership for Africa's Development (NEPAD), CITES, etc. However, in recent years HAWEN has struggled to operate.	The network could play an important role to control inter-boundary IWT among the Horn of African countries. The project will work with representatives of the Network to seek synergies[31].

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[31] If the Network is fully operational, it may have representation on the PB, to be confirmed during the Inception Phase.

Indigenous communities	Many of the people living in the vicinity of the protected areas targeted by this project (as described above) fall under the definition of "indigenous peoples" – most particularly in (but not limited to) the vicinity of the Omo and Mago National Parks.	Beneficiaries of Component Three. One of the principal outcomes that is being sought by the project is to pilot agreeing on mechanisms to allow indigenous people access to and use of resources within and surrounding protected areas. As such, working with these indigenous communities is a key part of Component Three.

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

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

139. On the basis of the value chain analyses for agro-biodiversity products (carried out under Output 3.3), access to credit for women to support livelihood activities sdirectly linked to the results of the value chain analyses and products highlighted therein can bolster household income and, specifically, that portion over which women have control. Indeed, agro-processing is a way to improve the economic status of the women and this can be linked to the value chain analyses, and could be linked to more targeted and effective extension services. Greater support will be required from other existing women's organizations, NGOs, networks and cooperatives, particularly those working on NRM and agriculture, to make this a reality. It is also important that in monitoring, assessment and learning from local experience, across the board collection of gender-responsive and sex-disaggregated data takes place in order to ensure that differential impacts are understood and results fed back into policy, practice and budgeting. The project will draw off existing human resources (including in UNDP and UN WOMEN) to ensure sustainability and equality of gender-responsive approaches, and to take charge of periodically reviewing progress in use of gender-sensitive monitoring and assessment indicators. This project takes a hybrid approach combining targeted programs and gender mainstreaming, with monitoring and learning approaches under multi-stakeholder platforms, enabling effective gender-equal feedback and learning from target groups. To ensure strong implementation, a gender strategy document will be produced to guide implementation, follow-up and dissemination of knowledge under Outcome 4.

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

i. Encouragement of qualified women applicants for positions, including social mobilizers under the project as per UNDP rules and regulations.

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

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

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

Proposed gender mainstreaming actions for project implementation

Outcome/ Output	***Gender Mainstreaming Actions***
Component 1: Protected area management and biodiversity conservation	
Output 1.1. PA management plans are developed and supported for initial implementation	• Proactive inclusion of local women and women organizations in working groups and committees involved in the development of PA Management Plans; • Gender Mainstreaming will be addressed in the PA MPs. • For monitoring purposes all participants of the management planning will be disaggregated by gender in the reporting documents • The management plans are expected to lead to the development of PA Management Committees; such committees will be comprised of at least 40% women
Output 1.2. Tools and systems for PA management developed and initial operationalization supported	• Proactive inclusion of women staff in the trainings and workshops on the PA Management • Gender disaggregated reporting on the training participants
Output 1.3 Site level law enforcement initiatives are supported	• Involvement of women staff in the law enforcement and surveillance systems on poaching where possible
Component 2: Implementation of anti-trafficking measures	
Output 2.1 International cooperation on IWT control is supported	• Involvement of women experts in the Working Groups to develop and discuss international agreements on IWT control • Gender disaggregated reporting on the Working Groups' participants

Outcome/ Output	*Gender Mainstreaming Actions*
Output 3.3 Value chains for forestry and agro-biodiversity products are developed and presented to the local communities for implementation	- Experts that are women will be specifically sought to carry out the value-chain analyses - Involve local women in the trainings on new value chains - Gender disaggregated reporting on the training participants
Output 3.4 Microcredit schemes for local communities are developed and implemented	- There will be an emphasis on providing microcredit loans to female led households, and/or to households that apply for loans with activities that have an emphasis on female-led activities (e.g., collection of fuelwood, water and/or NTF products) – as they relate to the value chain for agro-biodiversity products. As a result, women leadership will be enhanced - Inclusion of women in the work of micro-loan committees to make decision on micro-loans - Gender disaggregated reporting on receivers of the micro-loans
Output 3.5 Demonstration farm(s) for the conservation of agro-biodiversity are established	- Promotion of gender balance in the initiative groups to develop demonstration farms - Gender disaggregated reporting on the participants of the pilot projects
Component 4: Knowledge Management, Gender mainstreaming, and M&E	
Output 4.1. M&E provides sufficient information for adaptive management, gender mainstreaming, and learning via active participation of key stakeholders in the project implementation	- Requirement for gender-disaggregated information for appropriate indicators in the M&E Plan - Specific monitoring of gender mainstreaming progress during project implementation - Promotion of women participation in the project M&E process - Gender disaggregated reporting of M&E participants
Output 4.2. Lessons learned from law enforcement strategies and community based conservation, including gender mainstreaming, are shared on national and international levels	- Reporting of gender oriented lessons learned from the project - Inclusion of women in generating and discussion of the lessons learned from IWT management and CBNRM
Project Management	- Apply gender clause to human resource recruitment, encouraging the applications from women candidates and their hiring - At inception: gender screening of design - TORs of all staff to include specific responsibilities that support mainstreaming of gender throughout project implementation

147. South-South and Triangular Cooperation (SSTrC)

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

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

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

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

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

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can be updated during the project's Inception Phase.

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

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

d. ***Provide feedback.*** **Feedback will be provided in response to all registered grievances.** The PMU will provide feedback by contacting the complainant directly (if his/her identity is known), by reporting on actions taken in community consultations and/or by publishing the results of the complaints on the Project web-site, local newspapers and as part of project materials.

e. ***Enable appeals.*** **Complainants will be notified of their right to appeal the decision taken by the PMU.** If complainants are not satisfied with PMU response to their grievance, they will be able to appeal the PMU decision to members of SC and UNDP CO via mail, e-mail or the Project web-site. ***Monitor & Evaluate.***

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

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

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

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

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

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

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

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

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

VI. PROJECT RESULTS FRAMEWORK

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

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

icators	Baseline	MTR target	EOP target	Assumptions
	CCNP: 30 Babille: 13 Kafto Shiraro: 46	CCNP: 62 Babille: 60 Kafto Shiraro: 68	CCNP: 81 Babille: 82 Kafto Shiraro: 84	plans and management systems manuals; PAs will use new skills to increase management effectiveness Government will provide sufficient funding to PAs during and then beyond the life of the project for effective management plan implementation Improvement in the management of the PAs is dependent on institutional functionality
icator 1. Number of s that have up-to-date nagement plans proved by the vernment and under plementation	Zero No management plans (although "abbreviated" management plans are under development for Kafta Shiraro NP and CCNP)	One	Five Management plans for five protected areas formulated, approved and being implemented leading to demonstrable improvement in management (management systems in place and in use; staff trained and training being used; appropriate tools and technologies in place and in use)	Assumes that: • EWCA and regions will approve MPs • Government will allocate resources to implement MPs, including for maintenance and depreciation of infrastructure and equipment • Capacity and institutional space to implement Barriers to implementation removed
icator 2. Proportion of ccessful prosecutions of ldlife crimes in PAs and rrounding areas easured annually)	Baseline data only for CCNP:	Of the cases that are presented in courts, at least 60% result in convictions with appropriate sentences	Of the cases that are presented in courts, at least 90% result in convictions with appropriate sentences	Assumes LE agencies take wildlife crime seriously enough to allocate time and resources

ɟicators	Baseline	MTR target	EOP target	Assumptions
:luding local and ɟigenous communities[43]		place and being implemented	place and being implemented	indigenous people within and surrounding PAs Local people will see livelihood benefits from implementation of ILM plans
ɟicator 3. Total mber/area of small stainable businesses veloped by local people ecipients of microcredit ıemes	Zero	10	35	Local people have economic and social interest to develop CBNRM systems, sustainable agriculture and forestry
ɟicator 4. Average rcentage of household :ome increase of :ipients of microcredit ıemes in the project ɘas	Baseline to be determined on selection of recipients of microcredit schemes	Household income increased by at least 15% above baseline	Household income increased by at least 30% above baseline	Assumes local communities will readily take up microcredit schemes
ɟicator 5. Area (ha) of monstration farm(s) ɔtecting rare and luable genetic agro-ɔdiversity	Zero	At least one area of 50ha	At least 100ha	Assumes that the government will be willing to acquire the land for the demonstration farms Assumes that the farm(s) will be sustainably managed following closure of the project
ɟicator 1. Number of the ɔject lessons used in velopment and plementation of other nservation projects	0	2	5	Other stakeholders are interested in the lessons learned by this project

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with include, but not be limited to: i) the establishment of PA management committees that include all relevant stakeholders (especially local communities and e mandate to make all decisions relating to PA management, ii) the use of natural resources within the landscape as per the zonation plan. This indicator represents "Number of formal agreements with local communities on (conservation and) natural resource use"

VII. Monitoring and Evaluation Plan

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

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

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

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

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

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

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

183. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E

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[44] See https://www.thegef.org/gef/policies_guidelines

[45] See https://www.thegef.org/gef/gef_agencies

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

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

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

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

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

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

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

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

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

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

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

203. The **Implementing Partner** for this project is the Ethiopian Wildlife Conservation Authority (EWCA), using UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Ethiopia, and the Country Programme, and with UNDP's support to the project (CO). The Implementing Partner is accountable and responsible for oversight of the project implementation. The Implementing Partner will also appoint a National Project Director. This will be a high-ranking official and this person will be

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

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

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

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

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

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

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

217. The PMU will be housed in EWCA consisting the project manager,project Co-ordinator (who will coordinate the wildlife component), one M & E expert, one finance officer and one driver. While one project Co-Ordinator will be housed in EBI for Co-ordinating the Biodiveristy component of the project .

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

219. The **Project Board** is responsible for making, by consensus, management decisions when guidance is required by the IP (with the Project Manager and RPs), including recommendation for UNDP approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity,

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

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

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

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

IX. FINANCIAL PLANNING AND MANAGEMENT

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

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

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

Co-financing source	Co-financing type	Co-financing amount, USD	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Recipient Government – EWCA	Parallel cash	30,868,725	Significant inputs into Outcomes One and Two: • Salaries and operations of staff in selected pilot PAs • Salaries of staff at EWCA HQ with involvement in oversight of PAs, and countering IWT	Current crises in Ethiopia may lead to delays in necessary increase in	Support key functions for project from project budget

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

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

[53] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

[54] See https://www.thegef.org/gef/policies_guidelines

[55] This will use the best practice for monitoring co-finance expenditure – see the methodology for monitoring co-finance expenditure in the UNDP-GEF project "*Mainstreaming biodiversity in Uzbekistan's oil-and-gas sector policies and operations*".

			• Time of high level staff in project oversight, approval processes for outputs • Involvement in project and other associated structures (e.g., IWT SC)	funding of PAs	
Recipient Government - EBI	Parallel cash	3,161,356	Significant input into Outcome Three, especially the aspect that relate to agro-biodiversity conservation: • Salaries of staff in selected pilot areas • Salaries of staff in developing demonstration farms • Time of high level staff in PB		
CSO: BFF	Parallel cash	1,500,000	Significant involvement in Outcome Two and also involvement in Outcome One, specifically: involvement in IWT (through the Border Point Project)	Little risk – fully committed for project period and beyond	--
CSO: FZS	Parallel cash	1,800,000	Involvement in Outcome One specifically though their	Little risk – fully committed for project period and beyond	
CSO: AWF	Parallel cash	5,000,000	Involvement in Outcome Two, specifically: continuation of the canine detection project (at Bole International Airport) and training of the law enforcement agencies (including the police and judiciary)	Little risk – fully committed for project period and beyond	
CSO: WCS	Parallel cash	1,000,000	Significant involvement in Outcomes One and Two, specifically: engagement in Omo and Mago National Parks and potential enagagement in Gabella National Park (dependent on African Parks engagement there) and involvement in IWT	Little risk – fully committed for project period and beyond	
Private sector: GIZ	Parallel cash	12,234,400	Significant involvement in Outcome One (PA management) although specifically in protected areas other than those selected for the proposed project. Leading the institutional analysis and restructuring of EWCA: building EWCA.	Little risk – fully committed for project period and beyond	
EU/IFAD/ HoAREC	Parallel cash	6,380,000	Significant involvement in Outcome One (PA management) although specifically in protected areas other	Little risk – fully committed	

X. TOTAL BUDGET & WORKPLAN

Atlas Proposal of Award ID:	00100238	**Atlas Primary Output Project ID:**	00103276
Atlas Proposal or Award Title:	Enhanced Management and Enforcement of Ethiopia's Protected Area Estate		
Atlas Business Unit:	ET10		
Atlas Primary Output Project Title:	Enhanced Management and Enforcement of Ethiopia's Protected Area Estate		
UNDP-GEF PIMS no.:	5609		
Implementing Partner:	*EWCA*		

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

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

Budget Notes (see also Table 9)	
Component 1	
1	The budget line will cover the costs of two international technical advisers (although it could possibly be the same person), one to guide the overall process for PA management development (Output 1.1 and 1.2), and one to advise on the site-level law enforcement processes, including the optimal tools for law enforcement and mentoring teams (Output 1.3); the TOR will include advising aerial and ground surveys (to establish the baseline and EOP statuses of wildlife populations – including the elephants, big cats and proportion of illegally killed elephants – in the five selected pilot PAs). The budget also will cover the cost of tendering process for the selection of responsible party - International consultant to assist with developing and finalising documentation to tender for a Responsible Party. (It should be noted that a **total of USD 57,000** has been allocated for the procurement of the RP; this is bifurcated over a number of budget lines as, overall, it includes an international consultant to assist with the process of finalizing Terms of Reference and the procurement documents, as well as negotiating the delivery-based contract with the RP, a national consultant – included in Budget Note 11 - to assist with the process of carrying out all due diligence on the bidding organizations, a budget for travel and advertising the process, time for screening the bids that are submitted – see Budget Note 20, and sufficient budget to include an independent audit company to audit the process to ensure that it is free and fair – see Budget Note 33.) It should also be noted that the total cost of national and international consultants is 13% of the total cost of the project (GEF + UNDP funds). **Total: USD 215,000**
2	The budget line will cover the cost of various expert contracts to support the development of PA management plans (Output 1.1), information systems (including management of the systems – the databases for PA management and for the digital information that will be produced as a result of patrols, arrests, distributions of wildlife encountered during patrols, offenders' database – including photographs and fingerprints – see Output 1.3). **Total: USD 160,000**
3	The budget line will cover the cost of 20% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) & Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and FO's salaries will be drawn from the other components and PMU budget (see below). **Total: USD 84,000**
4	The budget line will cover the cost of fuel and travel for meetings: PA management plan formulations (working group meetings, workshops); multi-partner coordination groups (PA mgt staff, judiciary); fuel and travel for surveys in Component Four. **Total: USD 96,000**
5	The budget line will cover the cost of services for the **implementation of the PA management plans (Output 1.1)**: it is expected that there will be a need for construction/rehabilitation priority infrastructure for PAs (according to detailed needs assessments); similarly, this will include contracts for construction of **law enforcement related infrastructure (Output 1.3)**. The aim of the PPG was not to pre-empt the needs assessment but to assign sufficient budget to cover the costs of the expected construction/rehabilitation: REHABILITATION OF HQ BUILDINGS: Senior Staff House, Dining/ social center, Barracks - 8 room, Ablutions, Generator shed, Lock-up for poachers, Guard house at gate, Guard house at airstrip, Kitchen+Food store, Office, Workshop, Containers, Water tanks, Boreholes, Solar Power, Septic Tank, Airstrip. OUTPOSTS: Barracks - 4 room, Dining 4m x4m open, Ablutions open, open Kitchen, Office, Containers, Water tank, Borehole, Solar Power, Septic Tank, Additional Remote Area Establishment. GATE POSTS: Barracks - 4 room, Dining 4m x4m open, Ablutions open, open Kitchen, Containers, Water tank, Borehole, Solar Power, Septic Tank, Containers, Additional Remote Area Establishment. In addition to the allocated costs for construction/rehabilitation, further budget has been allocated to the printing and dissemination/distribution costs (SOP manual) This budget line will also cover the costs of services for: i) the development of five PA management plans for the targeted PAs (Output 1.1 including needs assessments @ an estimated USD 100,000/PA management plan); ii) the development of PA SOP manual (Output 1.2 @ an estimated USD 80,000); iii) the analysis of the LE needs (human and financial resources, and equipment @ an estimated cost of 70,000). These are key outputs for the project. **Total: USD 1,074,000**
6	The budget line will cover the cost of equipment and furniture necessary for the **implementation of the PA management plans (Output 1.1)**: it is expected that there will be a need for equipment (primarily) and furniture (secondarily) for PAs (according to detailed needs assessments); similarly, equipment of **law enforcement activities (Output 1.3)**. The aim of the PPG

18	The budget line will cover the cost of national TA to guide development of ILM (Output 3.1), NRM agreements with people living in the vicinity of protected areas (Output 3.2); various expert inputs in process to establishment of demonstration farms (Output 3.5). **Total: USD 192,000**
19	As above, the budget line will cover the cost the 20% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) & Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and FO's salaries will be drawn from the PMU budget (see below) The budget line will also cover the costs of services to map natural resources (including distribution of agro-biodiversity) and develop integrated landscape management plans (Output 3.1); The budget line will also cover the costs of three contracted studies: i) study to determine the economic viability for local communities to grow different varieties of crops, ii) study to examine value chains for selected crops and their products, and the viability for local communities in the vicinity of selected PAs growing those crops and products and iii) study to examine value chains for NTF products (e.g., spices) and the economic viability for local communities to harvest them on a sustainable basis; dissemination of the results to stakeholders (Output 3.3). The budget line will also cover the costs of services to determine location for establishment of two demonstration farms and mechanisms to establish the farms; contract to develop microcredit schemes including selection criteria and mechanisms for its operation (Output 3.5) The budget line will also cover the costs to negotiate, develop and implement NRM agreements with people living in the vicinity of protected areas – including building the capacity of the beneficiaries (Output 3.2) The budget line will also cover the costs to carry out socio-economic surveys among local communities (in line with the ILM plans) and to design and implement the microcredit scheme (including criteria for selecting recipients and mechanisms for its operation) (Output3.4). **Total: USD 480,000**
20	The budget line will also cover the costs of travel – fuel, vehicle maintenance, etc and travel for meetings (all outputs) The budget line will also cover a percentage of the cost of tendering process for selection of Responsible Party - expenses to cover the costs of the process (meetings, travel, communications, materials). **Total: USD 120,000**
21	The budget line will also cover the costs of services for the **development of the demonstration farms (Output 3.5)**: it is expected that there will be a need for construction/rehabilitation of infrastructure associated with the farms. The aim of the PPG was not to pre-empt the needs assessment but to assign sufficient budget to cover the costs of the expected construction/rehabilitation: fencing; MAIN BUILDINGS: Senior Staff House, Dining/ social centre, Accommodation - 2 room, Ablutions, Guard house at gate, Kitchen+Food store, small workshop, Water tanks, Boreholes, Solar Power, Septic Tank. VISITOR CENTRE: Building - 2 room, Ablutions. **Total: USD 558,000**
22	The budget line will cover the cost of equipment & furniture - for the establishment of two demonstration farms including visitor facilities (Output 3.5). **Total: USD 170,000**
23	The budget line will cover the cost of microcredit grant facility for local communities (@ USD 150,000/yr for four years) (Output 3.4); The microcredit grants will be applied according to UNDP GEF microcredit grant policy. **Total: USD 600,000**
24	The budget line will cover the cost of training for staff to manage demonstration farms including provision of visitor services (Output 3.5); identification of species to include in the demonstration farms and mechanisms for propagation (Output 3.5); building capacity of local communities re. implementation of NRM agreements (Output 3.2). **Total: USD 152,000**
Component 4	
25	This budget lines will cover the cost of activities that are related to Output 4.1: implementation of M&E plan, including surveys to establish baselines and MTR and EOP levels (aerial and ground surveys of target areas); mid-term and terminal evaluation. See full M&E plan in Table 6. **Total: USD 253,000**
26	This budget line will cover the costs associated with the implementation of the M&E plan and knowledge management, including holding meetings (e.g., inception workshop and PB meetings) and website development and hosting – Output 4.1 and 4.2. **Total: USD 107,495**
Project Management	
27	The budget line will cover 20% of Salaries for full-time Project Manager (@ 50,000 USD p.a.) & Procurement & Finance Officer (@ 30,000 USD p.a.) over 6 years, based at PMU. The remainder of the PM and PFO's salaries will be drawn from the technical components. **Total: USD 144,000**
28	The budget line will cover the costs of PMU travel (including car maintenance and fuel supplies), related to project oversight and operationalization, including site inspections and participation in activities in the project sites. Also includes travel to inception workshop, mid-term review and final evaluation. **Total: USD 55,756**

Table 9. The budget codes associated with the outputs and the activities thereunder.

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

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

XI. LEGAL CONTEXT

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

a. put in place an appropriate security plans and maintain the security plan, taking into account the security situation in the country where the project is being carried;

b. assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

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

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

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

MANDATORY ANNEXES

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Outputs	Activities	Responsible Entity	YR1				YR2				YR3				YR4				YR5				YR6		
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3
	Administrative closure																								X
Outcome 1																									
Output 1.1. The formulation of PA management plans and initial implementation supported	Develop TOR for development of PA management plans	PMU, EWCA				X																			
	Recruitment	PMU					X	X																	
	Needs assessments for PAs	PMU							X	X															
	Development of PA Mgt Plans (with participation and working groups)	PMU, CONTRACTOR								X	X	X	X	X	X	X	X	X	X						
	Submission of Mgt Plans for approval	PMU										X	X	X	X	X	X	X	X	X	X				
	PA Mgt Plan implementation	PMU, EWCA														X	X	X	X	X	X	X	X	X	X
Output 1.2. Tools and systems for PA management developed and initial operationalization supported	Develop TOR for developing PA SOP manual, recruitment, consultation for all sections of manual, completion of manual	PMU, EWCA					X	X	X	X	X	X	X												
	Training for PA staff on use and implementation of the manual	PMU, EWCA										X	X	X	X										
	Monitoring of the use of the manual	PMU													X	X	X	X	X	X	X	X	X	X	X
Output 1.3 Site level law enforcement initiatives are supported	Develop and negotiate MOUs among LE agencies at different levels	PMU, PARTNERS				X	X																		
	Facilitate meetings among LE agencies						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Training and mentoring of LE staff and agencies							X	X	X	X			X	X			X	X		X	X		X	
	Analysis of capacity and resource needs for optimal law enforcement; negotiate contracts to deliver best LE solutions; procurement of	PMU					X	X	X	X	X	X	X					X	X				X	X	

Outputs	Activities	Responsible Entity	YR1				YR2				YR3				YR4				YR5				YR6		
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3
Unit within the Federal Serious Crime Unit is supported	Design structure and mandate for ECU; determine resource, equipment needs; submit to government for approval to formally establish ECU, including signing MOU specifying roles and responsibilities	PMU, PARTNERS					X	X	X	X	X	X	X												
	Recruit personnel; procurement; training	PMU, ECU								X	X	X	X	X	X	X									
	Develop ECU strategy and action plan; implement (facilitated by project)	PMU, ECU										X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 2.7 Support for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field	Assessment of best practice for managing wildlife products and live animals; develop proposal	PMU							X	X															
	Construct storage facilities, put management system into place										X	X	X	X											
	Independent audit of system												X								X				
Output 2.8 Capacity development support to the national CITES management and scientific authorities	Assess CITES authorities	PMU				X	X																		
	Design capacity development process for CITES authorities; implement						X	X	X	X	X														
Output 2.9 An information campaign to increase public knowledge and responsiveness regarding wildlife and wildlife crime is implemented	Contract company to carry out PR campaign; design & implement	PMU, CONTRACTOR						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Outcome Three																									
Output 3.1 Integrated Landscape Management	Study to develop detailed mapping of forests and agro-biodiversity	PMU				X	X	X	X																

Outputs	Activities	Responsible Entity	YR1				YR2				YR3				YR4				YR5				YR6		
			1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3
Output 4.1. M&E provides sufficient information for adaptive management, gender mainstreaming and learning via active participation of key stakeholders in the project implementation	4.1.1: Lessons learnt documents and share		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Output 4.2. Lessons learned from law enforcement strategies and community based conservation, including gender mainstreaming, are shared on national and international levels	4.2.1: Development and implementation of project M&E system		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Monitoring	Indicators	Description of Indicators	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
		Proportion of illegally killed elephants	MIKE; EWCA database	Baseline at start up of project; MTR; EOP		Analysis of progress reports from IA and RP	deterrent effect will take effect and will, ultimately, lead to a decline in the number of seizures and animals killed by poachers.
		Number of Big Cats (specifically lions, cheetahs and leopards) seized (at project sites per unit effort	EWCA database	Annually	PMU, EWCA	Analysis of progress reports from IA and RP, and partners	Assumes that following an increase in the number of seizures, the deterrent effect will take effect and will, ultimately, lead to a decline in the number of seizures.
	Indicator 4	Indicator 4. METT for PAs	EWCA database	Baseline at start up of project; MTR; EOP	PMU, EWCA	Analysis of progress reports from IA and RP	PAs will use and implement management plans and management systems manuals; PAs will use new skills to increase management effectiveness Government will provide sufficient funding to PAs during and then beyond the life of the project for effective management plan implementation Improvement in the management of the PAs is dependent on institutional functionality
Component One: Protected area management and biodiversity conservation Outcome One: Improved protected area management effectiveness delivers enhanced protection in the targeted protected areas	*Indicator 1*	**Indicator 1.** Number of PAs that have up-to-date management plans approved by the government and under implementation	EWCA records	Annually	PMU, EWCA	Analysis of EWCA records	Assumes that: • EWCA and regions will approve MPs • Government will allocate resources to implement MPs, including for maintenance and depreciation of infrastructure and equipment • Capacity and institutional space to implement Barriers to implementation removed
	Indicator 2	**Indicator 2.** Proportion of successful prosecutions of wildlife crimes in PAs and	Records of EWCA and newly established ECU	Annually	EWCA, ECU, PMU	Analysis of court records	Assumes LE agencies take wildlife crime seriously enough to allocate time and resources

Monitoring	Indicators	Description of Indicators	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions
	Indicator 5	**Indicator 5**. Area (ha) of demonstration farm(s) protecting rare and valuable genetic agrobiodiversity	Progress reports of IA and RP	Baseline at start up of project; MTR; EOP	PMU, EBI	Analysis of progress reports of IA and RP	Assumes that the government will be willing to acquire the land for the demonstration farms Assumes that the farm(s) will be sustainably managed following closure of the project
Component Four: Knowledge Management, Gender mainstreaming, and M&E	***Indicator 1***	**Indicator 1**. Number of the project lessons used in development and implementation of other conservation projects	Official letters from other projects describing used experience	Annually	PMU	Analysis of progress reports of IA and RP	Other stakeholders are interested in the lessons learned by this project
Outcome Four: Lessons learned by the project through participatory M&E, including gender mainstreaming, are used to fight poaching and IWT, and promote community based conservation nationally and internationally	***Indicator 2***	**Indicator 2**. Number of national and international organizations that participate in the project M&E and provide feedback to the Management Team	Progress reports of IA and RP; MTR and TE reports	Baseline at start up of project; MTR; EOP	PMU, MOEFCC, UNDP	Analysis of progress reports of IA and RP; MTR and TE reports	• Other stakeholders are interested to participate in the project M&E Government of Ethiopia welcomes broad participation of organizations in M&E activities
Mid-term GEF Tracking Tool	N/A	N/A	Standard GWP GEF Tracking Tool	After 3rd PIR submitted to GEF	PMU	Completed GEF Tracking Tool	
Terminal GEF Tracking Tool	N/A	N/A	Standard GWP GEF Tracking Tool.	After final PIR submitted to GEF	PMU	Completed GEF Tracking Tool	
Mid-term Review	N/A	N/A	To be outlined in MTR inception report	Submitted to GEF same year as 3rd PIR	Independent evaluator	Completed MTR	•
Environmental and Social risks and management plans, as relevant.	N/A	N/A	Updated SESP and management plans	Annually	Project Manager UNDP CO	Updated SESP	•

ANNEX D: GEF TRACKING TOOL (S) AT BASELINE

GWP TT attached; Capacity Assessment Scorecard – see Annex K.

http://gefpims.undp.org/documents/1/g5609/g2_21297/PIMS%205609%20_GEFID%209157_Baseline%20GWP%20TT_Ethiopia_Final.xlsx

Duties and Responsibilities

- Recruit and form the PMU to ensure efficient and effective implementation of the project
- Managing the implementation of all components and outputs of this project
- Monitoring and evaluation of project interventions
- Achieving project outcomes
- Ensuring effective use of UNDP resources
- Delivering the project objective, outcomes and outputs
- Ensuring demonstrable, effective and efficient achievement of the targets in the PRF (see Section VI)
- Prepare annual workplans and budgets for approval by the Project Board
- Prepare all project reports including the project's Inception Report and the Project Implementation Reports (PIR) (see Section VII)
- Contracting consultants, partner organisations and/or contractual service companies that will be engaged to carry out the different aspects of the project, as necessary and as required.
- Sub-contracting other partners to implement different components or sub-components of the project

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

(3) Project Manager (full time)

The Project Manager (PM), will be an nationally or internationally recruited expert selected based on an open competitive process managed by the Responsible Party. He/She will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors. The PM will report to the line manager in the Responsible Party in close consultation with the Director General of EWCA and the UNDP RR (or duly designated UNDP officer) 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. Generally, the PM will be responsible for meeting government obligations under the project, under the project execution modality. He/She will perform a liaison role with the Government, UNDP and other UN Agencies, NGOs and project partners, and maintain close collaboration with other donor agencies providing co-financing. The Project Manager will also play a technical function in addition to the project management functions.

Duties and Responsibilities

- Manage the PMU
- Supervise and coordinate the production of project outputs, as per the project document, including ensuring technical quality and compatibility of the outputs with the objectives of the project;
- Mobilize all project inputs in accordance with UNDP procedures for nationally executed projects;
- Supervise and coordinate the work, including technical aspects, of all implementing partners, project staff, consultants and sub-contractors;
- Coordinate the recruitment and selection of project personnel and contractors as needed, especially with a view to the large infrastructure investments made by this project;
- Ensure that gender is mainstreamed into operational plans, as well as markers are reported on as part of regular reporting;
- In coordination with the CTA, provide technical support and oversight to project activities. It is expected that the Project Manager will distribute his/her time equally among the three components (as reflected in the Project Budget – see Section X of the PRODOC)
- Prepare and revise project work and financial plans, as required by the PB, EWCA and UNDP;

- Additionally provide support in the areas of project management and planning, management of site activities, monitoring, and impact assessment;
- Support the EWCA leadership for the implementation of Components One and Two, and facilitate support work as requested.
- Provide a mentoring/coaching role to senior managers in EWCA and especially the to be established Environmental Crime Unit.
- Support EWCA in strategic fund raising and partnership liaison with a view to soliciting further needed on the ground support for the effective wildlife conservation and countering illegal wildlife trade in Ethiopia
- Provide technical services and support to all implementing partners with regards to wildlife conservation, illegal wildlife trade and the law enforcement chain, especially as related to components 1 and 2 of the project.
- Provide quality control on all outputs related to Components One and Two
- Specifically document lessons learnt from the project site investments on law enforcement.
- Finalize Terms of Reference for consultants and sub-contractors, and assist in the selection and recruitment process;
- Coordinate the work of all consultants and sub-contractors, ensuring the timely delivery of expected outputs, and effective synergy among the various sub-contracted activities;
- Assist the PM in liaison work with project partners, donor organizations, NGOs and other groups to ensure effective coordination of project activities;
- Document lessons from project implementation and make recommendations to the Steering Committee for more effective implementation and coordination of project activities;
- Address key communication need and support the development and implementation of a project communication plan; and
- Perform other tasks as may be requested by the PM, Steering Committee and other project partners.

Qualifications

- University education (BSc, MSc or PhD) with expertise in the area of Natural Resources Management, Conservation Biology, Conservation or Protected Areas Management, Environmental Sciences, or related fields of expertise or alternatively a relevant law enforcement background;
- At least 12 years of professional experience, of which at least eight are at international level;
- Previous experience relating to work on wildlife conservation and illegal wildlife trade, and establishing an Environmental Crime Unit type of institution is essential, with a strong track record of on the ground practical work in law enforcement;
- Strong skills in monitoring and evaluation and experience in implementing environmental projects;
- Previous experience with GEF projects is an added plus;
- Ability to effectively coordinate a large, multidisciplinary team of experts and consultants;
- Be an effective negotiator with excellent oral and presentation skills;
- Excellent communication and writing skills in English; knowledge of Amharic would be a signficant advantage

(5) Procurement and Accounting Officer (full-time)

The Project Accountant will be a nationally recruited professional selected based on an open competitive process managed by the Responsible Party. He/she shall be responsible for the overall financial management of the project, under the supervision of the PM.

Duties and Responsibilities:

(1) International Consultant for Selection of RP

The IC will be an internationally recruited expert selected based on an open competitive process managed by UNDP. In close consultation with the Minister of MOEFCC and the Director General of EWCA, the IC will report to the UNDP RR (or duly designated UNDP officer).

He/She will be responsible for the process for the selection and contracting (through a Responsible Party Agreement) of the Responsible Party. The selection of the RP will be based on previous experiences in Ethiopia (including the UNDP-GEF project "Sustainable Development of the Protected Area System of Ethiopia) and the fact that the Government of Ethiopia is familiar with delivery-based contracts implemented by organisations with similar status to the proposed Responsible Party for this project as it is a modality used by a number of donors working in the country.

Duties and Responsibilities

- Provide technical and strategic assistance for the process of selection of the Responsible Party
- Pay attention to gender mainstreaming and attaining gender markers in the RP selection process;
- Lead the process for the selection of the Responsible Partyon the basis of a competitive selection process and on the basis of UNDP POPP, and ensuring that the contract is awarded on the basis of a Quality-Based Fixed Budget Selection (QB-FBS). This means that the budget will be disclosed at the time of the Call for Proposal, and the bidders will submit proposals based on that fixed budget.
- Ensure that all bidders are legally constituted and fully registered. The Vendor Sanctions policy of UNDP also applies to potential bidders and their members, regardless of the process undertaken to engage them as RPs.
- Assist the UNDP-CO to conduct a mandatory HACT (capacity) assessment(s) on the selected RP
- Because the selection is being conducted for a specific TOR without existence of a roster:
    - The first step will be the development of the engagement TOR (on the basis of the proposed TOR in the PRODOC Annexes)
    - Sending RFI & CACHE can be combined in a single step
    - Steps to conduct the capacity assessment and the risk assessment will remain significantly the same although at this stage it will be conducted from the TOR perspective
- The procurement process will also use the following guidelines:
    - A tendering process that adheres to UNDP procurement rules and regulations will be prepared and bids will be solicited from potential organisations.
    - The organisations could include government, private sector or non-governmental organisations (NGOs).
    - The bids will be evaluated on the basis of a number of criteria, including (but not limited to): the proposed composition of the team that will comprise the Project Management Unit (PMU), the relevance of the organisation's experience to working in the sector and on similar projects, the relevance of the organisation's experience to working in the context of Ethiopia, a micro-capacity assessment of the bidding organisations.
    - The *process* of selecting the RP will be audited by an independent audit company. The purpose of the audit will be to ensure that the process is free and fair, and without any undue interference. The IC will be involved in the selection of the audit company based on TOR that s/he will prepare.
- Develop and negotiate the Responsible Party Agreement (RPA) on the following basis:
    - The agreement with the RP will be a delivery-based contract and, as such (with the exception of an agreed cashflow), payments will be made to the RP on the basis of agreed milestones, outputs and deliveries
    - The payments for the RP will be provided by UNDP Direct Project Services under the request of the Government.

ANNEX F. UNDP SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE (SESP)

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	Enhance Management and Enforcement of Ethiopia's Protected Area Estate
2. Project Number	PIMS 5609
3. Location (Global/Region/Country)	ETHIOPIA

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
A human rights based approach is about empowering people to know and claim their rights and increasing the ability and accountability of individuals and institutions who are responsible for respecting, protecting and fulfilling rights. This project has a primary focus on development of strong policy and legislation framework, and sufficient institutional and technical capacity of government agencies to fight IWT, as well as involvement of local communities in sustainable wildlife and other nature resources management. Establishment of community conservancies and improvements in CBNRM governance allow for a positive transformation of power relations among the various development actors. As the human rights based approach is not only about empowering people to know and claim their rights, it also increases accountability of individuals and institutions – namely through enforcement of laws. Furthermore, it supports capacity building – increasing abilities – and improvement of livelihoods at local level – in other words, helping people to attain their potentials and be free from poverty. *The project will pursue implementation of human rights based approach by ensuring of full participation of national level stakeholders, local and indigenous communities, including civil society and elected representatives at appropriate level. The project will be implementing measures on the ground that will positively effect local communities and will ensure that human rights approaches are embedded and Aarhus Convention principles are enforced at the local level.* *During the project preparation phase, consultation sessions and meetings were undertaken with a diverse group of stakeholders in order to construct as holistic as possible understanding of the challenges and barriers related to IWT control and community based wildlife management. The project design makes the assumption that the consultations during project preparation strengthens the transparency and legitimacy of the proposed project activities, notwithstanding that during project implementation, activities can and should be adapted to ensure that the human rights of stakeholders are preserved and/or reinforced. The stakeholder consultations and validation workshop, and awareness-raising dialogues are intended to engage as many key groups as possible in order to incorporate their diverse perspectives in as many project activities as possible, and reduce the risks of marginalizing any stakeholders.*

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses).*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*			**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)?**
Risk Description	*Impact and Probability (1-5)*	*Significance (Low, Moderate, High)*	*Comments*	***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.***
Risk 1: Principles 1: Human Rights 6. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	I = 2 P =2	Low	Human rights principles have not been central to the Implementing Partner's modus operandi in the past and this has led to some conflicts in the PAs that it manages – including some of those that have been selected as pilot areas in this project.	To be answered following the UNDP's micro analysis of the partners - the capacity of the Implementing Partner and the Responsible Party to deal with the social/community issues of the project will be part of the procurement process and assessment. Sufficient funds to hire experienced staff and short-term experts have been allocated. The capacity of the Responsible Party to deal with the social/community issues of the project will be part of the procurement process and assessment
Risk 2: Principles 1: Human Rights 7. Is there a risk that rights-holders do not have the capacity to claim their rights?	I = 2 P = 2	Low	Capacity among some of the communities living in remote areas in the vicinity of protected areas is very low. The communities are significantly marginalized – both politically and economically. When this is coupled with their low capacities, there is a risk that they cannot claim their rights.	The RP and partners will ensure that these people's capacity is built over the course of the project, especially with respect to access to and use of natural resources The emphasis in Component Three is to transfer responsibilities for natural resource management to the people living in the vicinity of the protected areas – giving them access to and use of resources. However, this can only be done with increased capacity not only to carry out these tasks but also to negotiate with more powerful government institutions. The project will allocate sufficient funds to hire experienced staff and short-term experts. As stated above, the capacity of the Responsible Party to deal with the social/community issues of the project will be part of the procurement process and assessment

Risk Description	*Impact and Probability (1-5)*	*Significance (Low, Moderate, High)*	*Comments*	*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.*
	5. Displacement and Resettlement		☐	
	6. Indigenous Peoples		☐	
	7. Pollution Prevention and Resource Efficiency		☐	

Final Sign Off

Signature	*Date*	*Description*
QA Assessor		
QA Approver		
PAC Chair		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.

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 – no issues were raised during the PPG consultations.
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? *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*	No – on the contrary, through a mediated and negotiated process, the project will endeavor to ensure equitable access to resources through agreements
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable risks: 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? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	No – no, the design of the project will lead to the opposite effect (i.e., reduce adverse impacts to habitats
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 – five protected areas have been selected as pilot sites for the project
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 – no changes in land use has been proposed and the changes in resource use are designed precisely to make the use more sustainable.
1.4	Would Project activities pose risks to endangered species?	No – no, on the contrary, the project is designed to protect endangered species
1.5	Would the Project pose a risk of introducing invasive alien species?	No – there is no risk of alien species introduction (on the contrary, improved management of the protected areas should lead to alien species control)
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No – this has not been planned under the project
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No – no harvesting of fish or other aquatic species is planned
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No – on the contrary, the project will lobby for prevention of extraction of water upstream from the project sites

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 – on the contrary, by promoting natural conditions in the ecosystems in which it is working the project should reduce the incidence of such diseases.
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 – none use of such materials is planned
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 – the project will adhere strongly to the highest labor practices and standards.
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 – no security personnel will be necessary
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 – on the contrary, any such objects or sites will be protected as a result of the project
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No – not planned
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No – no displacement will occur because of the project
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 – on the contrary, the project is planning to increase access to and use of resources (but in a sustainable way)
5.3	Is there a risk that the Project would lead to forced evictions?[3]	No – no forced evictions will occur
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 – no, any changes in protected area boundaries that may occur (through the protected area management planning processes) will be done in a negotiated and agreed way.
Standard 6: Indigenous Peoples		

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[3] 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.

7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No – no pesticides will be used.
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No – not beyond usual used of energy (although the project will seek to install solar energy sources in the project sites).

women, because of disproportionate division of labour. In other areas, men and women share livestock husbandry. During temporary migration women are responsible for the care of goats and sheep (in addition to their children), while men take camels and cattle with them, along with materials needed to construct houses. In agro-pastoral communities, women also support their husbands in farm activities, in addition to livestock husbandry and domestic work.

Community work – In recent years, there has been an increased focus on gender aspects of natural resource management and agricultural productivity to ensure food security and alleviate poverty by bridging the gender gap. NRM interventions usually target households of landless youth and women to diversify their income and livelihoods while testing different income-generating activities that are integrated with NRM interventions. In order to implement effective projects, development mitigation efforts and gender empowerment must be addressed equally and in a coordinated fashion. Accordingly, it has been the practice to ensure that women also participate actively with men in community works. Women beneficiaries of these programmes are mostly low. Some of the reasons for the low participation of women in ILM as members and leaders include their 'double work burden' (household and productive), prevailing patriarchal culture, low levels of education, lower self-esteem, lack of experience, and lack of labour resources. Low participation of women in such projects leads to loss of their valuable views, insights, perspectives, knowledge and concerns. Without this input into project planning, design and implementation the results can be far less effective – indeed NRM interventions that fail to consider gender may in fact reinforce gender inequalities.

In relation to this, in some regions, it was reported that women are provided with credit for animal fattening and beekeeping, which is described as one of the more successful interventions in empowering women and could be scaled up. Evidence from Tigray shows that most of the unemployed groups from the population comprise women and youth. One way to address the issue of employement involves giving youth, women and landless groups priority under environmental rehabilitation programs including area closure. This provides an opportunity to undertake beekeeping and the production and sale of fruits such as avocados and mango. However, the problem in relation to sustainability of these programs is that returns from area closure are usually long-term and, as a result, youth may not be keen to be involved. In addition, access to water in most of the area closure sites is very low, and these groups have to wait till the rainy season to participate due to other labour requirements, making participation largely seasonal. In SNNPR, it was reported that the quality of women's work is superior to that of men, and contributes to long-term sustainability, including improvements in access to water, fuel wood and fodder. The overall implication of a 'triple work burden' on women is that they will have limited time for self-development activities, networking, and social engagements. Quality of household life could be impaired and levels of social capital – key for many productive and reproductive activities – could be reduced. For example, in some regions, it is reported that women's productive and community work is so demanding that it leaves little time for domestic work, especially food preparation, considered a cause of malnutrition in the area.

Access to resources: Access to environmental resources such as land, water and fuel for cooking is a crucial variable in the economic status of individuals, families and communities. In many regions of Ethiopia, the commons are key elements in wider ecosystem service provision, providing a major source of water, fuel, fodder, medicinal plants, and a variety of forest products. Access to these resources and benefits from them varies greatly among men and women of different socio-economic status. This is to a great extent structured by social and gender relations and institutions, with important implications for land and environmental stewardship and the effort towards food security and poverty alleviation. A major challenge to equitable access to and control over these resources, including under development interventions, lies in the traditional gender-based division of labour and related structural constraints.

Water - The challenge of lack of access to water is more severe for women and girls, who are largely responsible for household water provision. The problem is worse for poor women, as poor households are settled farther away from water sources than relatively wealthy individuals. Travelling longer distances to collect water has higher opportunity costs, not least because it reduces the time women have for other domestic and productive work and exerts a more serious health burden. For example, in Somali region, the biggest challenge for the community is shortage of water and grazing, with women frequently travelling three to four hours in search of water and fuel wood. The problem is especially severe in very dryland areas where there are no *birkads*. Women, as water managers and users often have a unique and valuable perspective on the efficient selection of which sources to use, source use and how to transport, store, and draw the water. Their participation in design and introduction of water technology innovations is very important, as the design of technologies – particularly for irrigating and livestock watering –can substantially determine future time and labor requirements. Their participation in meetings and in influencing decisions remains very low, when compared with men for many reasons including stereotyped gender concepts, perceptions that women lack capacity, lack of gender sensitivity (in recognizing women as participants, change agents and beneficiaries), limited understanding of the concept of participation (in relation to who participates, terrain of participation, weight given to voice of women and others), and limited access to information, as project organizers have difficulty in reaching women. In addition in male-dominated cultures, the power imbalance favors men and their addition to the 'one-to-five' groups, there are women's associations, women's development groups and youth groups, where women are participating actively. These work towards addressing issues of women and youth (to ensure men and women are equally benefiting in economic, social and political affairs). Participation of women in these networks and associations provides them an opportunity to exercise leadership and public speaking. However, the 'one-to-five' grouping is not working in Afar and Somali regions where more local and informal channels are used to approach women.

Other key gender issues: *Polygamy* – is reportedly common practice in all regions, except Amhara. According to EDHS (2011), 5% of men aged 15-49 have two or more wives. One of the regions where the highest proportion of men have more than one wife was Somali, standing at 14 percent. This practice causes problems in land and property rights of women and children. To avoid complications that could arise in inheritance of land, communities use different strategies. For example, in SNNPR, the husband will only have a secondary right; his children will only inherit the land he owned jointly with their mothers, but not from any other wives. In West Hararghe and Afar, only the first wife is entitled to jointly own the land, but not subsequent wives. The land rights of the other wives in Afar are dependent on agreement among the wives and the husband. In Somali, the husband shares the land with his wives,

Reproductive rights: According to the UN WOMEN (2014), the national fertility rate in Ethiopia is high (about 4.1 children per woman). There are low rates of contraceptive use by men and women. Some of the reasons include: i) husbands consider use of contraceptives as likely to lead to infidelity (Amhara); ii) in West Hararghe, PSNP supports a household depending on the size of the household, therefore the larger the family gets the more assistance it receives, so having more children is considered as a means of getting more aid; iii) in Afar and Somali regions, fear of divorce (i.e if a women does not give birth frequently couples may end up separating); and, more generally, there is a lack of awareness about the purpose of contraceptives and fear of side effects. With regard to reproductive decision making in most cases (across all regions) couples decide jointly. However, in areas such as Amhara and West Hararghe, there are cases where women use contraceptives without letting their husbands know, for fear of resistance by their husbands. This indicates that the sense of empowerment and the power dynamics within households have a direct impact of women's ability to use and negotiate the use of contraceptives. Some of the gender-related social problems include domestic violence (Amhara) reflecting patriarchal attitudes that prevail towards women, early marriage (Somali), and female genital mutilation (in Afar and Somali).

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

On the basis of the value chain analyses for agro-biodiversity products (carried out under Output 3.3), access to credit for women to support livelihood activities sdirectly linked to the results of the value chain analyses and products highlighted therein can bolster household income and, specifically, that portion over which women have control. Indeed, agro-processing is a way to improve the economic status of the women and this can be linked to the value chain analyses, and could be linked to more targeted and effective extension services. Greater support will be required from other existing women's organizations, NGOs, networks and cooperatives, particularly those working on NRM and agriculture, to make this a reality. It is also important that in monitoring, assessment an learning from local experience, across the board collection of gender-responsive and sex-disaggregated data takes place in order t ensure that differential impacts are understood and results fed back into policy, practice and budgeting. The project will draw o existing human resources (including in UNDP and UN WOMEN) to ensure sustainability and equality of gender-responsive approaches and to take charge of periodically reviewing progress in use of gender-sensitive monitoring and assessment indicators. This projec takes a hybrid approach combining targeted programs and gender mainstreaming, with monitoring and learning approaches unde multi-stakeholder platforms, enabling effective gender-equal feedback and learning from target groups. To ensure stron implementation, a gender strategy document will be produced to guide implementation, follow-up and dissemination of knowledge

Mainstreaming gender in this project

Over the course of the PPG process, gender screening was conducted using UNDP methodology. As with the majority of simil scenarios across sub-Saharan Africa, the following issues were identified from the screening: there is a strong bias towards ma employment within state actors, especially within law enforcement agencies. Within EWCA, the law enforcement rangers are entire male. Indeed, the PPG team met with very few women over the course of the PPG process. However, there are some fema employees in the judiciary (including magistrates and prosecutors). In addition, and as would be expected, women are very mu

Outcome/ Output	*Gender Mainstreaming Actions*
Output 1.1. PA management plans are developed and supported for initial implementation	Proactive inclusion of local women and women organizations in working groups and committees involved in the development of PA Management Plans; Gender Mainstreaming will be addressed in the PA MPs. For monitoring purposes all participants of the management planning will be disaggregated by gender in the reporting documents The management plans are expected to lead to the development of PA Management Committees; such committees will be comprised of at least 40% women
Output 1.2. Tools and systems for PA management developed and initial operationalization supported	Proactive inclusion of women staff in the trainings and workshops on the PA Management Gender disaggregated reporting on the training participants
Output 1.3 Site level law enforcement initiatives are supported	Involvement of women staff in the law enforcement and surveillance systems on poaching where possible
Component 2:	
Output 2.1 International cooperation on IWT control is supported	Involvement of women experts in the Working Groups to develop and discuss international agreements on IWT control Gender disaggregated reporting on the Working Groups' participants
Output 2.2 Proposals to strengthen the (existing) National IWT Steering Committee are developed	Involvement of women experts in the work of IWT SC where possible
Output 2.3 Establishment of IWT Task Forces in pilot regions is supported	Involvement of women staff in the work of IWT Task Forces were possible.
Output 2.4 Legislation guidance for law enforcement agencies is developed	The review of the legislation will also examine whether there is inherenet discrimination on the laws as they exist Involving women experts in development of law enforcement guidance Involving women staff in the trainings on law enforcement Gender disaggregated reporting on the training participants
Output 2.5 Proposals for improving law enforcement and IWT legislation (as necessary) are developed	Involving women experts in the Working Groups to develop legislation amendments Gender disaggregated reporting on the participants of the Working Groups
Output 2.6 Establishment and functionality of an Environmental Crime Unit within the Federal Serious Crime Unit is supported	Involvement of women staff in the work of ECU where possible Women will be encouraged to apply for positions in all recruitment processes
Output 2.7 Management system for wildlife products and live animals that are confiscated, seized and/or collecting in the field is developed	Involvement of women staff in the development and implementation of the system Involving women staff in the trainings on the system management Gender disaggregated reporting on the training participants
Output 2.8 Capacity development for the national CITES management and scientific authorities is supported	Involvement of women experts in the trainings and work of the National CITES authorities

Outcome/ Output	***Gender Mainstreaming Actions***
	Apply gender clause to human resource recruitment, encouraging the applications from women candidates and their hiring At inception: gender screening of design TORs of all staff to include specific responsibilities that support mainstreaming of gender throughout project implementation

ANNEX I. UNDP RISK LOG

#	Identified Risks	Date identified	Type of Risk	Impact	Likelihood	Mitigation Measures	Owner	Status
1	The situation in Ethiopia during the PPG phase culminated in a State of Emergency (Oct 2016).	PPG 10/2016	Political	Severe	Moderately likely	Mitigation of this risk remains beyond scope of project. However, if the situation seriously deteriorates, the UNDP-CO will need to make a decision regarding the implementation of the project.	UNDP-CO	Increasing at PPG stage
2	Other development sectors and processes are prioritised above the environment (and particularly the conservation) sector – which results in low levels of funding, staffing and political leverage.	PPG 06/2016	Political	Moderate	Highly likely	One of the key strategies that will be adopted by the project is to bring in other pertinent actors, especially with regard to law enforcement. By doing this with actors that are trusted and empowered (e.g., the *woreda* authorities, the police and judiciary for Component One, and the federal police, the NISS and the Customs Authority for Component Two), the project should overcome some of the risks associated with marginalization of the environment sector.	UNDP-CO	No change
3	Limited institutional capacity to manage PAs effectively and to counteri IWT effectively.	PPG 06/2016	Organizational	[redacted]	[redacted]	While addressing such systemic and institutional issues are beyond the scope of this project, its success is dependent on systemic improvements and an institution building process. GIZ has the intention to implement a programme to address some of these systemic issues that afflict EWCA (in particular) and, as a result, the aim of this project shall remain strictly focused at the level of the protected areas. Nonetheless, the project's success is dependent on the successful implementation of GIZ's programme and the project will support GIZ in anyway possible (e.g., providing co-finance letters, representation, as necessary).	UNDP-CO; UNDP-GEF RTC (Addis Ababa).	Increasing over past two years.

#	Identified Risks	Date identified	Type of Risk	Impact	Likelihood	Mitigation Measures	Owner	Status
				▨	▨	empowered through information to ensure that they remain adaptable.		

ANNEX J. CAPACITY ASSESSMENT SCORECARD FOR LAW ENFORCEMENT AGENCY – ETHIOPIAN WILDLIFE CONSERVATION AUTHORITY (EWCA)

Capacity Assessment Scorecard –

Ethiopian Wildlife Conservation Authority (EWCA)

Project/Programme Name: Enhanced Management and Enforcement of Ethiopia's Protected Area Estate UNDP-GEF PIMS ID number: 5609

Project/Programme Cycle Phase: PPG. Date: 30 September 2016

UNDP Capacity development scorecard

Summary Results of the UNDP Capacity Development Scorecard for Institutions responsible for combating poaching and IWT

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	% achieved	Project Scores	Total possible score	% achieved	Project Scores	Total possible score	% achieved	
(1) Capacity to conceptualize and formulate policies, legislations, strategies and programs	3	6	50	1	3	33.33	n/a	n/a	n/a	58.33
(2) Capacity to implement policies, legislation, strategies and programs	1	6	16.66	8	27	29.63	3	12	25	23.67
(3) Capacity to engage and build consensus among all stakeholders	0	6	0	3	6	50	1	3	33.33	27.78
(4) Capacity to mobilize information and knowledge	1	3	33.33	1	3	33.33	1	3	33.33	33.33
(5) Capacity to monitor, evaluate, report and learn	2	6	33.33	2	6	33.33	1	3	33.33	33.33
TOTAL Score and average for %'s	**7**	**27**	**25.93**	**15**	**45**	**33.33**	**6**	**21**	**28.57**	**29.28**

Detailed Results from the Capacity Development Scorecard

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programs					
	Systemic	The agenda to combat poaching and IWT is being effectively	0 – There is essentially no agenda on combating poaching and IWT; 1 – There are some persons or institutions actively pursuing anti-poaching agenda but they have little effect or influence;	1	There are a number of initiatives working on anti-poaching (e.g., BFF's work in Babille) and combatting IWT (AWF's work with

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
					should be extended to further recruitment of skilled personnel.
	Systemic	There is a fully transparent oversight authority for the institutions responsible for combating poaching and IWT	0 -- There is no oversight at all of institutions responsible for combating poaching and IWT; 1 -- There is some oversight, but only indirectly and in a non-transparent manner; 2 -- There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized) ; 3 – There is a fully transparent oversight authority responsible for combating poaching and IWT	1	There is some oversight (EWCA and other agencies involved in IWT – Customs fall within a government structure and hierarchy) but little attention (there is little or no emphasis on anti-poaching and combatting IWT). Bringing in different partners into the process will increase transparency and oversight.
	Institutional	Institutions responsible for combating poaching and IWT are effectively led	0 – Institutions responsible for combating poaching and IWT have a total lack of leadership; 1 -- Institutions responsible for combating poaching and IWT exist but leadership is weak and provides little guidance; 2 -- Institutions responsible for combating poaching and IWT have reasonably strong leadership but there is still need for improvement; 3 -- Institutions responsible for combating poaching and IWT are effectively led	1	The leadership varies considerably depending on the institution and leadership in EWCA is very weak. There is much room for improvement. Leadership in other organizations implicated in countering IWT (e.g., Customs) is better but the focus is not on IWT.
	Institutional	Institutions responsible for combating poaching and IWT have regularly updated, participatorially prepared, comprehensive management plans	0 -- Institutions responsible for combating poaching and IWT have no management plans; 1 -- Some institutions responsible for combating poaching and IWT have up-to-date management plans but they are typically not comprehensive and were not participatorially prepared; 2 – Most institutions responsible for combating poaching and IWT have management plans though some are old, not participatorially prepared or are less than comprehensive; 3 – All institutions responsible for combating poaching and IWT have a regularly updated, participatorially prepared, comprehensive management plans	1	Some PA management plans exist (and in some cases there are interim management plans) but these are not always prepared in a participatory way. There are no coherent IWT plans at all.
	Institutional	Human resources are well qualified and motivated	0 – Human resources are poorly qualified and unmotivated; 1 -- Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated; 2 -- HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified; 3 -- Human resources are well qualified and motivated.	1	Staff are often not driven, motivated or suitably qualified/trained. Many of the PA staff are long-term employees and have not been led effectively for many years: this has led to unmotivated staff. Training has not been carried out in the majority of the protected areas for many years.

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
		audited, and publicly accountable	2 – Institutions for combating poaching and IWT are regularly audited and there is a fair degree of public accountability but the system is not fully transparent; 3 -- The Institutions for combating poaching and IWT are highly transparent, fully audited, and publicly accountable		how the resources are used as related to the management functions of the institutions), there is little accountability -- and little demand for it at present. There is no transparency, no reporting.
	Institutional	There are legally designated institutions for combating poaching and IWT with the authority to carry out their mandate	0 -- There is no lead institution or agency with a clear mandate or responsibility for combating poaching and IWT; 1 -- There are one or more institutions or agencies dealing with anti-poaching and IWT but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements; 2 -- There are one or more institutions or agencies dealing with anti-poaching and IWT, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps; 3 -- Institutions for combating poaching and IWT have clear legal and institutional mandates and the necessary authority to carry out this out	**1**	EWCA is the national institution legally mandated to manage federal protected areas with regional institutions managing regional PAs. Each PA, as a result, has an institutions with the legal mandate to combat poaching. There are a number of institutions *implicated* in combatting IWT. Coordination and definition of roles and responsibilities among the organizations involved in IWT is currently relatively minimal but the formation of an IWT SC is a significant step in the right direction.
	Institutional	Anti-poaching and IWT prevention are effectively carried out	0 – No enforcement of regulations is taking place; 1 – Some enforcement of regulations but largely ineffective and external threats remain active; 2 – Regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated; 3 – Regulations are highly effectively enforced and all external threats are negated	**1**	Limited enforcement takes place. In some areas (Omo & Mago NPs), there is no patrolling or efforts to combat poaching. In other areas, some patrolling is carried out with some enforcement. The institutions involved in countering IWT are generally focused on other matters and IWT is not generally enforced with the exception of the areas in which non-state actors are involved. There is very limited funding, lack of suitable motivated staff, equipment, working conditions. Prosecutions are rare.

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
	Systemic	Institutions for combating poaching and IWT have the public support they require	0 -- The public has little interest in institutions responsible for combating poaching and IWT and there is no significant lobby for these institutions; 1 -- There is limited support for institutions responsible for combating poaching and IWT; 2 -- There is general public support for institutions responsible for combating poaching and IWT and there are various lobby groups such as environmental NGO's strongly pushing them; 3 -- There is tremendous public support in the country for institutions responsible for combating poaching and IWT	0	Limited public awareness of the benefits of preserving protected species. There is even less interest in the institutions involved in managing protected areas. There is no lobby at all for these institutions.
	Institutional	institutions responsible for combating poaching and IWT are mission oriented	0 -- Institutional mission not defined; 1 -- Institutional mission poorly defined and generally not known and internalized at all levels; 2 -- Institutional mission well defined and internalized but not fully embraced; 3 -- Institutional missions are fully internalized and embraced	1	The broad mission (at an organizational level) may be defined but actions are not orientated towards the mission. There is a large policy-implementation divide exist
	Institutional	institutions responsible for combating poaching and IWT can establish the partnerships needed to achieve their objectives	0 -- Institutions responsible for combating poaching and IWT operate in isolation; 1 -- Some partnerships in place but significant gaps and existing partnerships achieve little; 2 -- Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives; 3 -- Institutions responsible for combating poaching and IWT establish effective partnerships with other agencies and institutions, including national and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner	2	Some partnerships have contributed to improvements but more needs to be done. Indeed, much of what has been carried out and achieved in the areas of IWT is done under the auspices of partnerships (e.g., with BFF, AWF, FZS, GIZ, HoAREC, etc). In the absence of these organizations, the PAs and system may collapse. There are relatively few partnerships with non-state actors in PAs (e.g., one of the five protected areas selected as pilot sites for this project have partners working with them).
	Individual	Individuals carry appropriate values, integrity and attitudes	0 -- Individuals carry negative attitude; 1 -- Some individuals have notion of appropriate attitudes and display integrity, but most don't; 2 -- Many individuals carry appropriate values and integrity, but not all; 3 -- Individuals carry appropriate values, integrity and attitudes	1	Recruitment does not appear to be based on the value, integrity and attitudes of people; the majority of people have a very negative attitude. On the other hand, some people display loyalty and remain in their positions for many years. For some, loyalty is strongly associated with the fact that people need the

Strategic Area of Support	Target for CD	Outcomes	Outcome Indicators (Scorecard)	Initial Evaluation	Evaluative Comments
	Systemic	Policies for institutions responsible for combating poaching and IWT are continually reviewed and updated	0 -- There is no policy or it is old and not reviewed regularly; 1 -- Policy is only reviewed at irregular intervals; 2 -- Policy is reviewed regularly but not annually; 3 -- Institutional policy for combating poaching and IWT is reviewed annually	1	The policies are rarely updated and it is a lengthy process to get this done (partly because the process is laborious involving numerous meetings and formations of committees), secure agreement and get policies approved - -- with further meetings and committees to approve such documents.
	Systemic	Society monitors the state of institutions responsible for combating poaching and IWT	0 -- There is no dialogue at all; 1 -- There is some dialogue going on, but not in the wider public and restricted to specialized circles; 2 -- There is a reasonably open public dialogue going on but certain issues remain taboo; 3 -- There is an open and transparent public dialogue about the state of the institutions responsible for combating poaching and IWT	1	Small amount of dialogue with a few non-state actors (see list of stakeholders involved in project). Generally top-down management with no transparency or participation. Society at large displays little interest or knowledge.
	Institutional	Institutions are highly adaptive, responding effectively and immediately to change	0 -- Institutions resist change; 1 -- Institutions do change but only very slowly; 2 -- Institutions tend to adapt in response to change but not always very effectively or with some delay; 3 -- Institutions are highly adaptive, responding effectively and immediately to change	1	Limited institutional capacity or desire to respond to change – even when there is the opportunity to do so (e.g., in the previous UNDP-GEF SDPASE project); little institutional M&E to allow a reflection of state and hence little ability to respond.
	Institutional	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	0 -- There are no mechanisms for monitoring, evaluation, reporting or learning; 1 -- There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak; 2 -- Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be; 3 -- Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning	1	EWCA has some mechanisms but they have not implemented effectively. There is some form of performance evaluation of personnel (linked to the civil service practices of the government) but these are not linked to good job descriptions, annual goals. There is no institutional monitoring (aside from the usual government financial audits).
	Individual	Individuals are adaptive and continue to learn	0 -- There is no measurement of performance or adaptive feedback; 1 -- Performance is irregularly and poorly measured and there is little use of feedback; 2 -- There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be; 3 -- Performance is effectively measured and adaptive feedback utilized	1	EWCA has a policy for the measurement of individual performance but this is weakly implemented and has little or no impact because it is not strongly linked to good job descriptions and

ANNEX K. STAKEHOLDERS CONSULTED DURING THE PPG

Stakeholder/Organization	Institution (Govern/NGO/Community)	Gender	Position	Location (District, Province)	Contact Information
Abasse Abdulahi	Omo National Park	Male	Tourism Expert	Mui, Park HQ	Tel +251 920 044082
Abdi Hussien	Babille Elephant Sanctuary	Male	Conservation Warden	Babille, Park HQ	Tel +251 913 911036
Abrham Sahile	Addis Ababa Police Commission	Male	Police Commander	Addis Ababa	
Adane Tesfaye	Chebera Chorchora NP	Male	Park Warden	Chebera Park HQs	Tel +251 913 357056
Adefres Alem	Babille Elephant Sanctuary	Male	Conservation Planner	Babille Park HQs	Tel +251 913 911036
Adego Melese	Mago National Park	Male	Biologist	Neri, Park HQs	Tel +251 910038969
Ajo Melaku	Omo National Park	Male	Chief Scout	Mui Park HQS	Tel +251 920 044082
Andrew Lemieux	Netherlands Institute for the Study of Crime and Law Enofrcement	Male	Post doctoral Research Fellow	Netherlands	ALemieux@nscr.nl
Arano Betla	Chebera Churchura NP	Male	Senior Scout	Chebera Park HQs	Tel +251 913 357056
Araya Asfaw (Dr)	HoAREC	Male	Executive Director	Addis Ababa	Tel +251 118 968400
Arega Mekonnen	EWCA, SDPAS	Male	National Coordinator	Addis Ababa	Tel +251 115 546805
Baricah Mere	Omo National Park	Male	Park Scout	Mui, Park HQ	Tel +251 920 044082
Bibisho Wajo	Chebera Churchura NP	Male	Senior Park Scout	Chebera Park HQs	Tel +251 910 038969
Bruktawit Takele	Chebera Churchura NP	Female	Wildlife expert	Chebera Park HQs	Tel +251 910 038969
Chali Tefere	Babille Elephant Sanctuary	Male	Park Audit	Babille Park HQs	Tel +251 913 911036
Daniel Paulos	EWCA,	Male	IWT Control Directorate, Director	Addis Ababa	Tel +251 115 546805
Dawud Mume	EWCA,	Male	Director General	Addis Ababa	Tel +251 115 546805
Dejene Hailu	Chebera Churchura NP	Male	Park, Purchaser		Tel +251 913 357056
Esayas Abebe	GIZ	Male	Executive Director	Addis Ababa	

Stakeholder/Organization	Institution (Govern/NGO/Community)	Gender	Position	Location (District, Province)	Contact Information
Negash Teklu	PHE Consortium	Male	Executive Director	Addis Ababa	Tel +251 116 630833
Paul Harrison	UNDP	Male	UNDP-GEF RTA	Addis Ababa	Tel +251 115 444016
Samuel Goldoro	Chebera Churchura NP	Male	Accountant	Chebera Park HQs	Tel +251 913 357056
Shemane Koize	Omo National Park	Male	Park Scout	Mui, Park HQs	Tel +251 920 044082
Tamirat Teshome	Omo National Park	Male	Auditor	Mui, Park HQs	Tel +251 920 044082
Tesfaye Hawass (Dr)	Biodiversity Institute	Male	Director	Addis Ababa	
Tshome Jarrso	Omo National Park	Male	Human Resource	Mui, Park HQs	Tel +251 920 044082
Ueli Muller	GIZ-Biodiversity Project	Male	Programme Manager	Addis Ababa	Tel + 251 115 586913
Eskedar Melaku	Federal Custom & Revenue	Female	Officer	Addis Ababa	
Wubua Mekonnen	UNDP	Female	Programme Coordinator	Addis Ababa	Tel + 251 115 444016
Yidinekachew Degefu	Babille Elephant Sanctuary	Male	Chief Scout	Babille Park HQs	Tel +251 913 911036
Yidinekachew Mamo	Babille Elephant Sanctuary	Male	Chief Scout	Babille Park HQs	Tel +251 913 911036

ANNEX M. MAPS

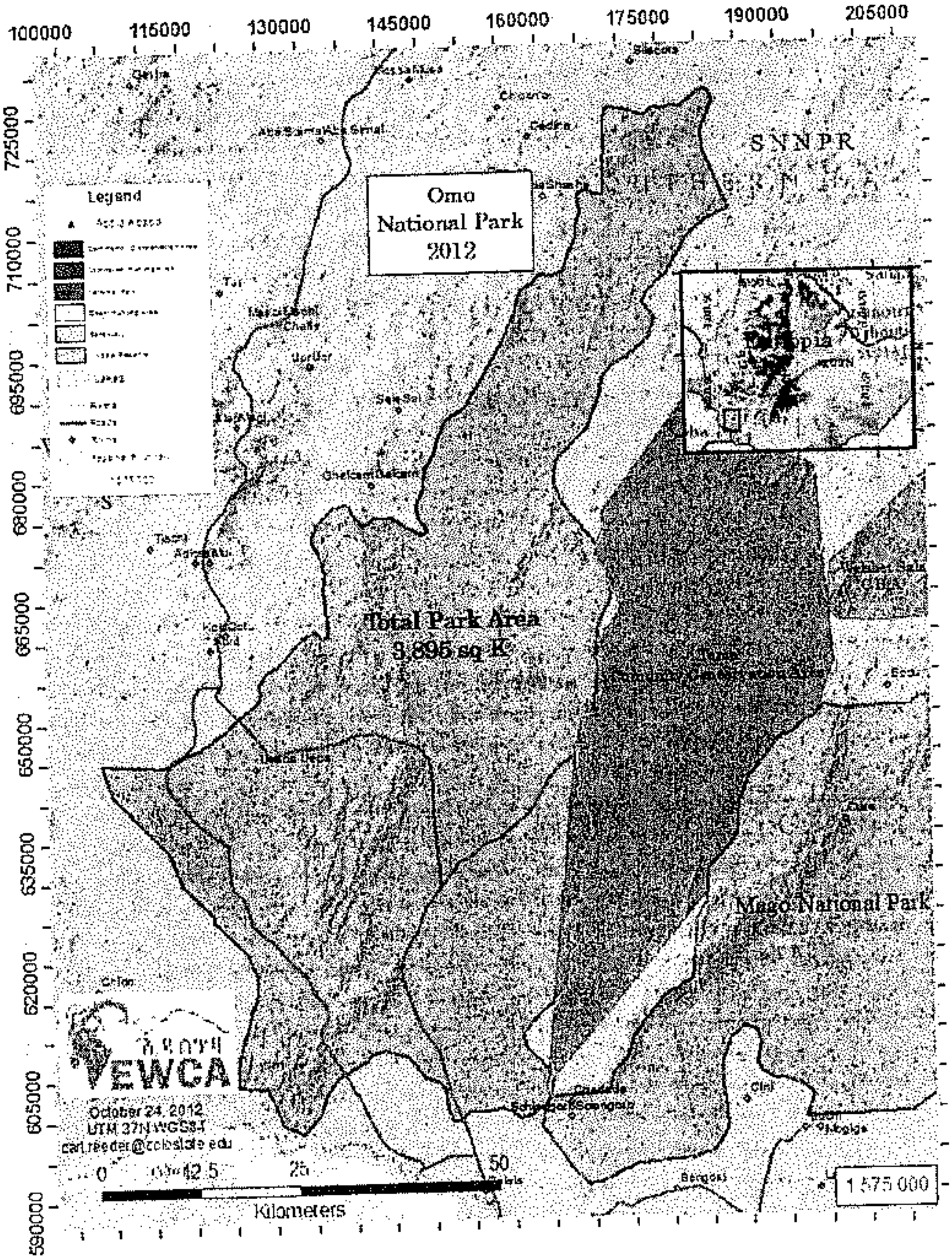
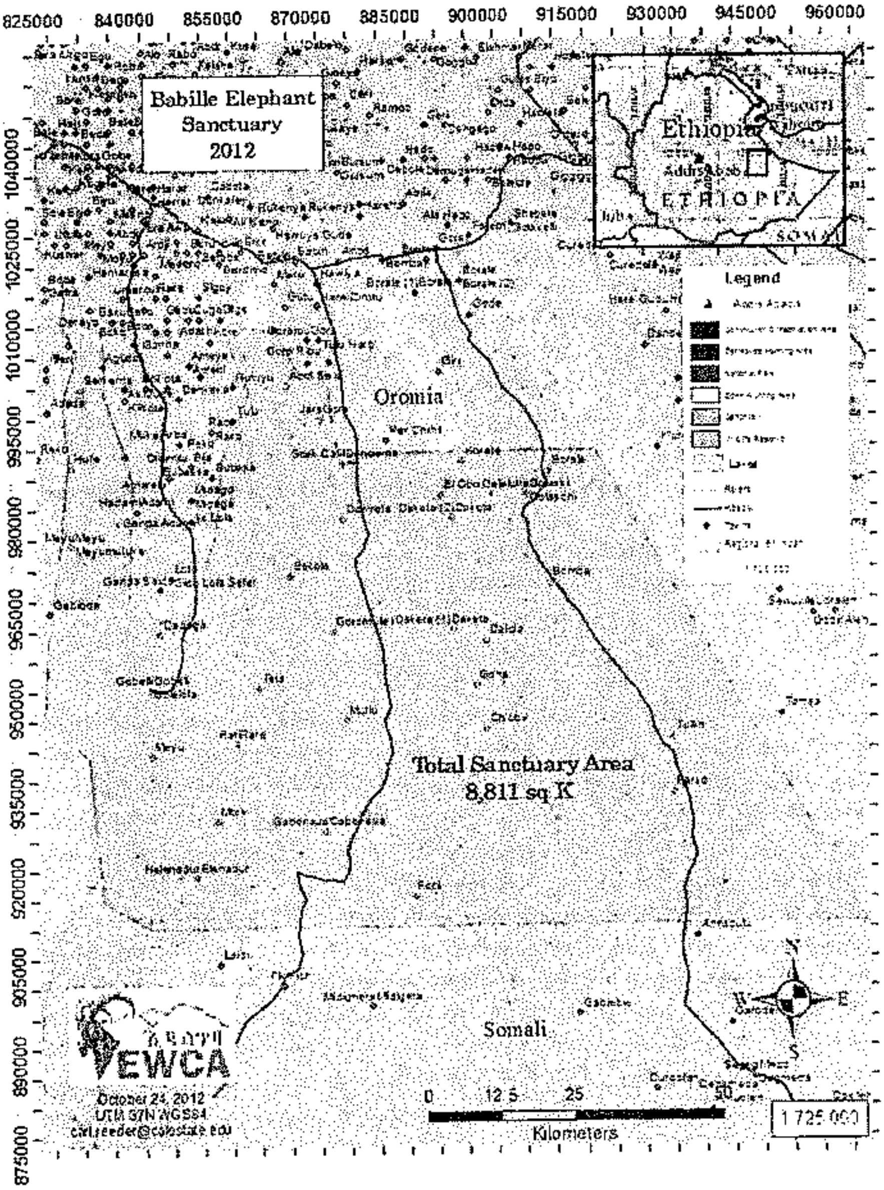

100000
115000
130000
145000
160000
175000
190000
205000
725000
710000
695000
680000
665000
650000
635000
620000
605000
590000
Legend
Omo
National Park
2012
SNNPR
Ethiopia
Total Park Area
3,895 sq K
Mago National Park
EWCA
October 24, 2012
UTM 37N WGS84
carl.reeder@colostate.edu
0
6.25
12.5
25
50
Kilometers
1:575 000

Figure 1. Omo National Park



Babille Elephant Sanctuary 2012
Oromia
Total Sanctuary Area 8,811 sq K
Somali
Ethiopia
ETHIOPIA
Addis Ababa
Legend
EWCA
October 24, 2012
UTM 37N WGS84
carl.reeder@colostate.edu
0
12.5
25
50
Kilometers
1:725,000
N
S
E
W
825000
840000
855000
870000
885000
900000
915000
930000
945000
960000
1040000
1025000
1010000
995000
980000
965000
950000
935000
920000
905000
890000
875000

Figure 4. Babille Elephant Sanctuary

(CCNP) was established in 2004 and covers an area 1,190km^2. The area is managed regionally by the SNNPR Bureau of Culture and Tourism. The area contains an estimated population of 430 elephants. This population of elephants is threatened with poaching. Other threats to the area include expansion of subsistence agriculture and unsustainable use of natural resources. As with Omo NP, *Mago National Park* (MNP) was established in 1970 as a "proposed" National Park but the area was "re-demarcated" in 2003 to an area of 1,942km^2 (taking into account various anthropogenic pressures). The area is also managed by the SNNPR Bureau of Culture and Tourism. The park is threatened with overgrazing and illegal killing of wildlife – and the elephant population has declined by 52% since the 1980s. The commercial agriculture in Omo NP and adjacent areas has resulted in a loss of connectivity among the areas.

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

3. The small, isolated elephant population is threatened with poaching and killings of elephants have resulted in a decline of the populations. In addition, illegal settlement, livestock grazing and agricultural expansion is also increasing with subsequent degradation of the habitat and escalation of human-wildlife conflict. High levels of human-elephant conflict resulting in perceived injustices, high economic loss and loss of life among people living in the vicinity of the sanctuary.

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

Principle	Stakeholder participation will:
Rational and Coordinated	be rationally planned and coordinated, and not be ad hoc
Excellence	be subject to ongoing reflection and improvement

3. Stakeholder involvement plan

The project's design incorporates several features to ensure ongoing and effective stakeholder participation in the project's implementation. The mechanisms to facilitate involvement and active participation of different stakeholder in project implementation will comprise a number of different elements:

(i) Project inception workshop to enable stakeholder awareness of the start of project implementation

Once the RP has been selected, once the PMU team has been recruited and once the baseline data have been collected, the project will be launched by a multi-stakeholder workshop. This workshop will provide an opportunity to provide all stakeholders with the most updated information on the project and the project work plan. It will also establish a basis for further consultation as the project's implementation commences.

The inception workshop will address a number of key issues including: assist all partners to fully understand and take ownership of the project; detail the roles, support services and complementary responsibilities of EWCA, EBI, regional government institutions, NGOs and development partners regarding the implementation of project activities; and discuss the roles, functions, and responsibilities within the project structure, including reporting and communication lines, and conflict resolution mechanisms.

The workshop will also be a forum to: review the project budget; finalize the first annual work plan as well as review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks; provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements; and plan and schedule project meetings for the PB.

(ii) Constitution of the PB to ensure representation of stakeholder interests in project

A Project Board (PB) will be constituted to ensure broad representation of all key interests throughout the project's implementation. The representation, and broad terms of reference, of the PB are further described in Section VIII of the Project Document.

(iii) Establishment of a Project Management Unit to oversee stakeholder engagement processes during project

The Project Management Unit (PMU) - comprising a Project Manager (PM), Procurement and Financial Officer (PFO) and Technical Adviser(s) - will take direct operational and administrative responsibility for facilitating stakeholder involvement and ensuring increased local ownership of the project and its results. The PM and PFO will be located in Addis Ababa to ensure coordination among key stakeholder organizations at the national level during the project period. The project may elect to engage sub-contractors (particularly non-state actors or recruit Field Coordinator to be located in or close to the projects targeted areas to ensure closer working relationships with operational field staff of the partner institutions and with the local stakeholders and communities. The Technical Adviser(s) (TA) will provide professional and technical backstopping to the PMU.

(iv) Project communications to facilitate ongoing awareness of project

The project will develop, implement and maintain a communications strategy to ensure that all stakeholders are informed on an ongoing basis about: the project's objectives; the projects activities; overall project progress; and the opportunities for involvement in

The majority of project activities are strategically focused on building the capacity - at the systemic, institutional and individual level - in order to ensure sustainability of initial project investments. Significant GEF resources are directed at building the capacities of *inter alia*: the PA staff, the local level law enforcement agencies, the local administrations, the people living in the vicinity of the protected areas. Wherever possible, the project will also seek to build the capacity of local communities (e.g. local community groups and vulnerable and marginalized segments) to enable them to actively participate in project activities. The project will, wherever possible, use the services and facilities of existing local training and skills development institutions.

4. Coordination with other related initiatives

This project is part of the Global Wildlife Program – it is being designed in synchrony with nine other projects with a further group of projects in line to be designed in the coming months. The project's implementation phase will overlap with the implementation of all these other projects and, as a consequence, there are many opportunities for sharing experiences and adapting the project on the basis of lessons learned through all these other projects. The project, through its website, will also disseminate the lessons learned and best practices such that these other projects can learn from its implementation as well.

The project will meet on a regular basis with the project staff of GIZ and the KfW contractors that are involved in complementary protected areas work in Ethiopia in order to identify and develop opportunities for ongoing collaboration. The leaders from both GIZ and KfW will be members of the project's PB thereby ensuring complementarity.

Similarly, the project will work with all stakeholders as identified in the stakeholder analysis (see Table 4 of the project document). As such, the project will seek to develop collaborative agreements with key NGO partners (notably BFF and possibly WCS). The project will, within the framework of these collaborative agreement/s, then assist in reimbursing the costs of NGOs in the direct implementation of activities that fall directly within the ambit of the project outputs. To further strengthen the cooperative relationship with NGOs, it is also envisaged that BFF will be represented on the PB.

The project results are also compatible with on going initiatives such as the Monitoring of Illegal Killing of Elephants (MIKE) by providing data throughout the project's implementation including from the aerial surveys carried out at the project's start up and at the EOP.

Type of Consultant	Position / Titles	$/Person Week[1]	Estimated PWs[2]	Tasks, Deliverables and Qualifications
				Manual, KWS, Nairobi, Kenya, 2nd Edition, September 2007 (downloadable from www.kws.go.ke/download/file/fid/1471) - Analysis of law enforcement needs for the five selected pilot protected areas and building a law enforcement development process into the PA management plans **Key Deliverables:** Five completed PA management plans submitted to the relevant government bodies for approval **Expertise & Qualifications:** - Demonstrable experience developing PA management plans in African contexts
International Consultant/ Contractual Services	PA SOP manual development	3,077	26	At the level of the five selected pilot PAs, the project will support the development of management systems and their initial implementation. A manual of standard operating procedures (SOPs) will be developed (with the participation of protected area managers) that will describe the different management systems that will guide the day-to-day work of protected area managers and their members of staff. The manual will include sections on: i) human resource systems (including appraisals and performance evaluations, professional development), ii) the maintenance of infrastructure, capital assets and equipment, iii) the use of equipment and tools, iv) patrolling plans (areas to be covered, frequency of patrolling, patrol data management, adaptive planning of patrolling), v) dealing with infringements (reporting, arresting procedures, gathering evidence and carrying out investigations, taking statements, developing cases for presentation in court, case presentation, monitoring cases), vi) intelligence systems (covert and overt operations, data analysis and interpretation, strategic decision making on case management), vii) data management and reporting, and viii) financial management.

Type of Consultant	Position / Titles	$/Person Week[1]	Estimated PWs[2]	Tasks, Deliverables and Qualifications
				• An SOP manual for the protected areas of Ethiopia – with editions in the different but relevant languages • SOP manual printed and distributed among the relevant personnel • Training carried out in the use of the SOP manual **Expertise & Qualifications:** • Significant and demonstrable experience working with protected areas across Africa • Experience building capacity and building management systems in protected areas across Africa
Contractual Services	Law Enforcement training	3,750	32	**Tasks:** • Building on the law enforcement capacity needs assessment (see above) and with the organisations that have the mandate to manage protected areas, develop a training regime for protected area law enforcement personnel • With the organisations that have the mandate to manage protected areas, select a number of trainers and develop a "train the trainers" regime • Ensure that the training includes the use of the state-of-the-art technologies for enforcing the law (including carrying out investigations, collecting evidence). • Carry out a "train the trainers" training process • Mentor the trained trainers through two rounds of training the law enforcement personnel **Key Deliverables:**

Type of Consultant	Position / Titles	$/Person Week[1]	Estimated PWs[2]	Tasks, Deliverables and Qualifications
				• Carry out a SWOT analysis of the institutions within Ethiopia to determine which are the best suited to fulfil the management and scientific roles for CITES implementation in the country • Develop terms of reference, based on CITES' templates, for the CITES management and scientific bodies within the country. • Identify the people that will be involved within those institutions and provide them with training on the roles and responsibilities to fulfil CITES implementation within the country • The work should take into account the special conditions of Ethiopia – including the high level of rarity and endemism in the country **Key Deliverables:** • A report that includes a series of recommendations for the development of the capacity and functionality of the CITES management and scientific authorities in Ethiopia **Expertise & Qualifications:** • Demonstrable knowledge of CITES • Demonstrable experience carrying out institutional capacity assessments and developing capacity development plans • Knowledge of the biodiversity of Ethiopia would be an advantage
International Consultant	Analysis of Management of Confiscated, Seized or Collected Wildlife Products and Live Animals	4,000	6	Based on an assessment of best practice for the establishment of secure storage facilities for and for the management of such products, a proposal for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collected in the field will be developed. The management system will include the provision for a biennial audit by an independent audit company. The proposal will be developed in a participatory

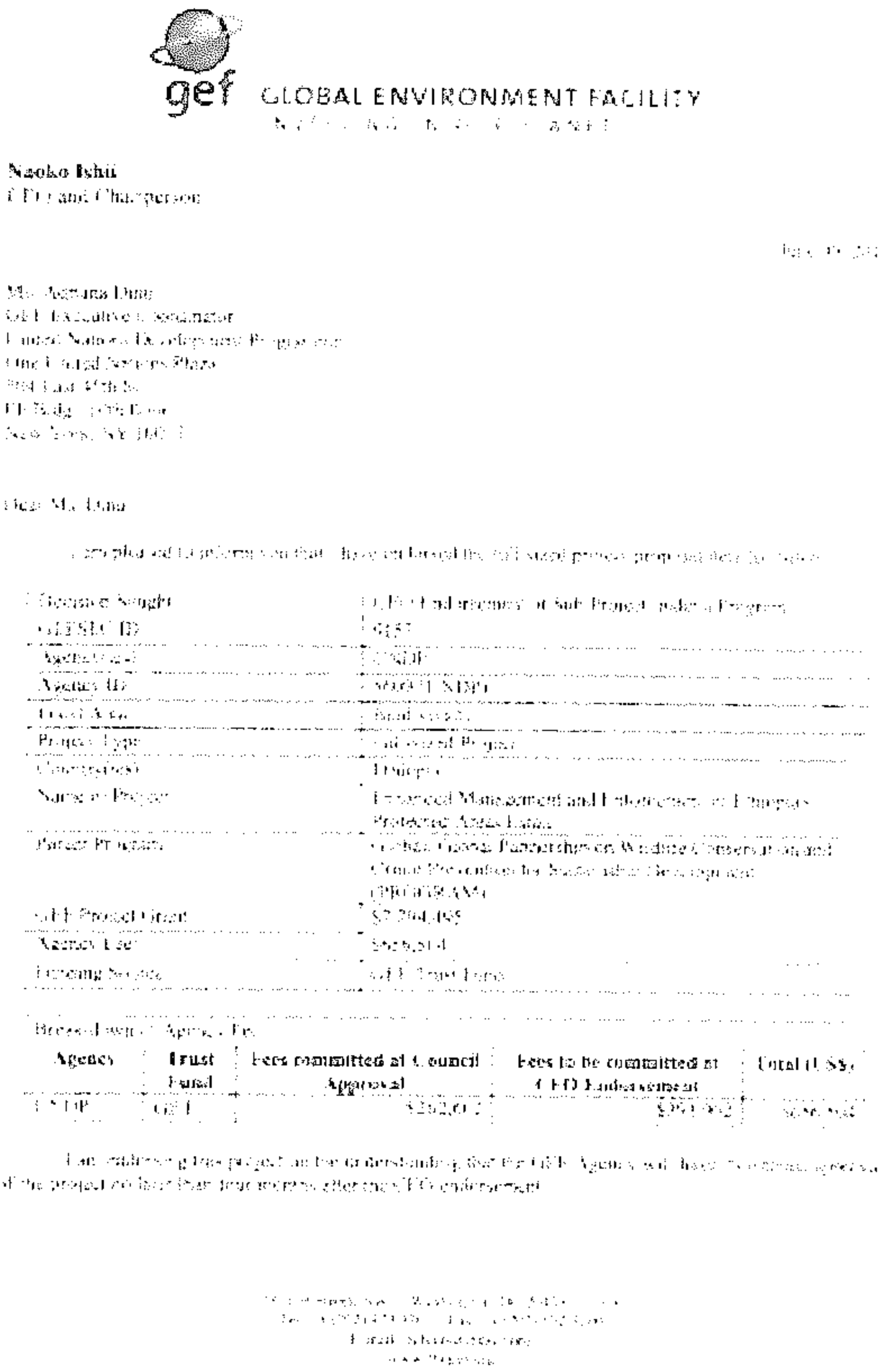
Type of Consultant	Position / Titles	$/Person Week[1]	Estimated PWs[2]	Tasks, Deliverables and Qualifications
				• The proposal will include the BOQ for secure storage facilities in strategic locations around the country • The proposal will also include the training requirements for those people who will be responsible for the system **Key Deliverables:** A proposal for the development of a management system for wildlife products and live animals that are confiscated, seized and/or collected in the field **Expertise & Qualifications:** • Experience in construction of secure facilities for storage of valuable goods • Experience with setting up digital tagging and tracking systems for the management of valuable goods
National Consultant/ Contractual Services	Study of the existing legislation and production of handbook of all relevant legislation for use in combatting wildlife crimes (and drafting amendments to legislation, as necessary	3,500	6	In order to broaden the tools that are available to combatting illegal killing of wildlife and illegal wildlife trade and trafficking – including poor knowledge among the law enforcement agencies of the actual laws that can be applied, the project will support an analysis of all applicable laws for prosecuting illegal activities in the vicinity of protected areas and IWT cases (including all aspects of wildlife crimes, illegal killing of wildlife and trafficking live animals and wildlife products). The analysis will not be simply restricted to wildlife laws but, as has been seen in other countries, there are many other laws, policies, regulations and guidelines that can be used in assisting the actors to prosecute wildlife crimes and illegal activities within and surrounding protected areas (e.g. in the Penal Code and within laws associated with the customs authorities and tax laws). The output from this work will be to produce a handbook that will describe all applicable laws and the circumstances in which the different laws may be applied. The project will use this

Type of Consultant	Position / Titles	$/Person Week[1]	Estimated PWs[2]	Tasks, Deliverables and Qualifications
				to wildlife laws but, as has been seen in other countries, there are many other laws, policies, regulations and guidelines that can be used in assisting the actors to prosecute wildlife crimes and illegal activities within and surrounding protected areas (e.g. in the Penal Code and within laws associated with the customs authorities and tax laws). • Following on from the above analysis, any gaps, in consistencies or other issues in the laws will be noted • Once the handbook has been developed, carry out a training of the relevant actors (including but not limited to: protected area authorities, police, the judiciary (prosecutors and magistrates, and the customs authorities – in total at least 150 people) in the legal tools that are available to them to prosecute perpetrators of wildlife crimes. • Printing and disseminating the handbook among key stakeholders **Key Deliverables:** • The output from this work will be to produce a handbook that will describe all applicable laws and the circumstances in which the different laws may be applied – with reference to prosecuting illegal activities in the vicinity of protected areas and IWT cases (including all aspects of wildlife crimes, illegal killing of wildlife and trafficking live animals and wildlife products). • Training of relevant actors (including but not limited to: protected area authorities, police, the judiciary (prosecutors and magistrates, and the customs authorities – in total at least 150 people) in the legal tools that are available to them to prosecute perpetrators of wildlife crimes.

Type of Consultant	Position / Titles	$/Person Week[1]	Estimated PWs[2]	Tasks, Deliverables and Qualifications
				• Design and implement an awareness campaign using mass media (including but not limited to publications, social media, TV, radio – using the NTV Wildlife and the work of Wildlife Direct in Kenya as a model. • Agree with key stakeholders (EWCA, EBI and partner non-state actors) regarding the target audiences and what results are desired from the awareness campaign • Conduct KAP (Knowledge, Attitude, Practice) surveys among the target audiences before the awareness campaign – ensuring that measurements of the desired results are included in the KAP surveys. The data from this survey will be used as a baseline – to be compared with later surveys • Conduct similar surveys immediately after, one year and three years after the end of the media campaign to determine its success. **Key Deliverables:** • A media campaign (using various media) to target agreed audiences designed and implemented • The reports from KAP surveys to determine the baseline and thereafter the success of the media campaign • Data to demonstrate that the media campaign has reached 75% of the agreed target audiences **Expertise & Qualifications:** • Outstanding experience carrying out media campaigns that are designed to change people's knowledge, attitudes and practices (i.e., behaviour)

Type of Consultant	Position / Titles	$/Person Week[1]	Estimated PWs[2]	Tasks, Deliverables and Qualifications
National Consultant/ Contractual Services	Costs of three contracted studies: i) study to determine the economic viability for local communities to grow different varieties of crops, ii) study to examine value chains for selected crops and their products, and the viability for local communities in the vicinity of selected PAs growing those crops and products and iii) study to examine value chains for NTF products (e.g., spices) and the economic viability for local communities to harvest them on a sustainable basis; dissemination of the results to stakeholders Each study may be conducted by a different – or the same – contractor.	2,500	15	The project will carry out three studies with the aim of determining the potential economic value of different varieties of crop – including in different climate change scenarios – for local communities. The studies will, therefore, determine how the local communities can maximize their benefits (both economic as well as resilience to shocks) from growing, marketing and selling those crops and livestock that are species or varietals endemic to Ethiopia. This has the further aim of persuading local communities in sustainable production, harvesting, value-added processing, marketing and certification of forest and agro-forestry products. **Tasks:** • Study 1: determine the economic viability for local communities to grow different varieties of crops. People living in the rural communities in the project's pilot areas will, habitually, grow those crops known to them. • Study 2: examine value chains for selected crops and their products, and the viability for local communities in the vicinity of selected PAs growing those crops and products • Study 3: examine value chains for NTF products (e.g., spices) and the economic viability for local communities to harvest them on a sustainable basis **Key Deliverables:** Disseminate the results to the stakeholders **Expertise & Qualifications:** • Master's degree in small business development, marketing, or business administration.

Annex 1: CEO endorsement/approval



GLOBAL ENVIRONMENT FACILITY

Naoko Ishii
CEO and Chairperson

[illegible]

Ms. Adriana Dinu
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg [illegible] Floor
New York, NY [illegible]

Dear Ms. Dinu

[illegible]

Decision Sought	CEO Endorsement of Sub Project under a Program
GEFSEC ID	[illegible]
Agency(ies)	UNDP
Agency ID	[illegible] UNDP
Focal Area	Biodiversity
Project Type	Full-sized Project
Country(ies)	Ethiopia
Name of Project	Enhanced Management and Enforcement of Ethiopia's Protected Areas Estate
Parent Program	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (PROGRAM)
GEF Project Grant	$7,294,495
Agency Fee	[illegible]
Funding Source	GEF Trust Fund

Breakdown of Agency Fee

Agency	Trust Fund	Fees committed at Council Approval	Fees to be committed at CEO Endorsement	Total (US$)
UNDP	GEF	$262,012	[illegible]	[illegible]

[illegible]

[illegible]

This endorsement is subject to the comments made by the GEF Secretariat in the attached document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures.

Sincerely,

Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

Annex 2: UNDP Project Cycle Management Services

Stage	Country Office[1]	UNDP/GEF at regional and global level
Identification, Sourcing/Screening of Ideas, and Due Diligence	Identify project ideas as part of country programme/CPAP and UNDAF/CCA.	RTA role: • Technical input to CCA/UNDAFs and CPAPs where appropriate. • Input on policy alignment between projects and programmes. • Provide information on substantive issues and specialized funding opportunities (SOFs). • Policy advisory services including identifying, accessing, combining and sequencing financing. • Verify potential eligibility of identified idea.
	Assist proponent to formulate project idea / prepare project idea paper (e.g. GEF PIF/PPG), and ensuring it is aligned with country outcomes and UNDP Strategic Plan key results, and included in Country Office Integrated Work Plan in the ERBM Platform.	RTA role: • Research and development. • Provide up-front guidance. • Sourcing of technical expertise. • Verification of technical reports and project conceptualization. • Guidance on SOF expectations and requirements. • Undertake pre-screening of potential environmental and social opportunities and risks. • Training and capacity building for the Environmental Officers at the Country Offices, as part of annual Regional Community of Practice meeting or during the RTA's mission(s) in the country.
	Appraisal: • Review and appraise project idea. • Undertake capacity assessments of implementing partner as per UNDP POPP. • Monitor project cycle milestones.	RTA and PTA role • Provide detailed screening against technical, financial, and risk criteria. • Determine likely eligibility against identified SOF.
	Partners: • Assist proponent to identify and negotiate with relevant partners, cofinanciers, etc	RTA role: • Assist in identifying technical partners. • Validate partner technical abilities.
	Obtain clearances: • Government, UNDP, Implementing Partner, LPAC, cofinanciers, etc.	RTA and PTA role: • Obtain SOF clearances.
Project Development	*Initiation Plan:* • Coordination, management and financial oversight of UNDP Initiation Plan • Discuss management arrangements	RTA and PA role: • Assist in preparation of UNDP Initiation Plan • Technical support, backstopping and troubleshooting. • Support discussions on management arrangements • Facilitate issuance of DOA

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[1] As per UNDP POPP with additional SOF requirements where relevant.

Stage	Country Office[1]	UNDP/GEF at regional and global level
	Project Document: • Support project development, assist proponent to identify and negotiate with relevant partners, cofinanciers, etc. • Undertake environmental and social screening of project before PAC. Ensure Environmental and Social Screening Procedure (ESSP) documentation is signed by the Resident Representative or Chair of PAC meeting and attached as Annex to the Project Document. • Review, appraise, finalize Project Document. • Negotiate and obtain clearances and signatures – Government, UNDP, Implementing Partner, cofinanciers, etc.Coordinate LPAC and document meeting decisions. • Respond to information requests, arrange revisions etc. • Prepare operational and financial reports on development stage as needed.	RTA role: Sourcing of technical expertise. • Verification of technical reports and project conceptualization. • Guidance on SOF expectations and requirements. • Negotiate and obtain clearances by SOF • Respond to information requests, arrange revisions etc. • Quality assurance and due diligence.
Key UNDP/GEF management performance indicators/targets for Project Development: 1. Time between PIF approval to CEO endorsement for each project: • Target for GEF trust fund project: FSP = 18 months or less, MSP 12 months or less. • Target for LDCF and SCCF FSP/MSP = 12 months or less. 2. Time between CEO endorsement to project document signature: • Target = 4 months or less		
Project Oversight	*Management Oversight and support*	*Technical and SOF Oversight and support*
	Project Launch/Inception Workshop • Preparation and coordination. • Participate in Inception Workshop	RTA role: • Technical support in preparing TOR and verifying expertise for technical positions. • Participate in recruitment process for Chief Technical Advisor and/or Project Manager, if RTA elects to do so. • Verification of technical validity / match with SOF expectations of inception report. • Participate in Inception Workshop
	Management arrangements: • Facilitate consolidation of the Project Management Unit, where relevant. • Facilitate and support Project Board meetings as outlined in project document and agreed with UNDP RTA. • Provide project assurance role if specified in project document. • Ensure completion of timesheets as required.	RTA role: • Technical input and support to TOR development. Troubleshooting support. • Support in sourcing of potentially suitable candidates and subsequent review of CVs/recruitment process.
	Annual Work Plan: • Issuance of AWP. • Monitor implementation of the annual work plan and timetable.	RTA and PA role: • Advisory services as required • Review AWP, and clear for ASL where relevant.

Stage	Country Office[1]	UNDP/GEF at regional and global level
	Financial management: • Conduct budget revisions, verify expenditures, advance funds, issue combined delivery reports, and ensure no over-expenditure of budget. • Ensure necessary audits.	RTA, PA and Finance Unit roles: • Allocation of ASLs, based on cleared AWPs • Return of unspent funds to donor • Monitor projects to ensure activities funded by donor comply with agreements and project document • Oversight and monitoring to ensure financial transparency and clear reporting to the donor
	Results Management: • Alignment: link project output to CPAP Outcome in project tree in Atlas, link CPAP outcome in project tree to UNDP Strategic Key Result Area as outlined in project document during UNDP work planning Gender: In ATLAS, rate each output on a scale of 0-3 for gender relevance. • UNDP monitoring requirements: Monitor progress on quarterly basis in IWP, and monitor risks in Atlas. • Submit annual APR/PIR report. • Arrange mid-term review: prepare TOR, hire personnel, plan and facilitate mission / meetings / debriefing, circulate draft and final reports. • Submit GEF Focal Area Tracking Tool completed by Project Team to mid-term review team. • Ensure tracking of committed and actual co financing as part of mid-term review. • Ensure translation of mid-term review into English. • Prepare management response to mid-term review. • Annual site visits – at least one site visit per year, report to be circulated no later than 2 weeks after visit completion.	RTA role: • Advisory services as required. • Quality assurance. • Project visits – technical support visit during life of Project as required.

Annex 3: Direct Project Costs for projects financed from GEF-managed vertical funds and the Adaptation Fund

1. The GEF Council and the Adaptation Fund Board have both adopted rules and issued guidance on when and how Direct Project Costs may be recovered for projects financed by the GEF Trust Fund, the Least Developed Countries Fund, the Special Climate Change Fund, the Nagoya Protocol Implementation Fund or the Adaptation Fund.[2]

2. For any projects financed by these funds and approved on or after 7 June 2012, UNDP must observe the following requirements:

    a. The costs of any project cycle management services provided by UNDP must be paid exclusively from the fees paid to UNDP and not from the project budget. Project cycle management services are the quality assurance and oversight services involved with project identification, preparation of project concept, preparation of detailed project document, project approval and start-up, project implementation and supervision, and project completion and evaluation.[3] 'Development Effectiveness' costs are therefore not eligible for recovery from a project budget;

    b. Direct Project Costs – which will include the costs of any activities over and above the project cycle management services for which UNDP receives a fee – may only be charged to the project budget upon the specific request of, and agreement with, the Implementing Partner. These costs are not mandatory, and according to the GEF Secretariat and Adaptation Fund Board these costs should not be considered routine or normal, but instead provided only on an exceptional basis.

    c. For any NIM or NGO implemented project, any Implementing Partner request for services incurring Direct Project Costs must be clearly documented and agreed in a **Letter of Agreement** (LOA) between the Implementing Partner and UNDP, outlining the services to be provided and their itemized costs. For the Adaptation Fund, further documentation (in a separate letter or in the project document) is also needed from the Implementing Partner to UNDP outlining why the services are needed and justifying the exceptional basis for the request.:

    d. The costs of any anticipated or known Direct Project Costs need to be clearly documented in the Project Information Form (PIF for GEF projects) or project concept or proposal (for Adaptation Fund projects) submitted for approval. Any DPCs requested by an Implementing Partner **after** GEF CEO endorsement or AFB approval need to be submitted to the GEF Secretariat or Adaptation Fund Board Secretariat, as appropriate;

    e. Direct Project Costs must be within the Project Management Cost/Executions Costs. Budget provided to Implementing Partners under GEF and Adaptation Fund projects4; and

    f. 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: "64397- Direct Project Costs – Staff" and "74596-Direct Project Costs – GOE".

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[2] For the GEF Council, see paragraphs 32 and 33 of the 42nd Council Meeting Joint Summary of the Chairs regarding the paper, *Fee Structure for Agencies, Part I and Part II* (GEF/C.42/09, June 2012). For the Adaptation Fund Board, see Decision B.18/30 concerning *Implementing Entity Fees* as provided in the Report of the Eighteenth Meeting of the Adaptation Fund Board (AFB/B.18/6, August 2012).

[3] For the GEF, these services are defined in GEF Council paper, *Rules and Guidelines for Agency Fees and Project Management Costs* (GEF/C.39/9).

[4] Project Management Costs (PMCs) represent the Implementing Partner's management costs associated with the unit executing the project on the ground and are included in the project budget. For GEF projects, the GEF Secretariat currently adopts the following approach: PMC shall not exceed 10% of GEF project grant for projects requesting GEF project grants up to $2 million, and shall not exceed 5% of the GEF project grant for projects requesting GEF project grants of $2 million and above. In principle, no PMC will be provided for DIM projects without justification. In exceptional cases where the PMC exceeds the fixed percentage amounts, a justification should be provided on the additional budget needed for the PMC.