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WILDLIFE TRAPS: Revised Monitoring Framework and Midterm Performance Assessment



ILLEGAL TRADE IN IVORY AND
RHINO HORN:
AN ASSESSMENT TO IMPROVE
LAW ENFORCEMENT UNDER
THE WILDLIFE TRAPS PROJECT
By
Tom Miller
A TRAFFIC REPORT

This publication was prepared for review by the United States Agency for International Development by Environmental Incentives.

September 2018

TABLE OF CONTENTS

I. EXECUTIVE SUMMARY	6
II. INTRODUCTION	8
OVERVIEW OF THE WILDLIFE TRAPS PROJECT	8
TWO-PHASE APPROACH OF THE ASSESSMENT	9
III. PHASE 1: REVISION OF THE PROJECT MONITORING FRAMEWORK	10
OBJECTIVE.....	10
METHODOLOGY.....	10
REVISED WILDLIFE TRAPS MONITORING FRAMEWORK.....	11
IV. PHASE 2: ASSESSMENT OF PROJECT PROGRESS AND PERFORMANCE – OBJECTIVE AND METHODOLOGY	18
OBJECTIVE.....	18
METHODOLOGY.....	18
V. PHASE 2: ASSESSMENT OF PROJECT PROGRESS AND PERFORMANCE – FINDINGS	20
ASSESSMENT QUESTION #1: TO WHAT EXTENT HAVE OUTCOMES STATED IN THE REVISED MONITORING FRAMEWORK BEEN ACHIEVED TO DATE?.....	20
ASSESSMENT QUESTION #2: ARE THERE PARTICULAR FACTORS OR CONDITIONS THAT HAVE IMPEDED PROGRESS OR FACILITATED SUCCESS IN ACHIEVING PROJECT OUTCOMES?	45
ASSESSMENT QUESTION #3: WHAT EVIDENCE EXISTS TO DATE OF THE ABILITY OF WILDLIFE TRAPS TO INFLUENCE OR CATALYZE THE ACTIONS OF OTHERS IN COMBATING WILDLIFE TRAFFICKING?.....	46
ASSESSMENT QUESTION #4: ARE THERE PARTICULAR FACTORS OR CONDITIONS THAT HAVE IMPEDED OR FACILITATED THE ABILITY OF WILDLIFE TRAPS TO INFLUENCE OR CATALYZE THE ACTIONS OF OTHERS IN COMBATING WILDLIFE TRAFFICKING?...	49
VI. CONCLUSIONS	52
ASSESSMENT QUESTION #1.....	52
ASSESSMENT QUESTION #2.....	53
ASSESSMENT QUESTION #3.....	53
ASSESSMENT QUESTION #4.....	54
FURTHER CONCLUSIONS	54
VII. RECOMMENDATIONS	56
ANNEX A: DETAILED WILDLIFE TRAPS REVISED MONITORING FRAMEWORK	60
ANNEX B: KEY INFORMANT INTERVIEW AND SURVEY QUESTIONS	66
ANNEX C: LIST OF KEY INFORMANTS	70
ANNEX D: COLLABORATIVELY DEFINED PRIORITY ACTIONS	71

Front Cover (clockwise from left):

Forensic analysis of ivory. Photo credit: Tools and Resources for Applied Conservation and Environment (TRACE).

Emmanuel, a young Congolese Conservation Ranger with the Congolese Institute for Nature Conservation (ICCN) photographed in the Bukima Gorilla sector of Virunga National Park, Democratic Republic of Congo (DRC). Photo credit: © Brent Stirton/Reportage by Getty Images/World Wildlife Fund (WWF).

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Participants engaged in the Wildlife TRAPS co-convened collaborative action planning (CAP) workshop, *Changing Behaviour to Reduce Demand for Illegal Wildlife Products*, Hong Kong, March 2016. Photo credit: TRAFFIC.

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PREPARED BY: Tess Present and Claire Price, Environmental Incentives, LLC

SUBMITTED BY

Elizabeth Lauck

Environmental Incentives, LLC

SUBMITTED TO

Colin Holmes, Contracting Officer’s Representative

USAID Bureau for Economic Growth, Education, and Environment

Office of Forestry and Biodiversity

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This work is made possible by the generous support of the American people through the United States Agency for International Development (USAID) under the terms of its requisition # REQ-EGAT-12-000014 (Measuring Impact) implemented by prime recipient Environmental Incentives, LLC with partners Foundations of Success and ICF. Measuring Impact has been issued under contract # AID-OAA-C-12-00078 and supports the same program objectives as described in RFP # SOL-OAA-000050. Measuring Impact is funded and managed by the USAID Bureau for Economic Growth, Education, and Environment/Office of Forestry and Biodiversity.

LIST OF TABLES

TABLE 1.	WILDLIFE TRAPS KEY RESULTS AND OUTCOMES.....	15
TABLE 2.	ASSESSMENTS PRODUCED WITH WILDLIFE TRAPS SUPPORT AND AVAILABLE DISSEMINATION DATA.....	21
TABLE 3.	COLLABORATIVE ACTION PLANNING (CAP) WORKSHOPS CO-CONVENED BY WILDLIFE TRAPS.....	27
TABLE 4.	NEW WORK AREAS FOR WILDLIFE TRAPS ENGAGEMENT WITH STAKEHOLDERS.....	27
TABLE 5.	IMPLEMENTATION OF PRIORITY COMBATING WILDLIFE TRAFFICKING (CWT) ACTIONS DEFINED THROUGH THE CAP-WORKSHOP PROCESS.....	30
TABLE 6.	CHARACTERISTICS OF ACTIVITIES UNDERTAKEN TO IMPLEMENT PRIORITY CWT ACTIONS DEFINED THROUGH THE CAP-WORKSHOP PROCESS.....	31
TABLE 7.	STAKEHOLDER ORGANIZATIONS ENGAGED BY WILDLIFE TRAPS.....	33
TABLE 8.	KEY STAKEHOLDER ORGANIZATIONS PARTICIPATING IN OR USING TRAININGS, MATERIALS, PROFESSIONAL DEVELOPMENT OPPORTUNITIES, AND COLLABORATION AND COMMUNICATION MECHANISMS PROVIDED THROUGH WILDLIFE TRAPS.....	36

LIST OF FIGURES

FIGURE 1.	SIMPLE GENERIC RESULTS CHAIN.....	11
FIGURE 2.	WILDLIFE TRAPS RESULTS CHAIN.....	12
FIGURE 3.	NUMBER OF DIRECT-ENGAGEMENT ACTIVITIES BY LEVEL OF WILDLIFE TRAPS INFLUENCE IN EACH FISCAL YEAR ACROSS ALL THEMATIC AREAS.....	23
FIGURE 4.	NUMBER OF DIRECT-ENGAGEMENT ACTIVITIES BY LEVEL OF WILDLIFE TRAPS INFLUENCE IN EACH THEMATIC AREA ACROSS ALL FISCAL YEARS.....	24
FIGURE 5.	NUMBER OF WILDLIFE TRAPS DIRECT-ENGAGEMENT ACTIVITIES BY TYPE IN EACH FISCAL YEAR ACROSS ALL THEMATIC AREAS.....	25
FIGURE 6.	NUMBER OF WILDLIFE TRAPS DIRECT-ENGAGEMENT ACTIVITIES BY TYPE IN EACH THEMATIC AREA ACROSS ALL FISCAL YEARS.....	25

LIST OF BOXES

Box 1.	USING THE RESULTS CHAIN APPROACH TO DEVELOP THE WILDLIFE TRAPS REVISED MONITORING FRAMEWORK.....	11
Box 2.	CATEGORIES OF WILDLIFE TRAPS INFLUENCE.....	23
Box 3.	TYPES OF WILDLIFE TRAPS DIRECT-ENGAGEMENT ACTIVITIES.....	24

ACRONYMS

Africa-TWIX	Africa Trade in Wildlife Information eXchange
BAA	Broad Agency Announcement
CAP	Collaborative Action Planning
CARPE	Central Africa Regional Program for the Environment
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CWT	Combating Wildlife Trafficking
DRC	Democratic Republic of Congo
E3	Bureau for Economic Growth, Education, and Environment
ETIS	Elephant Trade Information System
FAB	Office of Forestry and Biodiversity
FIATA	International Federation of Freight Forwarders Association
FY	Fiscal Year
IATA	International Air Transport Association
ICCWC	International Consortium on Combating Wildlife Crime
IIED	International Institute of Environment and Development
INTERPOL	International Criminal Police Organization
IUCN	International Union for Conservation of Nature
KWS	Kenya Wildlife Service
MI	Measuring Impact
MINFOF	Ministry of Forests and Wildlife, Cameroon
NGO	Non-Governmental Organization
NIAP	National Ivory Action Plan
PIO	Public International Organization
Q	Quarter
RDMA	Regional Development Mission for Asia
RhODIS®	Rhino DNA Index System®
ROUTES	Reducing Opportunities for Unlawful Transport of Endangered Species
RUSI	Royal United Services Institute
SBCC	Social and Behavioral Change Communication
TAFFA	Tanzania Freight Forwarders Association
TRACE	Tools and Resources for Applied Conservation and Enforcement
UNODC	United Nations Office on Drugs and Crime
USAID	United States Agency for International Development
Wildlife TRAPS	Wildlife Trafficking Response, Assessment, and Priority Setting
WCO	World Customs Organization
WWF	World Wildlife Fund

I. EXECUTIVE SUMMARY

Wildlife Trafficking Response, Assessment, and Priority Setting (Wildlife TRAPS) was launched in 2013 through a \$1.5 million Public International Organization (PIO) agreement from the United States Agency for International Development (USAID) Bureau for Economic Growth, Education, and Environment (E3)/Office of Forestry and Biodiversity (FAB) to the International Union for Conservation of Nature (IUCN). Wildlife TRAPS is implemented by TRAFFIC, IUCN's strategic partnership with World Wildlife Fund (WWF). In 2014, Wildlife TRAPS was extended to five years with a ceiling of \$4.9 million. It was extended again in 2016 for another two years, moving the end date to 2020 with a total funding ceiling of \$9 million. The majority of funding has been provided by E3/FAB with two USAID regional bureaus and six missions contributing funding: Bureau for Africa, Bureau for Latin America and the Caribbean, Central Africa Regional Program for the Environment (CARPE), East Africa Regional, Kenya, Regional Development Mission for Asia (RDMA), Southern Africa Regional, and Uganda.

To transform the ability and impact of stakeholders tackling wildlife trafficking between Africa and Asia, Wildlife TRAPS seeks to increase recognition by authorities and multi-sectoral stakeholders that wildlife trafficking is a global issue that requires a multicountry, multi-sectoral, and multipartner response. Furthermore, it seeks to catalyze innovative approaches in combating wildlife trafficking and increased and continuing action by a broad array of diverse stakeholders through strengthened and non-traditional partnerships. Wildlife TRAPS is focusing its efforts to catalyze the actions of others to combat wildlife trafficking and build sustainable stakeholder networks for continued action in six global sectors or project thematic areas: Financial Sector, Transportation Sector, Demand Reduction, Law Enforcement, Wildlife Forensics, and Community Engagement.

USAID enlisted Measuring Impact (MI) to conduct a midterm assessment of Wildlife TRAPS through a two-phase approach. In the first phase, the assessment team reviewed the existing project¹ theory of change and performance management plan and revised as necessary to ensure that project outcomes were fully and accurately defined and could be captured through monitoring of appropriate indicators. Through Phase 1, the assessment team developed a revised project monitoring framework² against which progress and performance could be assessed in Phase 2. Phase 2 focused on answering four questions:

1. To what extent have outcomes stated in the revised monitoring framework been achieved to date?
2. Are there particular factors or conditions that have impeded progress or facilitated success in achieving project outcomes?
3. What evidence exists to date of the ability of Wildlife TRAPS to influence or catalyze the actions of others in combating wildlife trafficking?
4. Are there particular factors or conditions that have impeded or facilitated the ability of Wildlife TRAPS to influence or catalyze the actions of others in combating wildlife trafficking?

To answer the assessment questions, MI assessors retrospectively compiled data from project documents and gathered input from key informants.

The Wildlife TRAPS revised monitoring framework includes outcomes for eight key results that span the Wildlife TRAPS results chain, from initial outputs to desired outcomes beyond Wildlife TRAPS' manageable interest. There is evidence that progress is being made on achieving the outcomes defined for all key results, but the strength of that evidence varies across the key results. Based on key informant input, factors particularly important to Wildlife TRAPS achieving its outcomes include: the flexibility afforded by the PIO funding mechanism and the way it is managed by USAID, the collaborative mind-set and technical expertise of TRAFFIC staff, and TRAFFIC's stature as a thought leader and well-respected, neutral voice in the global dialogue on wildlife crime. However, key informants also suggested that Wildlife TRAPS could better communicate what it is doing, what it has achieved in each thematic area, and how this work could inform ongoing and future work by stakeholders. This may increase the extent to which stakeholders can build upon the work of Wildlife TRAPS and its results achieved to date.

¹ Wildlife TRAPS is technically an activity in USAID parlance. It is referred to as a project in this assessment to avoid confusion among external stakeholders.

² The project monitoring framework is comprised of the project's theory of change depicted as a results chain with outcome statements and indicators for key results.

Through its many activities and products, Wildlife TRAPS is influencing what stakeholders are doing to reduce wildlife trafficking, how they are doing it, and with whom they are working. The technical information and expertise provided through assessments and other resources have been useful to many stakeholders in improving their understanding of the background and context for an issue, establishing priorities for their work, refining strategic approaches, improving the effectiveness of their work, and identifying opportunities for collaboration. Wildlife TRAPS' efforts to involve new stakeholders and build and strengthen connections between stakeholders has led to new and stronger collaborations within countries, between regions, and across continents, and also across the diverse sectors that interface with wildlife crime. However, multiple key informants did not know that the TRAFFIC personnel they were working with, the resources they were using, or the activities they were involved in were part of the work encompassed by Wildlife TRAPS.

There is growing evidence that Wildlife TRAPS has had a catalytic effect, defined either as (1) actions implemented by stakeholders that build upon the work of Wildlife TRAPS but without its support, or (2) activities and events that key informants relayed were precipitated by Wildlife TRAPS activities. The ability of Wildlife TRAPS to influence and catalyze stakeholder efforts to reduce illegal wildlife trade has benefited from the increasing global resonance of wildlife trafficking as a multi-sectoral issue and TRAFFIC's stature among stakeholders. Key informant feedback suggests that continued socialization, reinforcement, and refinement of collaboratively defined priority actions may enhance Wildlife TRAPS' ability to influence and catalyze stakeholders to implement those actions. It also may be timely to reassess the scope of Wildlife TRAPS and tighten its focus on those areas where it has the greatest potential to effect change before project end.

In summary, to date:

- Wildlife TRAPS has undertaken an impressive number and diversity of activities to engage more than 150 stakeholder organizations across its work in six thematic areas.
- Through its influence and catalytic effect, new stakeholders, new partnerships, new programs, and innovative, multi-sectoral approaches are being brought to bear in the fight against illegal wildlife trade.
- Wildlife TRAPS' progress and successes are testament to the effectiveness of project personnel, management, and design.

In the spirit of continuous improvement, this assessment revealed some opportunities for Wildlife TRAPS to further enhance the influence and catalytic effect of its work. Six general recommendations emerged:

1. Reassess and refine as necessary the strategic focus of Wildlife TRAPS as it nears completion.
2. Frame stakeholder discussion and project communications around Wildlife TRAPS' intended outcomes and increase overall communication of activities, outputs, and outcomes.
3. Cultivate the identity of Wildlife TRAPS as an initiative separate from other TRAFFIC and stakeholder initiatives.
4. Assess whether there are characteristics of other initiatives focused on achieving large-scale, collective impact that would be useful to incorporate into Wildlife TRAPS.
5. Implement a systematic approach to monitoring outputs and outcomes that is aligned with the Wildlife TRAPS revised monitoring framework, and regularly review progress to extract lessons learned and inform adaptive management.
6. Refine the revised monitoring framework based on findings of this assessment and continue to refine as the project evolves.

Possible specific actions that could be undertaken to implement each recommendation are provided in the main body of this report.

II. INTRODUCTION

Overview of the Wildlife TRAPS Project

The Wildlife Trafficking Response, Assessment, and Priority Setting (Wildlife TRAPS) project³ was launched in 2013 through a \$1.5 million Public International Organization (PIO) agreement from the United States Agency for International Development (USAID) Bureau for Economic Growth, Education, and Environment (E3)/Forestry and Biodiversity Office (FAB) to the International Union for Conservation of Nature (IUCN). Wildlife TRAPS is implemented by TRAFFIC, IUCN's strategic partnership with World Wildlife Fund (WWF). In 2014, Wildlife TRAPS was extended to five years with a ceiling of \$4.9 million. It was extended again in 2016 for another two years, moving the end date to 2020 with a total funding ceiling of \$9 million. The majority of funding has been provided by E3/FAB with two USAID regional bureaus and six missions contributing funding: Bureau for Africa, Bureau for Latin America and the Caribbean, Central Africa Regional Program for the Environment (CARPE), East Africa Regional, Kenya, Regional Development Mission for Asia (RDMA), Southern Africa Regional, and Uganda.

The 2014 Wildlife TRAPS Revised Framework Approach document established the vision, goal, objectives, and overall approach for the project. It states that Wildlife TRAPS seeks “to achieve a transformation in the ability and impact of stakeholders⁴ tackling wildlife trafficking between Africa and Asia.” To achieve this transformation, Wildlife TRAPS seeks to increase recognition by authorities and multi-sectoral stakeholders that wildlife trafficking is a global issue that requires a multicountry, multi-sectoral, and multipartner response. Furthermore, it seeks to catalyze innovative approaches in combating wildlife trafficking and increased and continued action by a broad array of diverse stakeholders through strengthened and non-traditional partnerships.

The stated goal for the project is to: “Protect global biodiversity from the threat of illegal wildlife trade through strengthening the knowledge base, resolve and cooperation of governments, intergovernmental organizations, the private sector and non-governmental organizations (NGOs), in tackling wildlife trafficking between Africa and Asia.” To achieve this goal, three objectives were defined:

1. To improve understanding of the status of and trends in trans-continental illegal wildlife trade, with a focus on trade routes for threatened species trafficked between Africa and Asia;
2. To increase international collaborations around actions to reduce and control illegal wildlife trade between Africa and Asia; and
3. To identify, inform, and facilitate the efforts of national government and inter-governmental, NGOs, and private sector collaborators affected by illegal wildlife trafficking between Africa and Asia, in implementing effective strategies to combat it.

The project is implemented through a three-phase approach:

Phase I - Assessment and Priority Setting, during which assessment and analysis of targeted issues is conducted to improve stakeholder understanding of the status of and trends in wildlife trafficking and identify where action is needed;

Phase II - Collaborative Action Planning, during which stakeholders are convened to design and prioritize actions that need to be taken based on the assessment findings; and

³ Wildlife TRAPS is technically an activity in USAID parlance. It is referred to as a project in this assessment to avoid confusion among external stakeholders.

⁴ In the context of the project, stakeholders are government, intergovernmental, civil society, and private-sector actors who have, or could play, a role in combating illegal wildlife trade within and between Africa and Asia.

Phase III - Respond and Review, during which Wildlife TRAPS will support stakeholder implementation of the prioritized actions defined through collaborative action planning.

As it takes time to convene collaborative action planning processes and for stakeholders to implement collaboratively defined actions, Wildlife TRAPS as well initiated activities to begin to address needs identified in the assessments before collaborative action planning could be completed and stakeholder implementation could begin.

In fiscal year 2015 (FY 2015), after some experience with each of the three phases, Wildlife TRAPS defined six work streams to focus its work: (1) engaging the transportation sector, (2) strengthening law enforcement capacity and interagency collaboration between Africa and Asia, (3) engaging the financial sector and improving financial investigative capacity to recover the proceeds of illegal wildlife trade, (4) support to emerging wildlife forensics labs in Africa and Asia, (5) demand reduction activities, and (6) exploring the links between communities and illegal wildlife trade. Going forward, these work streams defined the six thematic areas around which Wildlife TRAPS structured its work: Transportation Sector, Law Enforcement, Financial Sector, Wildlife Forensics, Demand Reduction, and Community Engagement.

Two-Phase Approach of the Assessment

USAID enlisted Measuring Impact (MI) to conduct a midterm assessment of the Wildlife TRAPS project. The project leadership team⁵ recognized that the existing project monitoring plan and theory of change did not adequately encompass the envisioned outcomes of the project and so decided to have a two-phase approach to the assessment.

In the first phase, the assessment team reviewed the existing project theory of change and performance management plan and revised as necessary to ensure that project outcomes were fully and accurately defined and could be captured through monitoring of appropriate indicators. Through Phase I, MI assessors developed a revised project monitoring framework⁶ against which project progress and performance could be assessed. In the second phase, the assessment team assessed progress and performance against the revised theory of change and its associated outcomes.

⁵ For this assessment, the project leadership team is considered comprised of the Wildlife TRAPS Project Lead and USAID Wildlife TRAPS co-managers.

⁶ The project monitoring framework is comprised of the project's theory of change depicted as a results chain with outcome statements and indicators for key results.

III. PHASE I: REVISION OF THE PROJECT MONITORING FRAMEWORK

Objective

The objective of Phase I was to review and make necessary revisions to the project’s theory of change and in the indicators being monitored. The review sought to determine whether (1) the project’s theory of change fully and accurately captured intended outcomes and key assumptions, and whether it aligned with the project’s stated objectives and approaches; and (2) whether current indicators were adequate to assess project progress towards intended outcomes and to assess the validity of key assumptions in the theory of change.

The output of Phase I is a revised project monitoring framework comprised of the articulation of the project’s theory of change as a narrative and a results chain, and the outcome statements and indicators defined for all key results identified in the project results chain.



Ivory market in central Africa. Photo credit: TRAFFIC.

Methodology

Application of the Results Chain Approach

Phase I began with a review by the MI assessors of the project’s existing theory of change and design documents.⁷ The assessment team appraised the adequacy of the project’s then-current theory of change and monitoring plan by determining how well they aligned with best practices for the design of USAID biodiversity programming as defined in the USAID [Biodiversity How-To Guide 2: Using Results Chains to Depict Theories of Change in USAID Biodiversity Programming](#) and [How-To Guide 3: Defining Outcomes and Indicators for Monitoring, Evaluation, and Learning in USAID Biodiversity Programming](#). The review uncovered severe gaps in the project’s theory of change, a lack of measurable stated outcomes, and indicators focused almost entirely on project outputs rather than outcomes. The project leadership team and MI assessors agreed to use the results chain approach provided in the USAID Biodiversity How-To Guides and USAID’s Program Cycle [How-To Note: Developing a Project Logic Model \(and its Associated Theory of Change\)](#) to develop a robust theory of change for the project and measurable outcome statements with associated indicators. See Box I on page 11 for a brief overview of the results chain process used to develop the Wildlife TRAPS revised monitoring framework.

The theory of change for Wildlife TRAPS was developed for the project as a whole rather than for each of the intertwined, overlapping, and reinforcing strategic approaches it was implementing (i.e., research, relationship building, capacity building, etc.). In other words, the theory of change was developed for how the collective implementation of the project’s strategic approaches would lead to intended outcomes. The project results chain was developed collaboratively with the project leadership team through many discussions; it was informed by MI review of all available project design documents, work plans, and quarterly and annual progress reports.

⁷ These documents included the 2012 Wildlife TRAPS Framework Approach, 2014 Wildlife TRAPS Revised Framework Approach, and the 2016 Wildlife TRAPS Revised Monitoring Plan.

Box I. Using the Results Chain Approach to Develop the Wildlife TRAPS Revised Monitoring Framework

A results chain is a graphic depiction of a theory of change that displays the assumed causal relationships between what a program intends to do and the changes and results it expects to produce. A generic results chain is depicted in Figure 1 below and may be read as a series of “if-then” statements such as “If Strategic Approach A is implemented then Result 1 will be achieved, if Result 1 is achieved then Result 2 will follow, if Result 2 is achieved then the specified threat will be reduced, resulting in the improved status of the specified species, ecosystem, etc.” Arrows depict assumptions made by the program team.

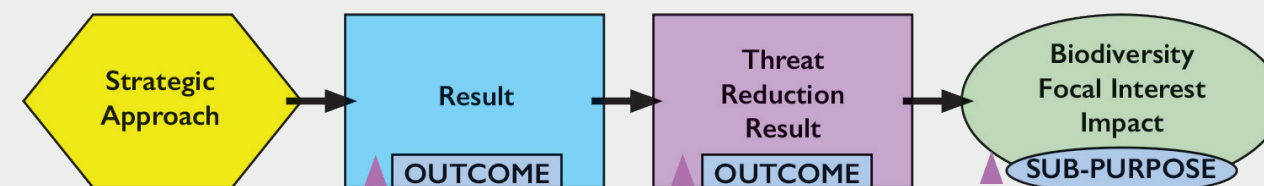


Figure 1. Simple Generic Results Chain

Once the sequence of a program’s intended results is depicted in a results chain, the program design team identifies “key results” or those that are most important to monitor because their achievement depends on the validity of a critical assumption or they are required for program reporting or some other monitoring need. After the key results are identified, measurable outcome statements are developed for each along with the indicators that should be monitored to track progress in achieving the stated outcome.

Revised Wildlife TRAPS Monitoring Framework

Theory of Change and Key Assumptions

The Wildlife TRAPS theory of change is depicted as a results chain in Figure 2 (see page 12) and provided as a narrative below. Results depicted within Wildlife TRAPS’ manageable interest are those for which it is accountable by end of project. Wildlife TRAPS will contribute to results outside of its manageable interest, but achievement of these results requires continued actions by stakeholders after the project ends.

Wildlife TRAPS aims to catalyze actions to combat wildlife trafficking and build sustainable stakeholder networks for continued action in six global sectors or project thematic areas: Financial Sector, Transportation Sector, Demand Reduction, Law Enforcement, Wildlife Forensics, and Community Engagement. Wildlife TRAPS’ theory of change begins with identifying needs for action through conducting assessments and engaging and influencing stakeholders, including key stakeholders⁸ or those with high influence in their sector. Wildlife TRAPS engages and influences stakeholders through activities⁹ it convenes, advises, or engages in as a participant. As a result of their engagement with Wildlife TRAPS, stakeholders will undertake activities throughout and beyond the project, and key stakeholders will begin to influence others in their network to undertake activities to combat wildlife trafficking. Once Wildlife TRAPS is engaging with stakeholders, resources will be developed to enable those stakeholders to implement needed counter-trafficking activities. These resources include sector-specific trainings, professional development opportunities, materials, and mechanisms to enable stakeholder communication and collaboration.

⁸ Key stakeholders are individuals and entities with high influence in their sector (e.g., industry associations, regulatory bodies, champions in the relevant thematic area, strategic partners, etc.), as defined by project staff.

⁹ For the purposes of this assessment, the term “activities” refers to the interventions, tasks, or other conservation efforts implemented through Wildlife TRAPS or by stakeholders.

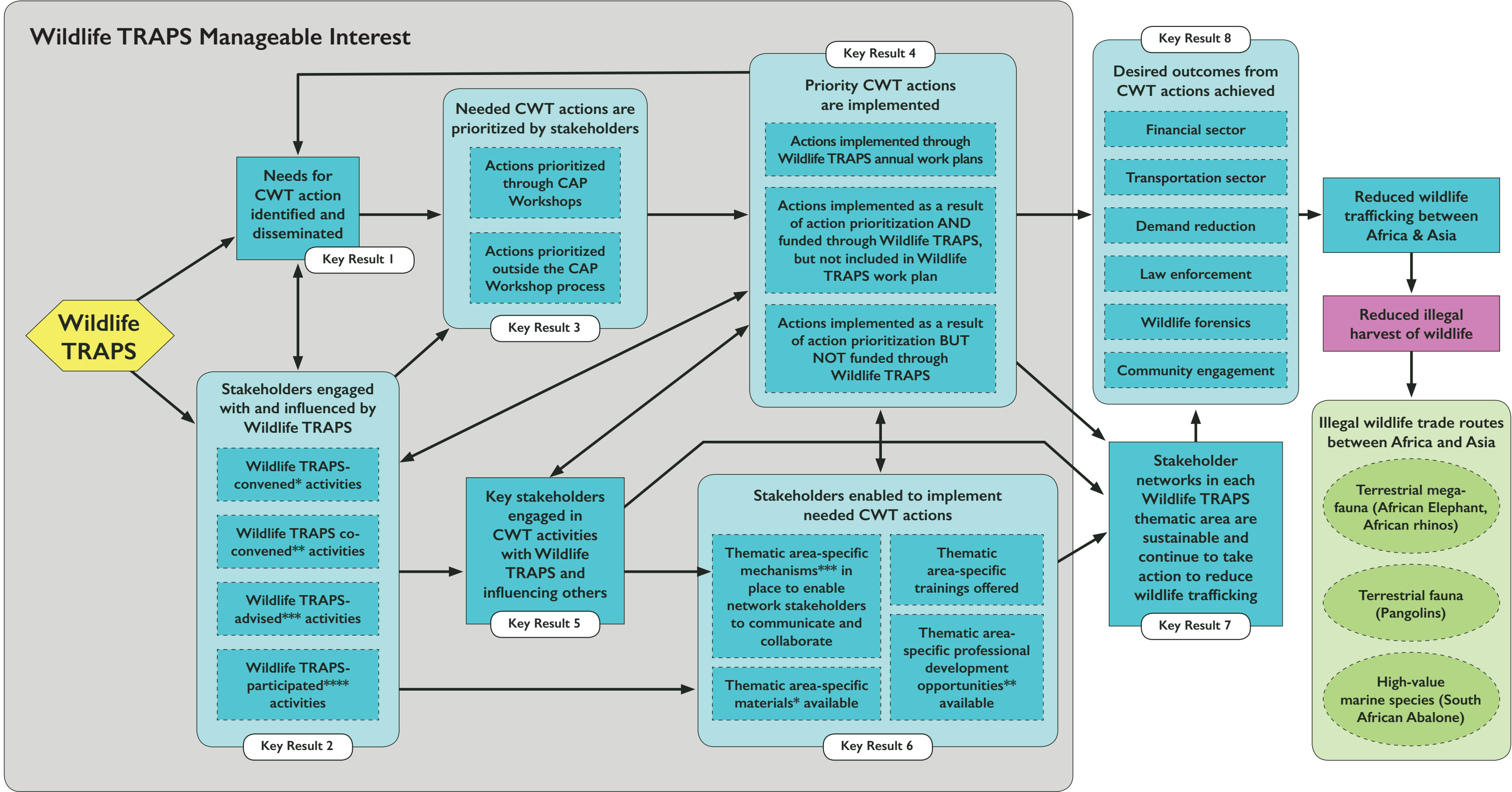
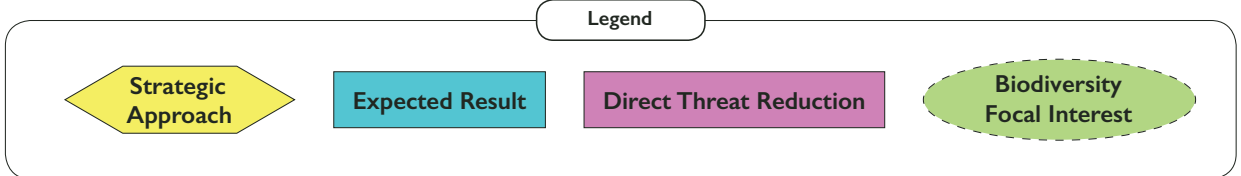


Figure 2. Wildlife TRAPS Results Chain. Wildlife TRAPS' manageable interest encompasses results for which the project is accountable for achieving by project end. "CWT" denotes combating wildlife trafficking. Asterisk (*) words are defined in the Detailed Wildlife TRAPS Revised Monitoring Framework in Annex A.



If needs for action are identified and stakeholders engage in Wildlife TRAPS activities to prioritize those actions, then those actions needed to combat wildlife trafficking will be collaboratively prioritized by stakeholders for implementation. If actions are collaboratively prioritized, then they will be implemented through Wildlife TRAPS' activities and through stakeholders' activities not included in Wildlife TRAPS' work plans. Here it is assumed that stakeholders will be motivated to implement the prioritized actions based on their engagement with Wildlife TRAPS, influence from key stakeholders, and having resources available. As priority actions are implemented, further assessments may be conducted, further stakeholder engagement with Wildlife TRAPS may result, key stakeholder engagement and influence may increase, and further resources to enable stakeholder action may be developed.

With stakeholders implementing priority actions and having the resources to enable their continued action, and with key stakeholders actively influencing others in their respective network to undertake activities to reduce wildlife trafficking, Wildlife TRAPS will have accomplished the results within its manageable interest. The Wildlife TRAPS theory of change assumes that if these results have been achieved, then stakeholder networks in each of Wildlife TRAPS' six thematic areas will be sustainable and continue to implement the priority actions defined through the project, leading to the achievement of desired outcomes towards which Wildlife TRAPS was working. If these desired outcomes are achieved, then there will be reduced trafficking between Africa and Asia, reduced illegal harvest of wildlife, and ultimately an improvement in the global status of key wildlife.

There are four key assumptions in the Wildlife TRAPS theory of change, the validity of which will dictate if the project's vision to catalyze actions to combat wildlife trafficking and to build sustainable stakeholder networks for continued action will be realized. They are:

1. The project will influence stakeholder efforts to combat wildlife trafficking through its various engagement activities.
2. As a result of the project's influence, key stakeholders will influence if and how others in their respective networks engage in efforts to combat wildlife trafficking.
3. As a result of the project's or key stakeholder's influence and the collaborative prioritization of actions to reduce wildlife trafficking, the collaboratively defined priority actions will be implemented in part through stakeholder activities catalyzed by the stakeholder's engagement with Wildlife TRAPS but not part of Wildlife TRAPS' work plans.
4. As a result of stakeholders implementing priority actions, key stakeholders actively influencing others in their network to undertake activities to reduce wildlife trafficking, and resources to enable stakeholder action being provided, the network of stakeholders for each thematic area will be sustainable and continue to take action in combating wildlife trafficking beyond the life of Wildlife TRAPS.

The degree to which these assumptions are valid is explored in Phase 2 findings in this assessment.

Key Results and Outcome Statements

Figure 2 (see page 12) depicts the key results identified in the project's result chain. For the purposes of this assessment, all the interim results in the results chain immediately within Wildlife TRAPS' manageable interest and just beyond were identified as key results, and outcome statements and indicators were developed for each.

The key results and their associated outcome statements are summarized in Table 1 on page 15. The indicators associated with each outcome statement, indicator disaggregates, and detailed explanation of asterisked terms in various outcome statements are provided in Annex A. During development of the revised monitoring framework with the project leadership team, there were some uncertainties about the appropriateness and usefulness of some indicators and outcome statements. These are marked as tentative in the detailed framework found in Annex A. It was intended that these would be revised as needed based on the experience of using the framework for this assessment and the findings that emerged. Suggestions for revising the tentative elements of the monitoring framework are provided in the recommendations of this assessment.

Table 1: Wildlife TRAPS Key Results and Outcomes. Associated indicators, indicator disaggregates, and definitions of asterisked (*) words are provided in the Detailed Wildlife TRAPS Monitoring Framework in Annex A. "CWT" denotes combating wildlife trafficking.

Key Result	Outcome Statement(s)
1. Needs for CWT action identified and disseminated	1. Throughout the project, Wildlife TRAPS is responsive* to the needs of the global community for information to direct action in combating wildlife trafficking.
2. Stakeholders engaged with and influenced by Wildlife TRAPS	2. Wildlife TRAPS convenes and participates in the global dialogue on wildlife trafficking such that there is evidence* that Wildlife TRAPS is increasingly influencing the activities of stakeholders in combating wildlife trafficking.
3. Needed CWT actions are prioritized by stakeholders	3.1. By the end of the project, Wildlife TRAPS has convened a Collaborative Action Planning (CAP) Workshop in at least four thematic areas that result in published recommendations of priority actions to combat wildlife trafficking. 3.2. Throughout the project, new work areas for priority CWT action are initiated with stakeholders outside of a CAP process in response to emerging issues and opportunities.
4. Priority CWT actions are implemented	4.1. Throughout Wildlife TRAPS, priority CWT actions* are being implemented (a) through Wildlife TRAPS annual work plans, (b) as a result of action prioritization, and funded* through Wildlife TRAPS but not included in Wildlife TRAPS work plans, and (c) as a result of action prioritization, but not funded through Wildlife TRAPS. 4.2. By the end of the project, there is evidence* of Wildlife TRAPS' increasing catalytic effect on implementation of priority CWT actions* by others.
5. Key stakeholders in each Wildlife TRAPS thematic area are engaged in CWT activities with Wildlife TRAPS and influencing others in their respective networks	5. By the end of the project, key* stakeholders in each thematic area are engaged in CWT activities with Wildlife TRAPS and there is evidence* that they are increasing the number and connectivity of others in their respective networks that are engaging in CWT.
6. Stakeholders enabled to implement needed CWT actions	By the end of the project, in each thematic area (as appropriate): 6.1. Thematic area-specific trainings have been offered and key stakeholders have participated; 6.2. Thematic area-specific materials* for improved practice are available, and being used by key stakeholders; 6.3. Thematic area-specific professional development opportunities* are available, and being used by key stakeholders; and 6.4. Mechanism(s)* in place for stakeholders in the thematic area network to communicate and collaborate, and being used by key stakeholders.
7. Stakeholder networks in each Wildlife TRAPS thematic area are sustainable and continue to take action to reduce wildlife trafficking	7. By the end of the project, member(s) of stakeholder networks in each thematic area are planning or implementing CWT actions that continue or expand upon Wildlife TRAPS work plan activities and are doing so without funding* from Wildlife TRAPS.
8. Desired Outcomes from CWT Actions Achieved - Cross Thematic (XC)	By the end of the project, in each thematic area: XC 8.1. All prioritized* CWT actions that have been implemented through Wildlife TRAPS annual work plans are completed*; XC 8.2. All prioritized* CWT actions that have been implemented with Wildlife TRAPS funding but were not included in Wildlife TRAPS annual work plans are completed* or show evidence of being near completion*; and XC 8.3. There is evidence that some prioritized* CWT actions that have been implemented without Wildlife TRAPS funding are near completion*.

Key Result	Outcome Statement(s)
8. Desired Outcomes from CWT Actions Achieved - Demand Reduction (DR)	<p>By the end of the project,</p> <p>DR 8.1. Messaging for target audiences identified for future focus is improved; and</p> <p>DR 8.2. There is evidence of reduced demand for illegal products.</p>
8. Desired Outcomes from CWT Actions Achieved – Law Enforcement (LE)	<p>By the end of the project,</p> <p>LE 8.1. NIAP countries in Central Africa will have improved compliance and transparency with the CITES process;</p> <p>LE 8.2. Cross-border and trans-continental coordination in wildlife crime investigations among NIAP countries in Central Africa will be improved;</p> <p>LE 8.3. In enforcement agencies in NIAP countries in Central Africa, critical capacity gaps in (a) data and information sharing, (b) specialized enforcement techniques, and (c) stockpile management, will be filled;</p> <p>LE 8.4. Multi-agency units will be in place at X ports to strengthen port transparency, screening, and security; and</p> <p>LE 8.5. In at least one jurisdiction where judiciary training was provided as a result of Wildlife TRAPS action prioritization, there is evidence of increased effectiveness in the prosecution of wildlife crime cases.</p>
8. Desired Outcomes from CWT Actions Achieved – Transportation Sector (TR)	<p>By the end of the project,</p> <p>TR 8.1. Wildlife trafficking will be incorporated into select industry standards, practices, and protocols;</p> <p>TR 8.2. Awareness of wildlife transport laws, policies, and industry guidelines will be increased in targeted transport sector audiences;</p> <p>TR 8.3. Targeted transport sector companies and ports have amended their training programs to address gaps in staff knowledge in detecting and reporting of wildlife trafficking incidents; and</p> <p>TR 8.4. Targeted transport sector companies have the internal mechanisms, protocols, and systems in place needed for personnel to report wildlife trafficking incidents.</p>
8. Desired Outcomes from CWT Actions Achieved – Wildlife Forensics (FOR)	<p>By the end of the project,</p> <p>FOR 8.1. A robust and scientifically compliant reference sample database for species in trade is developed; and</p> <p>FOR 8.2. Uptake and utilization of forensic science in law enforcement efforts is improved.</p>
8. Desired Outcomes from CWT Actions Achieved – Financial Sector (FIN)	<p>By the end of the project,</p> <p>FIN 8.1. International financial institutions improve systems to enable better reporting and investigation of wildlife crime offenders between financial institutions and investigative and asset recovery units; and</p> <p>FIN 8.2. Countries' abilities to seize and recover assets from middlemen and kingpins are improved.</p>
8. Desired Outcomes from CWT Actions Achieved – Community Engagement (CE)	<p>CE 8.1. Throughout the project, there is an increasing number of projects developed using the Beyond Enforcement methodology.</p>

IV. PHASE 2: ASSESSMENT OF PROJECT PROGRESS AND PERFORMANCE – OBJECTIVE AND METHODOLOGY

Objective

The revised monitoring framework (theory of change, outcome statements, and indicators) from Phase I provided the framework for Phase 2 of the Wildlife TRAPS assessment. Phase 2 focused in part on assessing the progress that Wildlife TRAPS has made in achieving the outcomes in the revised monitoring framework and identifying factors or conditions that are potentially affecting project progress. Also, because Wildlife TRAPS' theory of change assumes the project will influence and catalyze stakeholder actions, Phase 2 also assessed if there is evidence of Wildlife TRAPS' influence and catalytic effect, and which factors potentially affect its ability to influence or catalyze stakeholder actions to reduce wildlife trafficking. In initial discussions, MI assessors and the project leadership team hoped the assessment would be able to explore the effectiveness of various Wildlife TRAPS activities in achieving desired outcomes, but the monitoring to date has not produced the data needed to assess effectiveness.

The assessment sought to answer four specific questions:

1. To what extent have outcomes stated in the revised monitoring framework been achieved to date?
2. Are there particular factors or conditions that have impeded progress or facilitated success in achieving project outcomes?
3. What evidence exists to date of the ability of Wildlife TRAPS to influence or catalyze the actions of others in combating wildlife trafficking?
4. Are there particular factors or conditions that have impeded or facilitated the ability of Wildlife TRAPS to influence or catalyze the actions of others in combating wildlife trafficking?

Methodology

In Phase 2, to answer the assessment questions, the assessment team retrospectively compiled data from project documents and gathered input from key informants.¹⁰

Compilation of Retrospective Project Data

MI assessors retrospectively compiled data from FY 2013 to Quarter (Q) I FY 2018 project documents, including quarterly and annual reports, workshop proceedings, post-workshop surveys of participants, and annual work plans. The assessment team developed a data collection tool that was aligned with the revised monitoring framework and used to capture data and information gleaned from the project documents. The assessment team captured multiple types of information during document review, including descriptive details on all activities that Wildlife TRAPS undertook and reported; the type of activity and relevant thematic area; the fiscal year(s) an activity was undertaken and completed and whether it was in the corresponding work plan(s); stakeholders involved; the extent of Wildlife TRAPS influence; and the type of Wildlife TRAPS support provided. Wildlife TRAPS staff reviewed and validated all data collected before analysis.

Gathering of Key Informant Feedback

MI assessors developed interview and survey questions for key informants (see Annex B) with the project leadership team which also identified a list of key informants that included individuals who had worked with Wildlife TRAPS in a specific thematic area (all thematic areas were represented), were involved with project management and implementation, and/or were affiliated with USAID missions that had contributed funding to the project (see Annex C). Fourteen key informants participated in interviews, two submitted written responses to the interview questions, and two completed surveys (including one who was interviewed as well).

Data Limitations

Retrospectively compiled data. The accuracy and completeness of this data depends on the completeness of reporting in project documents and the accuracy of interpretation of the available information. MI assessors consulted with the Wildlife TRAPS Project Lead throughout the data-compilation process to validate the completeness and accuracy of the data. However, given the scope of project activities and the nature of project records to date, it is possible that the data used in the assessment is incomplete and/or has been interpreted incorrectly. Thus, findings should not be viewed as comprehensive but indicative of project activities and progress.

Feedback from key informants. Due to time and budget constraints and limited availability of targeted key informants, feedback was obtained from no more than two informants per thematic area. Mission input was obtained from only one person in three of the six missions that contributed funding. The input received cannot be considered as representing a thematic area or mission as a whole.

¹⁰ Key informants are individuals who agreed to be interviewed or who provided written responses to the survey.

V. PHASE 2: ASSESSMENT OF PROJECT PROGRESS AND PERFORMANCE – FINDINGS

Assessment Question #1: To What Extent Have Outcomes Stated in the Revised Monitoring Framework Been Achieved to Date?

For each key result within the manageable interest of the Wildlife TRAPS project (Key Results 1-6), findings derived from analysis of the retrospectively compiled data and from key informant feedback are discussed in turn. Key Results 7 and 8 are outside the manageable interest of Wildlife TRAPS; findings were derived for each as discussed below.

Key Result 1. Needs for combating wildlife trafficking (CWT) action identified and disseminated.

Outcome Statement:

Throughout the project, Wildlife TRAPS is responsive* to the needs of the global community for information to direct action in combating wildlife trafficking.

*Responsive is defined as: collects and analyzes needed data and makes information available through multiple channels.

Findings:

Analysis of retrospective data. Nine assessments have been completed to date with Wildlife TRAPS support (see Table 2 on page 21). Six assessments focus on the illegal trade in specific species or species products: ivory (2), rhino horn (jointly considered with ivory in one assessment), pangolins (2), and South African Abalone (2). Three assessments provide analyses of wildlife trafficking in specific geographies: Kenya (1), Democratic Republic of Congo and Central African Republic Garamba-Bili-Chinko transboundary landscape (1), and Uganda (1). The assessments were undertaken to address recognized gaps in the understanding of the status, trends, drivers, and impacts of wildlife trafficking between Africa and Asia. Three USAID missions (CARPE, Kenya, and Uganda) contributed funding explicitly for the development of the Garamba-Bili-Chinko transboundary landscape, Kenya, and Uganda assessments, respectively.

Wildlife TRAPS developed and implemented dissemination plans for each assessment, but the project initially did not systematically monitor audience response and uptake. With the hire of a Communications Officer in 2017 (half time to Wildlife TRAPS), that became possible. Data for all assessments on online views and downloads is provided in Table 2 (see page 21) along with data on media coverage for assessments published in 2017 and 2018. Wildlife TRAPS recently began tracking data on social media sharing, starting with the 2018 *Uganda Wildlife Trafficking Assessment*. This assessment was shared more than 93,700 times on Twitter and 1,213,200 times on Facebook, with Africa Geographic having the most shares on both platforms.

Key informant feedback:

- Nearly all key informants relayed that the assessments are highly valuable and have been used by themselves as well as colleagues. In addition to deepening their understanding of wildlife trafficking status and issues, key informants have used assessments to prioritize work areas, plan new work, identify potential partners, inform other assessments (e.g., International Consortium on Combating Wildlife Crime [ICCW]; Eliminate, Neutralize, and Disrupt Wildlife Trafficking Act), inform proposals or calls for proposals, and inform presentations.

- Having the assessments done through Wildlife TRAPS has reduced the need for stakeholder organizations to do their own. This reduces redundancy and streamlines work.
- Having ready access to the assessment findings is important. The willingness of researchers and the project team lead to discuss findings and provide briefings is valuable, as is having access to assessment findings before they are published. Multiple key informants noted the difficulty they have in locating the assessments online, as a simple search by project name yielded limited and mostly outdated and irrelevant information.

Table 2: Assessments Produced with Wildlife TRAPS Support and Available Dissemination Data. Assessments listed in reverse chronological order of publication date. ND – no data. Source of dissemination data: Wildlife Traps Project Lead, May 2018.

Assessment Title (Year)	# Page Views on TRAFFIC Website	# Downloads from TRAFFIC Website	# Media Hits	# Twitter Shares [top 5 sites]	# Facebook Shares [top 5 sites]
<i>Uganda Wildlife Trafficking Assessment (2018)</i>	527	117	14	93,700+	1,213,200
<i>An assessment of South African dried abalone <i>Haliotis midae</i> consumption and trade in Hong Kong (2018)</i>	531	222	23	ND	ND
<i>The Global Trafficking of Pangolins: A comprehensive summary of seizures and trafficking routes from 2010-2015 (2017)</i>	1373	576	10	ND	ND
<i>An Assessment of Poaching and Wildlife Trafficking in the Garamba-Bili-Chinko Transboundary Landscape (2017)</i>	705	190	11	ND	ND
<i>Ivory Markets in Central Africa Market Surveys in Cameroon, Central African Republic, Congo, Democratic Republic of the Congo and Gabon: 2007, 2009, 2014/2015 (2017)</i>	1419	346	11	ND	ND
<i>Observations of the Illegal Pangolin Trade in LAO PDR (2016)</i>	859	48	ND	ND	ND
<i>Wildlife Protection and Trafficking Assessment in Kenya Drivers and trends for transnational crime in Kenya and its role as a transit point for trafficked species in East Africa (2016)</i>	2768	72	ND	ND	ND
<i>South Africa's Illicit Abalone Trade: An updated overview and knowledge gap analysis (2014)</i>	1503	46	ND	ND	ND
<i>Illegal Trade in Ivory and Rhino Horn: An assessment to improve law enforcement under the Wildlife TRAPS Project (2014)</i>	1651	84	ND	ND	ND

- The nature, status, and impacts of wildlife trafficking criminal activities change rapidly. The value of assessments would increase if they were produced more quickly and if data was updated and shared more frequently.
- Due to the technical and logistical difficulty of the Garamba-Bili-Chinko transboundary landscape assessment, it was relatively costly to undertake and required more time and more USAID-reviewer editing than anticipated. While Wildlife TRAPS ultimately delivered a good product that was shared with other donors and partners, the quality of initial drafts was insufficient to inform some time-sensitive decisions by USAID. Some key informants felt that the assessment's overall value was not commensurate with the investment made.
- While the assessment of illegal wildlife trade in the Garamba-Bili-Chinko transboundary landscape provided useful information, the scope of this assessment may have been outside of TRAFFIC's normal niche, including fieldwork on the role of pastoralists in wildlife crime and its prevention.
- There were some issues with consultants brought on by the project to complete assessments. Early in the process of conducting some country assessments, consultants did not sufficiently coordinate, communicate, and consult with mission staff. This led missions to expend unexpected levels of support to ensure appropriate planning and coordination. The situation improved as work progressed. In another case, an envisioned assessment was not completed as the consultant's quality of work was not acceptable.
- Suggestions for additional assessments include Latin America trade dynamics, the impact of China's ivory ban, and illegal trade in marine species and species products other than the South African Abalone.

Key Result 2. Stakeholders engaged with and influenced by Wildlife TRAPS.

Outcome Statement:

Wildlife TRAPS convenes and participates in the global dialogue on wildlife trafficking such that there is evidence* that Wildlife TRAPS is increasingly influencing the activities of stakeholders in combating wildlife trafficking.

*Evidence of Wildlife TRAPS' increasing influence is an increasing proportion of Wildlife TRAPS-advised activities among all stakeholder-engagement activities in which Wildlife TRAPS is involved.

Findings:

Influence can be broadly defined as the power or capacity to change or affect someone or something. This power or capacity can be exerted in any number of ways such as through money, control, or thought leadership. In its activities with stakeholders, Wildlife TRAPS exerted its influence through funding, control over (i.e., level of responsibility for) agenda development and the selection of participants in a given activity, and thought leadership. The project aims to exert its greatest influence through thought leadership. The degree to which this is being achieved was assessed both quantitatively through analysis of the retrospectively compiled project data and qualitatively through the feedback received from key informants.

In considering the analysis of the retrospective data, it is important to note that the number of activities undertaken does not convey the level of investment (direct monetary support and staff time) made in different activities; this information was not available for this assessment. A different picture could emerge if the analyses were done with activities weighted by the investments made in them.

Analysis of retrospective data. Since the inception of Wildlife TRAPS in 2013, the project has been involved in nearly 200 diverse activities to engage with stakeholders to reduce wildlife trafficking between Africa and Asia. These activities are categorized along two dimensions: (1) by the type of influence Wildlife TRAPS has had in its activities to engage with stakeholders, and (2) by the types of activities through which it engaged with stakeholders. Findings related to these two dimensions are discussed in turn below.

Box 2. Categories of Wildlife TRAPS Influence

Wildlife TRAPS-convened activity – An activity for which Wildlife TRAPS had primary control in agenda development and selection of participants and was the primary funder of needed direct monetary support.

Wildlife TRAPS-co-convened activity – An activity for which Wildlife TRAPS had shared control in agenda development and selection of participants and was a major funder of needed direct monetary support.

Wildlife TRAPS-advised activity – An activity for which Wildlife TRAPS provided technical leadership, contributed to but did not control agenda development and selection of participants, and did not contribute direct monetary support (i.e., no funding beyond staff time and travel expenses).

Wildlife TRAPS-participated activity – An activity in which Wildlife TRAPS was involved solely as a participant. Wildlife TRAPS was not in a role of providing technical leadership; made minor, if any, contributions to agenda development or selection of participants; and did not contribute direct monetary support (i.e., no funding beyond staff time and travel expenses).

The project leadership team and MI assessors defined four categories of Wildlife TRAPS influence (see Box 2) to capture the various levels of funding the project may provide for an activity, and the degree to which the project may have control over (i.e., responsibility for) the agenda and selection of participants. Figure 3 summarizes the number of the project's direct-engagement¹¹ activities in each category of influence in each fiscal year across all thematic areas. Of the 194 identified activities undertaken by the project through Q1 FY 2018 and across all thematic areas, 13% (26) were convened by Wildlife TRAPS, 19% (36) co-convened, 44% (85) advised, and 24% (47) participated.

In Wildlife TRAPS-advised activities, project personnel are primarily involved to provide technical leadership while providing minimal funding and having only limited input into agenda development and selection of participants. As such, Wildlife TRAPS-advised activities best characterize the type of influence that Wildlife TRAPS aspires to, and the prevalence of this type of activity among all activities is used as an indicator for Key Result 2 of the level of influence the project exerts. Broader evidence of Wildlife TRAPS influence is considered under Assessment Question #3.

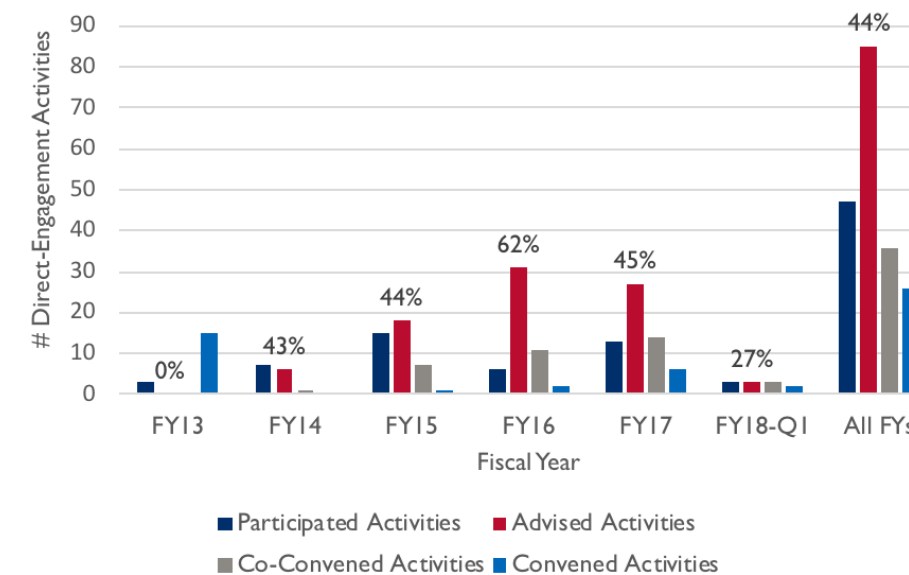


Figure 3: Number of Direct-Engagement Activities by Level of Wildlife TRAPS Influence in Each Fiscal Year Across All Thematic Areas. For each fiscal year, the percentage of activities that were Wildlife TRAPS advised is shown.

¹¹ Direct-engagement activities are those that involve person-person interaction as opposed to engagement through dissemination of written (e.g., assessments, practice guides, newsletters, etc.) or recorded (e.g., webinars) materials.

Since project inception, 44% of all activities undertaken by the project were Wildlife TRAPS-advised (see Figure 3). The data suggest an increase in the influence of Wildlife TRAPS through FY 2016 and then an apparent decrease in level of influence from FY 2016 to FY 2017 (FY 2018 data includes only Q1 activities). There are insufficient data points to conduct any meaningful trend analysis.

Figure 4 presents the project's level of influence in activities in each thematic area across all fiscal years. The level of influence in cross-cutting activities or those focused on wildlife trafficking generally rather than on a specific thematic area is also shown. Higher levels of influence (>50% Wildlife TRAPS-advised activities) are seen in the Financial Sector (79%), Law Enforcement (65%), and Demand Reduction (56%); a moderate level (>25-50%) is seen in the Transportation Sector; and lower levels of influence (0-25%) are seen in Wildlife Forensics (19%), the cross-cutting category (19%), and Community Engagement (0%).

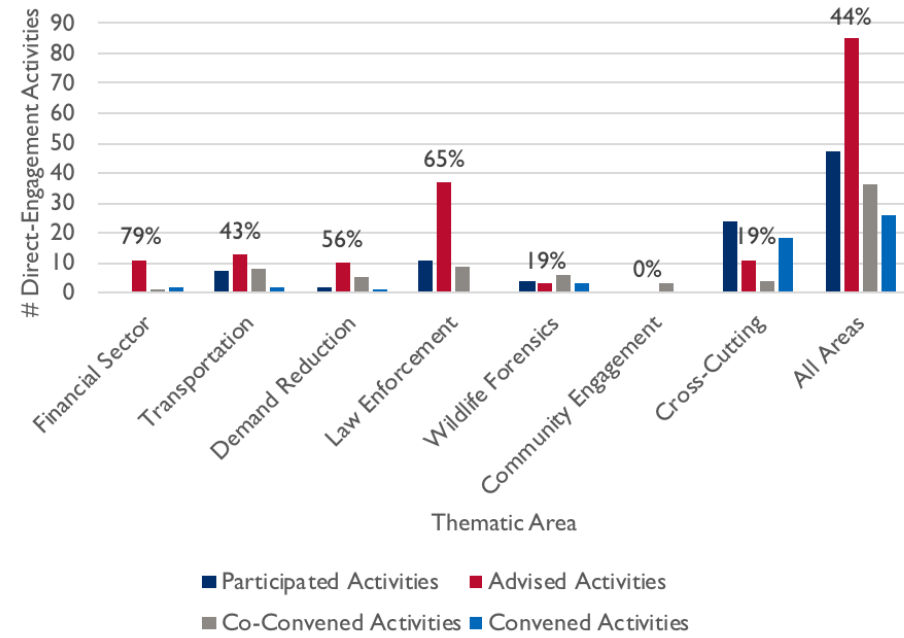


Figure 4: Number of Direct-Engagement Activities by Level of Wildlife TRAPS Influence in Each Thematic Area Across All Fiscal Years. For each thematic area category, the percentage of activities that were Wildlife TRAPS advised is shown. Activities that focused on wildlife trafficking generally rather than on specific thematic areas are included in the cross-cutting category.

In consultation with the Project Lead, MI assessors defined seven types of direct-engagement activities to characterize the nature of the activities through which Wildlife TRAPS engaged with stakeholders (see Box 3). Figure 5 on page 25 summarizes the numbers of each type of direct-engagement activity that Wildlife TRAPS

BOX 3. Types of Wildlife TRAPS Direct-Engagement Activities.

Collaborative Action Planning (CAP) workshops – Workshops convened by Wildlife TRAPS to define priority actions to combat wildlife trafficking in a given thematic area.

Meeting contributions – Meetings in which Wildlife TRAPS personnel have an explicit role in advancing the agenda of the meeting (e.g., presenter, panelist, discussant), as opposed to attending as an observer or audience member.

Stakeholder consultation and networking – Formal and informal discussions with stakeholders to explore opportunities for their new or further involvement in the work of the project or in the broad network of stakeholders working to reduce wildlife trafficking.

Advisory group service – Recurring service by Wildlife TRAPS personnel on multi-stakeholder advisory or working groups convened to guide or advance actions to combat wildlife trafficking in a given thematic area.

Direct technical assistance – Activities through which Wildlife TRAPS personnel share their technical expertise with a stakeholder to advance stakeholder efforts to combat wildlife trafficking.

Professional development support – Opportunities provided through Wildlife TRAPS support to individuals in stakeholder organizations to advance their career development; includes mentoring, peer assists, participation in expert roundtables, conference attendance, involvement in the piloting of innovative technologies, and learning exchanges.

was involved with in each fiscal year across all thematic areas. In FY 2013, stakeholder consultations and networking dominated the activities undertaken as the project focused on raising its profile and establishing relationships. In succeeding years, the diversity of activities increased as did the total number of activities in which the project was involved. Across all fiscal years, collectively 84% of Wildlife TRAPS' direct-engagement activities comprised contributions to meetings (40%), stakeholder consultations and networking (23%), and training workshops (21%).

Figure 6 summarizes the same data for number of direct-engagement activities of each type but presents the numbers of activities the project was involved in by thematic area across all fiscal years. More than half of the activities focused on Law Enforcement (29%) or wildlife trafficking generally (i.e., cross-cutting category; 29%). The Transportation Sector was engaged in 15% of project activities, while Demand Reduction, Wildlife Forensics, and Financial Sector activities accounted for less than 20% of total project activities.

It could be useful to know which types of activities have been more effective in building and strengthening the network of stakeholders working to reduce wildlife crime. Complete lists of stakeholder organizations and number (and gender) of participants were not compiled for most activities, so it is not possible in this assessment to identify the number or diversity of stakeholders that Wildlife TRAPS engaged through different types of activities or in each thematic area. Available information on the nature and scope of stakeholders engaged through the project is discussed under Key Result 5.

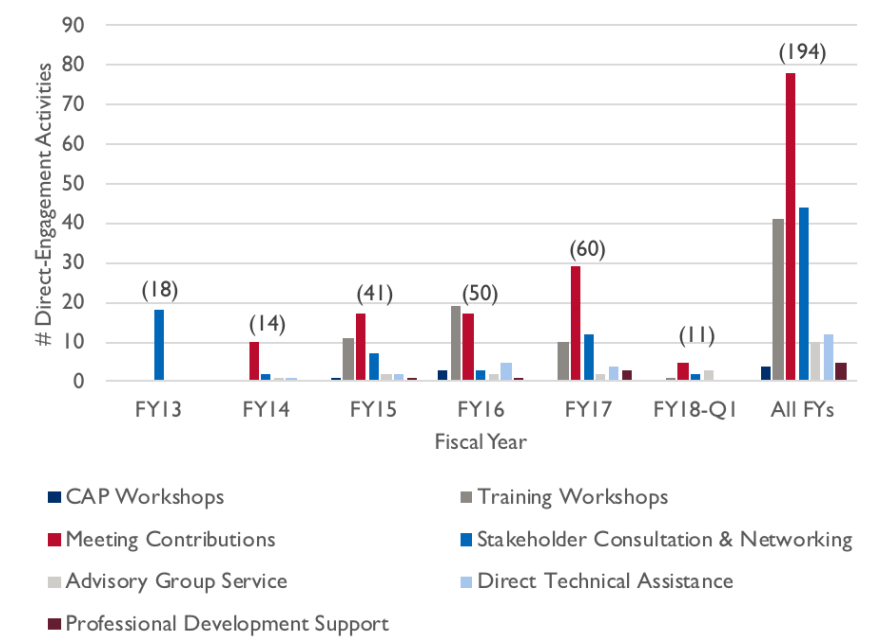


Figure 5: Number of Wildlife TRAPS Direct-Engagement Activities by Type in Each Fiscal Year Across All Thematic Areas. The number in parenthesis is the total number of activities for each time period.

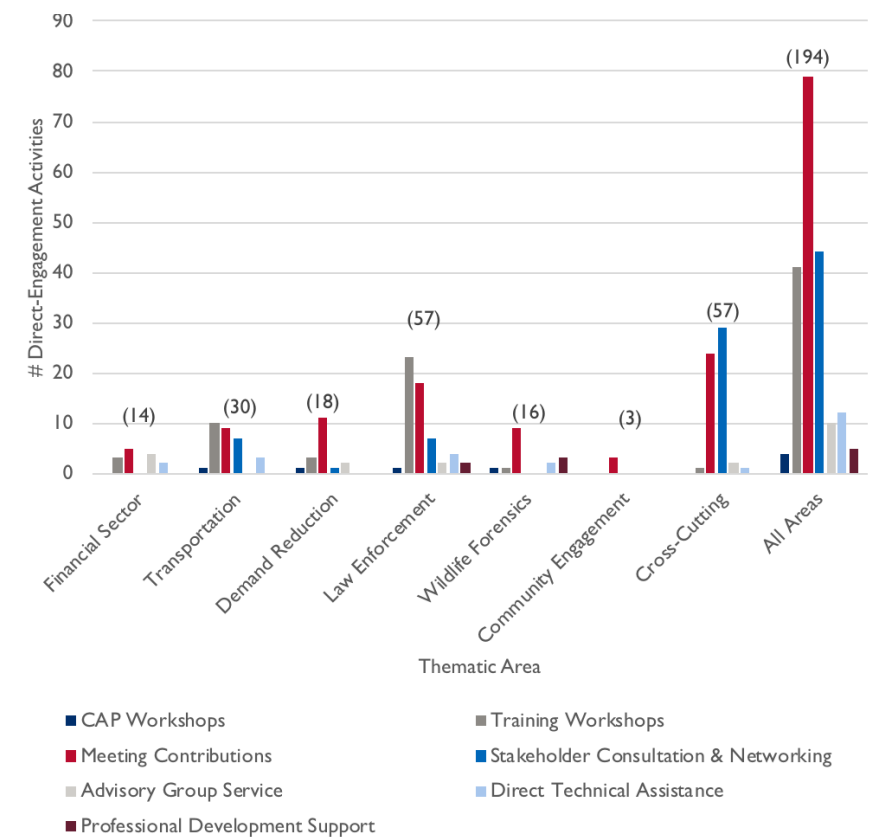


Figure 6: Number of Wildlife TRAPS Direct-Engagement Activities by Type in Each Thematic Area Across All Fiscal Years. The number in parenthesis is the total number of activities for each thematic area category. Activities that focused on wildlife trafficking generally rather than on specific thematic areas are included in the cross-cutting category.

Key informant feedback:

- There is little recognition of Wildlife TRAPS as a project. Its influence is expressed through the thought leadership and relationships of the organizations and personnel implementing it.
- TRAFFIC is very well regarded as an unbiased source of information on illegal wildlife trade, respected for its evidence-based approach to the development of strategies to combat wildlife trafficking, and considered a thought leader in the global dialogue to reduce illegal trade.
- Wildlife TRAPS' Project Lead, Nick Ahlers, is acknowledged as a driving force in raising awareness of the multi-sectoral nature of wildlife trafficking, its relevance to new stakeholders and sectors, and in building the cross-sector bridges needed to enable multi-sectoral action. He is a trusted collaborator with deep understanding of the issues.
- USAID is lauded for its leadership in using its convening power to enable a multi-sectoral dialogue on combating wildlife trafficking, and its willingness to take the risks necessary to catalyze action at the scale and of the scope needed to effectively stop illegal wildlife trade.

Key Result 3. Needed CWT actions are prioritized by stakeholders.

Outcome Statements:

1. By the end of the project, Wildlife TRAPS has convened a CAP workshop in at least four thematic areas that result in published recommendations of priority actions to combat wildlife trafficking.
2. Throughout the project, new work areas for priority CWT action are initiated with stakeholders outside of a CAP process in response to emerging issues and opportunities.

Findings:

Analysis of retrospective data. Wildlife TRAPS co-convened CAP workshops with other partners in four thematic areas (Transportation Sector, Law Enforcement, Demand Reduction, and Wildlife Forensics; see Table 3 on page 27) and published workshop proceedings. Workshop participants collaboratively identified recommended priority actions (see Annex D). The scope of these recommendations varied across the thematic areas, with those from the transportation sector and demand reduction CAP workshops more broadly focused. The transportation workshop focused on actions to reduce wildlife smuggling along entire transportation and supply chains; the demand reduction workshop focused on actions to reduce consumer demand for illegal wildlife products. The law enforcement and wildlife forensics workshops were more tightly focused, specifically on support of implementation of National Ivory Action Plans (NIAPs) and internationalization of the Rhino DNA Index System® (RhODIS®), respectively.

Early in the project, USAID and TRAFFIC decided that Wildlife TRAPS would support only four CAP workshops. As the project evolved and relationships with an expanding set of stakeholders grew, opportunities emerged to engage stakeholders in reducing wildlife trafficking through actions beyond those identified in the CAP workshops. New areas for collaborative action (referred to as new work areas) emerged in four thematic areas. Table 4 on page 27 identifies these new work areas and the rationale for pursuing them as priorities for stakeholder action in combating wildlife trafficking.

Feedback from post-workshop participant surveys:

- CAP workshops were very useful in raising participants' awareness of wildlife trafficking issues; building trust and relationships; and sharing knowledge, expertise, and ideas among diverse stakeholders.
- CAP workshops resulted in a general commitment among stakeholders to work together and generated ideas for ways in which different stakeholders can take action and collaborate. Several respondents expressed desire for more focused sets of recommended explicit activities rather than recommendations for general types of action.

Table 3: Collaborative Action Planning (CAP) Workshops Co-Convened by Wildlife TRAPS.

CAP Workshop Thematic Area [location, date]	Proceedings Title (date)	# Resulting Recommended Priority Actions	# Participating Organizations	# Participants
Transportation Sector [Bangkok, January 2015]	Countering Illegal Wildlife Trade: Collaborative Actions Along Transportation and Supply Chains Consultative Workshop (2015)	45	27	54
Law Enforcement [Kinshasa, November 2015]	Workshop Proceedings: Sub-Regional Action Planning to Strengthen Regional Collaboration. Support of the Implementation of National Ivory Action Plans (NIAPs) in Central Africa (2016)	6	25	43
Demand Reduction [Hong Kong, March 2016]	Changing Behaviour to Reduce Demand for Illegal Wildlife Products. Workshop Proceedings (2016)	23	58	92
Wildlife Forensics [Pretoria, June 2016]	RhODIS® (Rhino DNA Index system). Collaborative Action Planning Workshop Proceedings (2017)	7	32	50

Table 4. New Work Areas for Wildlife TRAPS Engagement with Stakeholders. The rationale for each new work area was provided by the Wildlife TRAPS Project Lead.

Thematic Area	New Work Area(s)	Rationale
Financial Sector	Engage financial institutions and financial intelligence units	Early in the project, engaging the financial sector was identified as a potential area of work. This work area was initiated through opportunities presented to the project by key partners (e.g., United Nations Office on Drugs and Crime [UNODC]) and it has developed into a fully-fledged body of work.
Wildlife Forensics	Expand wildlife forensic capacity beyond rhinos	The wildlife forensics CAP workshop focused on rhinos and RhODIS® because it provided a good entry point for TRAFFIC and technical partners to explore the opportunities and operational challenges associated with using forensics for enforcement applications between Africa and Asia. In the CAP workshop, a whole range of non-rhino related work was identified that would advance this field and improve the application of forensics to illegal wildlife trade.
Law Enforcement	Build judiciary and investigative capacity	The law enforcement CAP workshop was focused on the NIAP process because it provided a focused topic on which to engage partners in Central Africa. The law enforcement workstream within Wildlife TRAPS has always focused on activities beyond the NIAPs. This has included targeted work with law enforcement and the judiciary via strategic partners, including UNODC and the World Customs Organization (WCO).
	Support conservation of the South African Abalone	Wildlife TRAPS has been one of the few initiatives globally that has focused on South African Abalone as a species that is not only heavily traded illegally, but also representative of wider issues related to natural resource governance, corruption, permitting, connections with other organized crime, and consumer demand. Therefore, it has presented several opportunities within the law enforcement workstream to inform actions via trade data analysis and training, and scope out innovative traceability systems in the future.
Community Engagement	Support learning and exchange around community engagement in combating wildlife crime	As the project was starting, there was an increasing global focus on anti-poaching, but it was felt that the perspectives and roles of communities in combating wildlife trafficking were largely under-represented. Evidence on effective community-led interventions and sustainable-use models is not robust enough to drive high-level policy engagement and evidence-based project development. Therefore, the project invested resources together with partners to build an evidence base and associated theory of change framework to improve interventions in partnership communities.



A community ranger observes a family of elephants near Kauro, Sera. Photo Credit: Northern Rangelands Trust.

Key informant feedback:

- Using a collaborative process such as a CAP workshop to define shared priorities is important. One key informant felt that the convening of forums and opportunities to build a common understanding is a “must” and “organizations that have the power to convene should do so.”
- CAP workshops were instrumental in creating and strengthening stakeholder relationships. They also fostered a shared understanding of wildlife trafficking issues and the role different sectors can play in reducing wildlife trafficking, and development of a common language for multi-stakeholder and cross-sector discussions. Some felt that these outcomes were more important than the priority actions defined.
- The transportation CAP workshop was hailed by key informants as “a game changer” and “a pivotal” meeting. It was viewed as catalyzing the engagement of the airline sector in the fight against wildlife trafficking.
- The demand reduction CAP workshop was considered “groundbreaking” by multiple key informants and characterized as the “largest of its kind” in bringing together diverse stakeholders. It was considered instrumental in bringing social and behavioral science into the broad dialogue around demand reduction and increasing the appetite for its application.

Key Result 4. Priority CWT actions are implemented.

Outcome Statements:

1. Throughout Wildlife TRAPS, priority CWT actions* are being implemented (A) through Wildlife TRAPS annual work plans, (B) as a result of action prioritization *and* funded** through Wildlife TRAPS but not included in Wildlife TRAPS work plans, and (C) as a result of action prioritization, *but not funded* through Wildlife TRAPS.
2. By the end of the project, there is evidence*** of Wildlife TRAPS’ increasing catalytic effect on implementation of priority CWT actions* by others.

*Priority CWT actions are those that stakeholders in a given thematic area collaboratively identified as priorities.

**Wildlife TRAPS funding includes Wildlife TRAPS staff time and travel as well as direct monetary support.

***Evidence of Wildlife TRAPS’ increasing catalytic effect is an increasing proportion of all implemented priority CWT actions that are implemented as a result of Wildlife TRAPS action prioritization (Pathways B and C above) rather than through the work plan (Pathway A above).

Findings:

The Wildlife TRAPS theory of change assumes that project efforts to engage stakeholders and collaboratively define priority actions to reduce wildlife trafficking will result in priority actions being implemented in part through stakeholder activities catalyzed by the stakeholder’s engagement with Wildlife TRAPS but not part of Wildlife TRAPS’ work plans. Priority actions can be identified through a CAP-workshop process or through a less formal, consultative process with stakeholders such as was used to define the new work areas for priority CWT action discussed under Result 3. This analysis of progress towards Result 4 considers only the implementation of actions defined through a CAP-workshop process. Thus, success in implementing the priority CWT actions identified through the CAP-workshop processes is characterized not only by the extent to which the actions are being implemented, but also the extent to which Wildlife TRAPS has catalyzed stakeholders to undertake those actions. The assessment team looked at both of these aspects of success through analysis of the retrospectively compiled project data and feedback received from key informants.

Analysis of retrospective data. In development of the project’s revised monitoring framework, the project leadership team identified three pathways through which prioritized CWT actions are implemented: (1) through activities included in Wildlife TRAPS work plans (Pathway A); (2) through activities outside the work plans but receiving some Wildlife TRAPS funding in the form of staff time, travel expenses, or direct monetary support (Pathway B);¹² and (3) through activities undertaken by stakeholders independently of Wildlife TRAPS (Pathway C). Implementation of activities through either Pathway B or C could be evidence of a catalytic effect of the project; that is, evidence that the outputs and/or activities of Wildlife TRAPS motivated or inspired stakeholders to implement the defined priority CWT actions. Independent stakeholder implementation of priority CWT actions (Pathway C) is clear evidence of the desired catalytic effect. The project leadership team noted, however, that not all project-funded activities implemented outside the work plan (through Pathway B) should be characterized as a catalytic effect of the project as they may have been activities initiated by Wildlife TRAPS in response to an opportunity that emerged after a work plan was developed. MI assessors explored whether or not activities to implement priority CWT actions through Pathway B should appropriately be characterized as evidence of the project’s catalytic effect.

Table 5 on page 30 summarizes progress made to date in implementing the four sets of priority CWT actions (see Annex D) defined in the CAP workshops for Demand Reduction, Law Enforcement (NIAPs), the Transport Sector, and Wildlife Forensics (RhODIS®). In all cases, more than 50% of the defined actions have been implemented through at least one activity undertaken by Wildlife TRAPS or other stakeholders. Furthermore, in each thematic area, more than 10 stakeholder organizations (including multiple key stakeholders) have implemented at least one activity for any priority action.

¹² Activities implemented through Wildlife TRAPS that are not in the current work plan are communicated to USAID and approved as may be required.

Table 5: Implementation of Priority Combating Wildlife Trafficking (CWT) Actions Defined Through the CAP-Workshop Process. TRAFFIC is included in the number of stakeholder organizations implementing priority CWT actions and is counted only once regardless of how many TRAFFIC projects (e.g., Wildlife TRAPS, ROUTES) or other internal entities are involved.

Thematic Area	# Priority CWT Actions Defined	# Priority CWT Actions Implemented (% total)	# Stakeholder Organizations Implementing Priority Actions	Key Stakeholder Organizations Implementing Priority Actions
Demand Reduction	23	13 (57%)	17	Key stakeholder organizations not identified
Law Enforcement - NIAPs	6	4 (67%)	22	<ul style="list-style-type: none"> CITES Secretariat Ministry of Forests and Wildlife, Cameroon WWF
Transportation Sector	45	28 (62%)	27	<ul style="list-style-type: none"> DHL DHL eCommerce (Vietnam) DHL Singapore Etihad Airways International Federation of Freight Forwarders Association Tanzania Freight Forwarders Association World Customs Organization WWF
Wildlife Forensics – Rhino DNA Index System® (RhODIS®)	7	5 (71%)	14	<ul style="list-style-type: none"> CITES Secretariat Netherlands Forensics Institute RhODIS® Society for Wildlife Forensic Science – Technical Working Group Tools and Resources for Applied Conservation and Enforcement

Any one priority action can be implemented through multiple activities undertaken by multiple stakeholders. Conversely, any one activity can be undertaken to implement multiple priority actions. The total numbers of unique activities undertaken to implement any priority action defined in the four CAP workshops are presented in Table 6 (see page 31) and are categorized according to the pathway of activity implementation, year of implementation, type of Wildlife TRAPS influence, and type of Wildlife TRAPS funding received. Transportation Sector priority actions were advanced by the most activities, Wildlife Forensics priority actions by the least. Priority actions for the Transportation Sector and Wildlife Forensics have been implemented through all pathways; no priority actions for Demand Reduction or Law Enforcement have been implemented through Pathway C. In all thematic areas, implementation of actions was dominated by activities included in Wildlife TRAPS work plans (Pathway A). Across all thematic areas, 74 actions were implemented through Pathway A, 17 through Pathway B, and only five through Pathway C.

While it was anticipated that activities implemented through either Pathway B or C would be evidence of a catalytic effect of Wildlife TRAPS, examination of available information suggests that most, if not all, activities to implement priority actions through Pathway B should not be characterized as such. Most of the 17 actions implemented through Pathway B were presentations made by TRAFFIC or were opportunistic networking and awareness-building opportunities. Also implemented through Pathway B were two training activities: one in which a project staff member was a participant and a second in which Wildlife TRAPS delivered a training at the USAID Environment Officers' Conference on Social and Behavioral Change Communications (SBCC). Consequently, in this assessment, only activities implemented by stakeholders independently of Wildlife TRAPS (Pathway C) are considered as catalyzed by the project.

Table 6: Characteristics of Activities Undertaken to Implement Priority CWT Actions Defined Through the CAP-Workshop Process. For each set of priority CWT actions defined through a CAP workshop, the total number of unique activities undertaken by stakeholder organizations to implement any of the priority actions is provided and categorized according to the pathway of activity implementation, year of implementation, type of Wildlife TRAPS influence, and type of Wildlife TRAPS funding received. Three pathways of activity implementation are defined: (A) through the Wildlife TRAPS work plan, (B) outside of the Wildlife TRAPS work plan but with some type of Wildlife TRAPS funding, and (C) independently of Wildlife TRAPS. See Box 2 on page 23 for description of categories of Wildlife TRAPS influence. "W-TRAPS" denotes Wildlife TRAPS.

Thematic Area of CAP Workshop-defined Priority CWT Actions	# Activities Undertaken to Implement Priority Actions	# Per Implementation Pathway	# Per FY	# Per Type of Wildlife TRAPS Influence	# Per Type of Wildlife TRAPS Funding
Demand Reduction	24	Pathway A: 15 Pathway B: 9 Pathway C: 0	FY 2013: 0 FY 2014: 0 FY 2015: 1 FY 2016: 2 FY 2017: 17 FY 2018: 4	W-TRAPS convened: 3 W-TRAPS co-convened: 8 W-TRAPS advised: 11 W-TRAPS participated: 2 No W-TRAPS engagement: 0	Staff time: 24 Staff travel: 12 Direct monetary support: 5
Law Enforcement - NIAPs	27	Pathway A: 24 Pathway B: 3 Pathway C: 0	FY 2013: 0 FY 2014: 0 FY 2015: 7 FY 2016: 10 FY 2017: 9 FY 2018: 1	W-TRAPS convened: 0 W-TRAPS co-convened: 3 W-TRAPS advised: 24 W-TRAPS participated: 0 No W-TRAPS engagement: 0	Staff time: 27 Staff travel: 24 Direct monetary support: 2
Transportation Sector	39	Pathway A: 29 Pathway B: 6 Pathway C: 4	FY 2013: 0 FY 2014: 0 FY 2015: 14 FY 2016: 11 FY 2017: 10 FY 2018: 4	W-TRAPS convened: 2 W-TRAPS co-convened: 7 W-TRAPS advised: 19 W-TRAPS participated: 7 No W-TRAPS engagement: 4	Staff time: 34 Staff travel: 23 Direct monetary support: 8
Wildlife Forensics - RhODIS®	8	Pathway A: 6 Pathway B: 1 Pathway C: 1	FY 2013: 0 FY 2014: 1 FY 2015: 0 FY 2016: 3 FY 2017: 3 FY 2018: 1	W-TRAPS convened: 0 W-TRAPS co-convened: 3 W-TRAPS advised: 2 W-TRAPS participated: 2 No W-TRAPS engagement: 1	Staff time: 4 Staff travel: 4 Direct monetary support: 3

There were four activities implemented through Pathway C in the Transport Sector and one in Wildlife Forensics. Catalyzed Transportation Sector activities include articles by Etihad Airways (2; FY 2017, FY 2018) and DHL (1; FY 2017) to raise awareness of wildlife trafficking issues among their constituents, and an FY 2015 website update by the International Federation of Freight Forwarders Association (FIATA) to include TRAFFIC as a partner and provide information on illegal wildlife trade issues. In Wildlife Forensics, independent of Wildlife TRAPS, Dr. Ross McEwing, director of Tools and Resources for Applied Conservation and Enforcement (TRACE), participated in meetings with and contributed to a 4-day training for forensics colleagues in Hong Kong in FY16.

Note that the analysis for Result 4 includes information only on activities gleaned from project reports and discussions with project staff, and only on activities undertaken to implement priority actions defined through the four CAP workshops. Other activities undertaken by stakeholders to implement these defined priority actions were explored with key informants and are noted below. Stakeholder activities influenced and catalyzed by Wildlife TRAPS to implement actions to combat wildlife trafficking in work areas outside the scope of the CAP workshops are discussed under Assessment Question #3.

Key informant feedback:

- Independent of Wildlife TRAPS, Etihad Airways has implemented two activities that advance the defined priority actions beyond those captured through the analysis of retrospectively compiled data. They (1) developed an Animal Welfare and Conservation Policy that was publicly released in October 2016, and (2) partnered with the International Fund for Animal Welfare to provide training to ground handlers.
- A common theme in the feedback is the great value in bringing people together to discuss and focus shared priorities. However, several informants noted the challenge of keeping the momentum going and in translating the call for action into action. People get inspired at workshops “but then they go home and get swamped.”
- Many informants also noted that there are overlapping priorities across agencies and various efforts to mobilize collaborative action to reduce wildlife crime resulting in stakeholders having competing priorities for their action. One informant shared that the CAP-defined priority actions are “not really driving my priorities, I have been focused on our responsibility as a signatory to [a set of priority actions defined outside of Wildlife TRAPS processes]. I see Wildlife TRAPS as a resource to implement those priorities.”

Key Result 5. Key stakeholders in each Wildlife TRAPS thematic area are engaged in CWT activities with Wildlife TRAPS and influencing others in their respective networks.

Outcome Statement:

By the end of the project, key stakeholders* in each thematic area are engaged in CWT activities with Wildlife TRAPS, and there is evidence** that they are increasing the number and connectivity of others in their respective networks that are engaging in CWT.

*Key stakeholders are individuals and entities with high influence in their respective sector (e.g., industry associations, regulatory bodies, champions in thematic area, strategic partners).

**Evidence will be metrics of # network linkages and connectivity as provided by chosen network-analysis software – explicit metrics will be defined after software is chosen and piloted.

Findings:

Analysis of retrospective data. The Wildlife TRAPS theory of change assumes that project engagement with stakeholders will influence stakeholder work and that engagement of key stakeholders will lead them to influence others in their respective networks. Since FY 2014, the development and continuous updating of a stakeholder map has been in the Wildlife TRAPS work plans. The FY 2014 – FY2017 work plans state that the mapping exercise entails “understanding existing partner relationships, the frequency and depth of engagement between agencies, and identify weaknesses or opportunities to foster and strengthen working relationships between both traditional and non-traditional partners.” Furthermore, in these work plans, it was envisioned that an initial map would be completed early in the project to serve as a baseline to “demonstrate a change or evolution of existing or new relationships that have been developed or strengthened as a result of project activities.” The project developed lists of the stakeholders that it is already engaging and identified key stakeholders among them for some thematic areas. The numbers of stakeholder organizations and key stakeholder organizations in each of these thematic areas are provided in Table 7 on page 33. Project staff are in the process of developing maps for each of these thematic areas that consider the level of influence, interest, or importance of different stakeholders; number of connections between the project and stakeholders and among stakeholders; and the strength of relationships and knowledge flows. In the absence of the stakeholder maps, there is insufficient data in project reports on stakeholder network composition or strength to assess progress towards this outcome beyond the lists of key stakeholders engaged.

Key informant feedback on project efforts to engage stakeholders and build relationships among stakeholders is provided below.

Table 7: Stakeholder Organizations Engaged by Wildlife TRAPS. Not included are data from a list of individuals involved in the Social and Behavioral Change Communications (SBCC) Community of Practice that the project maintains for the demand reduction thematic area. For the law enforcement thematic area, a list of stakeholder organizations has been developed for only those involved in National Ivory Action Plan (NIAP) work.

Thematic Area	# Stakeholder Organizations	# Key Stakeholder Organizations
Law Enforcement – NIAPs	28	8
Transportation Sector	49	10
Wildlife Forensics	38	8
Financial Sector	21	5

Key informant feedback:

- Many key informants reported that project staff have done a good job in building networks in both governments and civil society. It was noted that there is often skepticism among law enforcement personnel about the role of NGOs in reducing wildlife trafficking, but TRAFFIC has demonstrated its value. In one case, a TRAFFIC staff member was invited by a stakeholder to an important meeting with the Chinese government, where NGOs were not invited, because “they know how to work with government.”
- Examples shared of how project staff and activities helped make new or build stronger relationships among stakeholders include:
 - The process of developing the Kenya assessment enabled a “breakthrough” in mission relations with the Kenya Wildlife Service (KWS). Although not due to the workshop alone, the sense of ownership it gave to participants contributed to “opening doors and increasing transparency” with KWS.
 - Wildlife TRAPS’ sponsorship of forensics specialists from Africa and Asia to attend a conference of the Society for Wildlife Forensic Science “led to lasting relationships” and enabled “international networking and collaboration in wildlife forensics.”
- The project has fostered important partnerships between TRAFFIC and ICCWC with strategic areas of work outlined through memoranda of understanding with the United Nations Office on Drugs and Crime (UNODC) and the World Customs Organization (WCO) as well as targeted activities with the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and the International Criminal Police Organization (INTERPOL).
- Although acknowledging the valuable work done through Wildlife TRAPS to build relationships and stakeholder networks, one key informant shared, “I’m struggling to understand if [Wildlife TRAPS] is working with the right people or just inviting new actors rather than making critical connections.”
- Multiple informants questioned whether the project is fully leveraging the IUCN network.
- Some suggestions were shared of how networks could be strengthened:
 - For Community Engagement, “boost the ability of communities to have a voice in the arenas where decisions are made.” It was suggested that Wildlife TRAPS “could help by bringing the right voices to the table” to increase the visibility and participation of communities.
 - For Wildlife Forensics, create a working group that meets regularly to guide and facilitate network communication and collaboration. Bring in new forensic laboratories as they are established. Establish in-country networks to involve scientists in investigations and support prosecutions.
 - For the Transportation Sector, engage cargo ground handlers at airports more broadly in awareness-building efforts and trainings.

Key Result 6. Stakeholders enabled to implement needed CWT actions.

Outcome Statements:

By the end of the project, in each thematic area (as appropriate):

1. Thematic area-specific trainings have been offered and key stakeholders have participated;
2. Thematic area-specific materials* for improved practice are available, and being used by key stakeholders;
3. Thematic area-specific professional development opportunities** are available, and being used by key stakeholders; and
4. There is a mechanism*** in place for stakeholders in the thematic area network to communicate and collaborate.

*Materials include guides, toolkits, typologies, modules, webinars, standard operational procedures, etc.

**Professional development opportunities include mentoring, peer assists, expert roundtables, conference attendance, piloting new technologies, learning exchanges, etc.

***Mechanisms include virtual communities of practice, task forces, information-exchange platforms, etc.

Findings:

Analysis of retrospective data. Wildlife TRAPS provided a range of trainings, materials,¹³ professional development opportunities, and mechanisms to support collaboration and communication among stakeholders. Summarized by thematic area, these include:

- Demand Reduction – Two trainings were provided in Social and Behavioral Change Communications (SBCC). Materials provided include content for the [Wildlife Consumer Behavior Change Toolkit](#), Changing Demands webinar series, SBCC Community of Practice monthly newsletters, briefing notes, and the Monitoring and Evaluation Good Practices Guidelines. The SBCC Community of Practice provides a mechanism for network communication and information sharing.
- Law Enforcement – Twenty-five trainings were provided to diverse audiences on topics including wildlife law enforcement procedures, wildlife law, operational planning, intelligence-gathering; wildlife trade trends and hotspots; species and wildlife product identification; and new technologies. Also provided were a law enforcement guide and a training module and an opportunity for Asian customs officials to participate in training in Africa. The Elephant Trade Information System (ETIS) and the Africa-Trade in Wildlife Information eXchange (Africa-TWIX) provide platforms for data sharing.
- Transportation Sector – Ten trainings were provided for the UNODC/WCO Container Control Program and to air transport industry (airlines, freight forwarders, etc.) personnel. Materials provided include Etihad Airways training modules and the revised banned goods list for DHL. UNODC/WCO provides a platform for data sharing (Container Comm).
- Wildlife Forensics – One training in DNA testing was provided. Materials provided include forensics samples and wildlife forensics training content. Four professional development opportunities were provided including sponsorship of African and Asian forensic scientist attendance at two Society for Wildlife Forensic Science meetings.
- Financial Sector – Three trainings were provided on typologies and the detection of money laundering. Materials provided include money laundering case studies and typologies. The Financial Institution Task Force on Illegal Wildlife Trade may evolve as a mechanism for network communication and fostering collaboration.
- Community Engagement – There have been no trainings, materials, professional development opportunities, or mechanisms for network communication or collaboration yet provided in this thematic area. However, other stakeholders (e.g., the International Institute of Environment and Development [IIED]) have produced resources that build upon the Beyond Enforcement theory of change for community engagement in combating wildlife trafficking that was developed with support from Wildlife TRAPS.

Table 8 (see page 36) summarizes the participation in or use of trainings, materials, professional development opportunities, and collaboration and communication mechanisms provided through Wildlife TRAPS by key stakeholder organizations. In all thematic areas except Community Engagement, the project provided at least three of the four types of resources, including at least one training and one material. For the four thematic areas in which resources were provided and for which key stakeholder organizations were identified (i.e., Law Enforcement, Transportation Sector, Wildlife Forensics, Financial Sector), several key stakeholder organizations used or participated in at least one offering of any type of resource, and at least one key stakeholder organization used or participated in each type of resource offered.

Key informant feedback:

Note: this feedback applies to resources provided through the project except the assessments, although some comments are applicable to assessments and are also noted in Key Result 1.

- There was not a lot of feedback on the use or value of specific resources beyond the assessments (and except as noted below) other than that key informants found materials useful and trainings were well received.
- The professional development opportunities provided through Wildlife TRAPS were deemed extremely valuable by multiple key informants, particularly its sponsorship of forensic scientists to attend professional conferences and the support provided so Asian forensic scientists and customs officials could attend workshops and trainings in Africa.
- One informant offered several thoughts on the Wildlife Consumer Behaviour Change Toolkit, calling it a “great start” and a “useful repository of resources,” many of which are frequently shared with colleagues. It was noted that it is often more convenient to listen to webinar recordings than to participate live; however, links for some webinars were expired or did not work. Regarding the SBCC Community of Practice newsletter, “I really enjoy getting these periodic newsletters and almost invariably forward them to colleagues.”
- As noted for assessments as well, multiple informants relayed a need for broader sharing of materials produced through the project. They are “very difficult” to locate online. A search for Wildlife TRAPS on the USAID Biodiversity Conservation Gateway takes one to a page with a brief outdated project description and a dead link to press releases. A search on TRAFFIC.org yields outdated job-vacancy announcements, one project-supported assessment, and a multitude of unrelated items.
- Many informants identified needs for further resources that are summarized by thematic area below. It is worthwhile to note that in all thematic areas, development of the identified needed resources would be broadly aligned with or would build upon priority actions defined through the CAP workshops or new work areas identified for priority action.
 - Wildlife Forensics – Need new and refined techniques and tests; samples and reference data; resources to assist technology transfer between labs in different countries, both equipment and training; trainings harmonized to an international standard; and training and resources to enhance the quality and credibility of forensic evidence for prosecutions.
 - Demand Reduction – “Need tailored materials, not more materials” for governments to launch their own campaigns. Materials need to be “streamlined, less pedantic and academic,” and consider the unique roles that government agencies play (“they are enforcement authorities that make decisions, they don’t just put up posters”).
 - Law Enforcement – Provide updated information on the status and trends in illegal trade and synthesize so enforcement personnel “can get the big picture.”
 - Transportation Sector – Make resources easily accessible through the International Air Transport Association (IATA). Need templates so companies can adapt materials for their own use, updated statistics and help messaging them, and “decent” animal pictures.
 - Financial Sector – Provide banks with robust, reliable information that has been scrutinized by an organization that understands illegal wildlife trade. Also need typological information.
 - Community Engagement – Need capacity building for communities to network and organize to increase their voice and power, and sponsor attendance of community representatives at meetings.

¹³ Note that the assessments produced through Wildlife TRAPS are not included among the materials summarized under Result 6.

Table 8. Key Stakeholder Organizations Participating in or Using Trainings, Materials, Professional Development Opportunities, and Collaboration and Communication Mechanisms Provided through Wildlife TRAPS.
Key stakeholder organizations were not identified for the demand reduction and community engagement thematic areas.

Thematic Area	Trainings			Materials [includes guides, toolkits, typologies, modules, webinars, standard operational procedures]			Professional Development Opportunities [includes mentoring, peer assists, expert roundtables, conference attendance, piloting new technologies, learning exchanges]			Collaboration & Communication Mechanisms [includes virtual communities of practice, task forces, information exchange platforms]			# Key Stakeholder Organizations Using Any Type of Support Tool (total # Key Stakeholder Organizations)
	# Available	# Key Stakeholders Participating	Participating Key Stakeholders	# Available	# Key Stakeholders Using	Participating Key Stakeholders	# Available	# Key Stakeholders Participating	Participating Key Stakeholders	# Available	# Key Stakeholders Using	Participating Key Stakeholders	
Demand Reduction	2	NA	NA	7	NA	NA	0	NA	NA	1	NA	NA	NA
Law Enforcement - NIAPs	25	5	MINFOF WWF UNODC MDDEFE* WCO	2	2	MINFOF WWF	2	2	MINFOF WCO	2	2	MINFOF MECNT**	6 (8)
Transportation Sector	10	7	UNODC WCO DHL Singapore TAFFA DHL e-commerce Etihad Airways CITES	2	2	DHL Etihad Airways	0	NA	NA	1	2	UNODC WCO	8 (10)
Wildlife Forensics	1	1	TRACE	2	3	RhODIS® TRACE Department of Wildlife & National Parks, Malaysia	4	3	RhODIS® TRACE Department of Wildlife & National Parks, Malaysia	0	NA	NA	3 (8)
Financial Sector	3	2	UNODC WCO	1	2	ARINSA*** UNODC	0	NA	NA	1	2	RUSI UNODC	4 (5)
Community Engagement	0	NA	NA	0	NA	NA	0	NA	NA	0	NA	NA	NA

*MDDEFE: Ministry of Sustainable Development, the Forest Economy and the Environment, Republic of Congo

**MECNT: Ministry for Environment, Nature Conservation and Tourism, Democratic Republic of Congo

***ARINSA: Asset Recovery Interagency Network for Southern Africa

Key Result 7. Stakeholder networks in each Wildlife TRAPS thematic area are sustainable and continue to take action to reduce wildlife trafficking.

Key Result 7 is outside the manageable interest of Wildlife TRAPS. While not an outcome for which Wildlife TRAPS is accountable to deliver, the Wildlife TRAPS theory of change assumes that the project contributes to its achievement and thus evidence of progress towards its achievement is included in this assessment.

Outcome Statement:

By the end of the project, member(s) of stakeholder networks in each thematic area are planning or implementing CWT actions that continue or expand upon Wildlife TRAPS work plan activities and are doing so without funding* from Wildlife TRAPS.

**Wildlife TRAPS funding includes Wildlife TRAPS staff time and travel as well as direct monetary support.*

Findings:

For each thematic area, the Wildlife TRAPS theory of change assumes that if stakeholders are implementing priority actions to reduce wildlife trafficking, and key stakeholders are actively influencing others in their respective network to undertake activities to reduce wildlife trafficking, and resources are available to enable stakeholders to continue to implement actions to reduce wildlife trafficking; then the network of stakeholders will be sustainable and continue to take action in combating wildlife trafficking beyond the life of Wildlife TRAPS. At this midterm juncture of Wildlife TRAPS, it is premature to assess if stakeholders in each thematic area network are planning or implementing CWT actions that continue or expand upon project activities beyond the life of the project. However, the assessment team was able to assess their “readiness” to do so at a very high level.

MI assessors explored the readiness of the network in each thematic area to be sustained beyond the life of the project and to continue work to reduce wildlife trafficking by reviewing the status of the three elements outlined in the project theory of change that should be in place for that to happen. These are:

1. Stakeholders are implementing priority actions to reduce wildlife trafficking;
2. Key stakeholders are actively influencing others in their respective network to undertake activities to reduce wildlife trafficking; and
3. There are resources (trainings, materials, professional development opportunities, collaboration-communication mechanisms) available to stakeholders to enable stakeholder continued action. The need for training, materials, and professional development opportunities will vary across thematic areas, but all networks will need a way to stay connected. This readiness assessment particularly focuses on whether a mechanism for network communication and collaboration exists.

Provided below for each thematic area is a quick, subjective, and high-level consideration of the status of each of these elements and a categorization of the level of optimism that a sustainable network that is capable of continued action to reduce illegal wildlife trade will be in place at the end of Wildlife TRAPS. The network in each thematic area is assigned to one of four categories of optimism: (1) optimistic, (2) cautiously optimistic, (3) not optimistic, or (4) uncertain. It cannot be overemphasized that this is but a pulse check, done to stimulate discussion within the project management team and with stakeholders in each thematic area network.

Demand Reduction: There are several stakeholders implementing the priority actions defined through the demand reduction CAP workshop. The CITES Secretariat, a key stakeholder, championed and gained approval for a CITES Resolution on demand reduction that encourages governments to take action to reduce consumer demand of trafficked wildlife and wildlife products. The SBCC Community of Practice has taken root, is hosted online, and provides a platform for member sharing and communication. The Wildlife Consumer Behaviour Change Toolkit offers a wealth of resources for SBCC Community of Practice members to inform their work. It is unclear the extent to which the materials shared have spurred additional actions, but the potential is great. There is also the question of to what extent SBCC Community of Practice functionality may be reduced when Wildlife TRAPS support ends. **Cautiously optimistic.**

Law Enforcement: There is a multitude of influential government agencies and organizations involved in law enforcement related to wildlife trafficking, and many have been involved in implementation of the priority actions defined through Wildlife TRAPS. Within the broad law enforcement community, there are a number of different networks that have different purposes, constituents, and resource needs. There is a variety of information-sharing platforms that serve needs for different law enforcement actors (e.g., Africa-TWIX, Container Comm, etc.). Wildlife TRAPS has worked with many law enforcement entities in Africa and Asia on many aspects of wildlife trafficking (e.g., NIAPs, development of Joint Port Control Units, training for prosecutors and magistrates, etc.). It is unclear what network or networks are the focus. **Uncertain.**

Transportation Sector: A number of champions for industry involvement in efforts to combat wildlife trafficking have emerged within the air transport sector as a result of their engagement in Wildlife TRAPS activities (notably the transportation CAP workshop) and in activities with Reducing Opportunities for Unlawful Transport of Endangered Species (ROUTES), which was launched by USAID as a result of the CAP workshop. Companies are sharing training modules and other materials with industry associations to make them available to other companies to adapt to their purposes. Etihad Airways, DHL, and the International Air Transport Association (IATA) have all taken actions independent of Wildlife TRAPS. A functional network seems to be coalescing. Whether the sharing of resources through industry associations will be sufficient to motivate new, continuing, and expanded industry efforts to combat wildlife trafficking remains to be seen but there is growing momentum. **Optimistic.**

Wildlife Forensics: The majority of key stakeholders identified by Wildlife TRAPS have been involved in implementing the priority actions defined at the CAP workshop as well as in new priority forensic work areas. The TRACE Wildlife Forensics Network has focused on advancing the agenda defined at the CAP workshop and, independently of Wildlife TRAPS, has conducted trainings and otherwise engaged the network of forensics scientists. New international relationships were forged among Asian and African forensic scientists and the global forensic science community through Wildlife TRAPS. The Society for Wildlife Forensic Science is an active community that meets regularly to discuss issues and advances in wildlife forensics. Perhaps it can be the platform for the network to not only share information, but also develop a shared agenda for continued action and provide opportunities for collaboration. **Cautiously optimistic.**

Financial Sector: The Royal United Services Institute (RUSI) has worked in close partnership with Wildlife TRAPS and has engaged major financial institutions in the United Kingdom through its convening of the Financial Institution Task Force on Illegal Wildlife Trade. The Task Force is charged with identifying actions that financial institutions can take to reduce illegal wildlife trade, setting up a process through which banking institutions can commit to those actions, and then supporting industry action. Whether the Task Force becomes fully functional and communicates with the broader network of financial institutions, including those intersecting trade between Africa and Asia, remains to be seen. There is great promise that the Task Force could be the mechanism through which the financial sector can define, commit to, and collaborate on needed actions to reduce illegal wildlife trade. **Cautiously optimistic.**

Community Engagement: Wildlife TRAPS’ work in community engagement has primarily focused on supporting learning around how to effectively engage communities in combating wildlife trafficking. With the IUCN Sustainable Use and Livelihoods Group, IIED, and other partners, Wildlife TRAPS has supported and co-convened workshops to develop and build the evidence base for the Beyond Enforcement theory of change for effective community-led interventions. Wildlife TRAPS has also supported use of the Beyond Enforcement theory of change in the design of USAID projects. IIED is very active in advancing efforts to establish Beyond Enforcement as a shared agenda for stakeholder work in community-led interventions, though the extent to which it has been adopted as such by community stakeholders as well as stakeholders broadly is not yet clear. Wildlife TRAPS is in discussion with IIED, IUCN, and others to develop a learning and exchange platform similar to that for the SBCC Community of Practice. **Cautiously optimistic.**

Key Result 8. Desired outcomes from CWT actions achieved.

Key Result 8 is outside the manageable interest of Wildlife TRAPS. While Wildlife TRAPS is not accountable to deliver stated outcomes, the Wildlife TRAPS theory of change assumes that the project contributes to their achievement and thus evidence of progress towards their achievement is included in this assessment.

For this key result, the project leadership team developed outcome statements for the achievement of actions collectively across all thematic areas (cross-thematic) and for each thematic area. The team considered these outcome statements to be tentative and intended that they would be refined based on information on their appropriateness revealed through this assessment. Consequently, for the draft outcomes in each thematic area, both a summary of any evidence that outcomes are being achieved and feedback from key informants on desired outcomes are provided.

Cross-Thematic Outcome Statements:

By the end of the project, in each thematic area:

1. All prioritized* CWT actions that have been implemented through Wildlife TRAPS annual work plans are completed**;
2. All prioritized* CWT actions that have been implemented with Wildlife TRAPS funding but were not included in Wildlife TRAPS annual work plans are completed** or show evidence of being near completion**;
3. There is evidence that some prioritized* CWT actions that have been implemented without Wildlife TRAPS funding are near completion**.

* A prioritized action is one that stakeholders in a given thematic area collectively identified as a priority through the process captured in Result 3.

**A prioritized action is considered complete when the output (e.g., protocol defined, decision made, etc.) identified in the stated action is finalized. When a prioritized action is to undertake an ongoing process or activity, it will be considered complete when the process or activity is initiated and there is evidence that it will be sustained.

Findings:

As currently stated, the cross-thematic outcomes focus on overall achievement of the priority actions across all thematic areas. There was no relevant key informant input so MI assessors considered only evidence of outcomes achieved.

The great majority of priority actions defined through the CAP workshops (see Annex D) are open-ended in the sense that they are not associated with an explicit deliverable or measurable outcome. They are typically of the form, “help X,” “promote Y,” and “work with Z.” Thus, any one action can be implemented through many discrete activities by multiple stakeholders that are completed soon after they are initiated (e.g., an awareness-raising article developed and posted, a training held, etc.). There will probably be very few activities that once initiated (i.e., implemented) will not be completed. To date, there is no evidence that any activity initiated to advance a priority action was not completed, regardless of the pathway through which it was implemented. As the implementation of priority actions is tracked through Key Result 4, the draft cross-thematic outcomes are redundant and meaningless.

It might be more useful to focus cross-thematic outcomes on the percentage of priority actions completed in each thematic area, or number or diversity of stakeholders involved in implementation. Alternatively, focus might be put on implementing activities for actions that stakeholders have not yet worked on to date.

Demand Reduction Outcome Statements:

By the end of the project,

1. Messaging for target audiences identified for future focus is improved;
2. There is evidence of reduced demand for illegal products.

Findings:

Progress towards outcome achievement:

Outcome 1. Efforts to date have focused on building the capacity of stakeholders to develop improved demand reduction messaging. These include several global capacity-building meetings and events such as the 2017 symposium of the Oxford Martin Programme, the 2016 Solutions Showcase event at the IUCN World Conservation Congress, and the October 2016 Demand Reduction Workshop in Chengdu. Additionally, the Monitoring and Evaluation Good Practice Guidelines and Wildlife Consumer Behaviour Change Toolkit are now available. With the passing of the CITES resolution on demand reduction, governments have been identified as a target audience for improved messaging and the CITES Secretariat is working with TRAFFIC on demand reduction guidance for governments.

Outcome 2. Preliminary results from the Southeast Asia regional wildlife trade assessment reported in the FY 2017 annual report indicate that “legal awareness and concern of risk is increasing, mostly in the two carving villages which have recently been under national and international spotlight.” Additionally, “it appears the open sale of ivory and other illegal species is declining in Vietnam. However, there are indications that the sale of illegal wildlife commodities on online forums is increasing.”

Key informant suggested outcomes:

- Deliver targeted demand reduction strategies, especially for governments.
- Better understand wildlife product speculation and develop demand-reduction messaging targeting speculators.

Law Enforcement Outcome Statements:

By the end of the project,

1. NIAP countries in Central Africa will have improved compliance and transparency with the CITES process;
2. Cross-border and trans-continental coordination in wildlife crime investigations among NIAP countries in Central Africa will be improved;
3. In enforcement agencies in NIAP countries in Central Africa, critical capacity gaps in (a) data and information sharing, (b) specialized enforcement techniques, and (c) stockpile management, will be filled;
4. Multi-agency units will be in place at X ports to strengthen port transparency, screening, and security; and
5. In at least one jurisdiction where judiciary training was provided as a result of Wildlife TRAPS action prioritization, there is evidence of increased effectiveness in the prosecution of wildlife crime cases.

Findings:

Progress towards outcome achievement:

Outcomes 1-3. In service of improved implementation of NIAPs in NIAP countries in Central Africa (Cameroon, Congo, Democratic Republic of Congo [DRC], Gabon) and improved coordination in wildlife crime investigations among those countries, Wildlife TRAPS convened the 2015 CAP workshop, which resulted in definition of six priority actions for regional collaboration. Since then, 22 regional stakeholders have implemented 27 different activities to advance four of the defined priorities. NIAP coordination units have been established in Cameroon and the DRC.

In addition, Wildlife TRAPS engaged in numerous efforts with partners to improve data sharing, coordination, and collaboration in the region; and to build critical capacities in enforcement and intelligence techniques, and ivory stockpile management. These included several planning and information-exchange meetings with authorities and government agencies in the region, workshops on the use of ETIS and Africa-TWIX as data-

sharing platforms, and many capacity-building trainings delivered with WCO-INAMA¹⁴ and other partners to various law enforcement actors (e.g., enforcement agents at exit ports, customs officials, field operatives, eco guards, Cameroon Ministry of Forests and Wildlife [MINFOF] officials, etc.).

Outcome 4. Wildlife TRAPS partnered with the UNODC/WCO Container Control Programme to train Joint Port Control Units in Ghana and Senegal, but there was no participation from Central African NIAP countries.

Outcome 5. Wildlife TRAPS partnered with UNODC and the U.S. Department of Justice in a training workshop for prosecutors and magistrates. Although representatives from six African countries participated, none were from Central African NIAP countries.

Key informant suggested outcomes:

- Increased cross-border and regional coordination and collaboration.
- Harmonization in prosecution and sentencing of wildlife crime across countries.

Transportation Sector Outcome Statements:

By the end of the project,

1. Wildlife trafficking will be incorporated into select industry standards, practices, and protocols;
2. Awareness of wildlife transport laws, policies, and industry guidelines will be increased in targeted transport sector audiences;
3. Targeted transport sector companies and ports have amended their training programs to address gaps in staff knowledge in detecting and reporting of wildlife trafficking incidents; and
4. Targeted transport sector companies have the internal mechanisms, protocols, and systems in place needed for personnel to report wildlife trafficking incidents.

Findings:

Progress towards outcome achievement:

These outcomes are common to both the Wildlife TRAPS and ROUTES projects and progress reflects a synergistic effect of both. Highlighted here is progress directly tied to Wildlife TRAPS activities or due to actions taken by stakeholders informed by Wildlife TRAPS activities.

Outcome 1. Etihad Airways adopted an Animal Welfare and Conservation Policy in October 2016. DHL revised its list of banned products to include terms to describe illegal wildlife products. A number of companies have incorporated wildlife trafficking issues into their training programs; these are summarized under Outcome 3 below.

Outcome 2. The 2015 CAP workshop co-convened by Wildlife TRAPS was very influential in raising awareness in the transport industry of the scope and nature of wildlife trafficking and how it intersects industry business operations. Airport Council International and Supply Chain Compliance reported on the workshop in industry publications. Later in 2015, the International Air Transport Association (IATA) updated its website to improve information sharing on illegal wildlife trade issues with their members and published an article in its quarterly newsletter. In 2017, Etihad Airways published two articles on wildlife trafficking in its in-flight magazine and DHL published an article highlighting its efforts to tackle illegal wildlife trade.

Wildlife TRAPS delivered a number of presentations at workshops and meetings convened by transport-sector stakeholders to raise awareness of challenges and risks associated with illegal wildlife trade. These included presentations at a workshop convened by the United Arab Emirates General Civil Aviation Department and the Ministry for Climate Change and the Environment, the International Federation of Freight Forwarders (FIATA) World Congress and Asia-Pacific Meeting, the United Nations Economic and Social Commission for Asia and the Pacific Regional Conference, a workshop with airlines and logistics companies operating in Cameroon, and at the U.S. Wildlife Trafficking Alliance Travel Sector meeting. Wildlife TRAPS also convened meetings or held

bilateral consultations with freight forwarder associations in Malaysia and Tanzania, the FIATA Secretariat, DHL e-commerce in Vietnam, United Airlines, and Airlines for America.

Outcome 3. Etihad Airways piloted three interactive learning modules focused on wildlife trafficking developed with Wildlife TRAPS for inclusion in its mandatory staff training. The Tanzania Association of Freight Forwarders (TAFFA) piloted a training module with illegal wildlife trade subjects for incorporation into their validated training and as an example for the wider global association. Wildlife TRAPS is working with the FIATA Secretariat to include learning objectives for illegal wildlife trade into the Federation's Minimum Standards Diploma and associated training materials.

With partners, Wildlife TRAPS provided trainings to a variety of industry and government personnel to improve detection of illegal wildlife trade. These included three trainings with the UNODC/WCO Container Control Programme for Joint Port Control Units, training in wildlife law and compliance for Mombasa Port personnel, and piloting of sniffer dog technologies in Mombasa Port.

Outcome 4. DHL's revision of its list of banned products is part of its efforts to improve its screening systems.

Key informant suggested outcomes:

- Better coordination and collaboration among enforcement and intelligence agencies.
- Reformed laws to increase punishments – some countries have light sanctions.

Wildlife Forensics Outcome Statements:

By the end of the project,

1. A robust and scientifically compliant reference sample database for species in trade is developed; and
2. Uptake and utilization of forensic science in law enforcement efforts is improved.

Findings:

Progress towards outcome achievement:

Outcome 1. The Wildlife DNA ForCyt Forensic Reference DNA Database will include information on the entire mitochondrial DNA genomes of species in trade. Wildlife TRAPS supported development of the ForCyt methodology. A paper describing the methodology was published. Data production workshops will occur in 2018. The Global Environment Facility contributed funding to develop a DNA reference database in Thailand.

Outcome 2. There is increasing forensic sampling of seized wildlife products. The Malaysian Wildlife Forensics Laboratory was able to perform DNA testing of rhino horns to determine origins through a partnership with a lab in South Africa that was initiated in the 2016 Wildlife TRAPS-convened CAP workshop. Forensic scientists from Gabon, Malaysia, Hong Kong, and TRACE performed DNA testing on 90 ivory tusks from a 2017 seizure in Hong Kong of 7.2 tons. In 2017, DNA testing of Thai-seized ivory was completed, and TRACE presented the data to the Thai CITES management authority as a demonstration of the new capacity Thailand has to test ivory seizures for future use.

Efforts are underway, led by several partners with Wildlife TRAPS, to develop a set of overarching wildlife forensics laboratory standards and quality assurance guidelines to ensure the quality of forensic evidence for use in criminal prosecutions.

Key informant suggested outcomes:

- Improve capacities of forensic laboratories in Asia and Africa, both in enhanced equipment and training of personnel.

¹⁴ INAMA is not an acronym but a word which means "wild animal" in the language of the Zambian Bemba tribe.

Financial Sector Outcome Statements:

By the end of the project,

1. International financial institutions improve systems to enable better reporting and investigation of wildlife crime offenders between financial institutions and investigative and asset recovery units; and
2. Countries' abilities to seize and recover assets from middlemen and kingpins are improved.

Findings:

Progress towards outcome achievement:

Outcome 1. The Financial Institution Task Force on Illegal Wildlife Trade has been convened through support from Wildlife TRAPS; two meetings have been held to date. As part of its charge, the Task Force is envisioned to identify how financial institutions can improve systems to detect wildlife crime, enable better reporting to investigative and asset recovery units, and support investigation of wildlife crime offenders.

To support the efforts of the Task Force and financial institutions broadly, Wildlife TRAPS continues to work with the Asset Recovery Interagency Networks to develop typologies of how wildlife crime is manifested in the financial sector. These typologies will help financial institutions identify vulnerable internal procedures, establish red-flag indicators, improve vetting of existing and future clients, and improve reporting requirements and financial guidelines.

In addition, TRAFFIC has entered into a strategic data-sharing agreement with Liberty Asia to provide global private risk-analysis agencies, such as World Check and Lexus Nexus, information on convicted wildlife crime offenders which they vet and then pass on to financial institutions. This information enables financial institutions to avoid engaging with known convicted criminals and to assess client risk based on previous criminal activities. Over 2,000 individual profiles have been added since the partnership began in 2016.

Outcome 2. Wildlife TRAPS has offered a number of trainings with partners to strengthen the capacity of financial intelligence units, wildlife investigators, customs, and judiciary to seize and recover assets. These include two UNODC-hosted conferences (Recovering the Assets of Wildlife and Timber Crime) and a workshop with the Asia Pacific Group.

Key informant suggested outcomes:

- Develop the Financial Institution Task Force on Illegal Wildlife Trade into a standalone, sustainable initiative that plugs into other sources of information, and involves any bank that wants to participate, not just those in the United Kingdom.

Community Engagement Outcome Statement:

Throughout the project, there is an increasing number of projects developed using the Beyond Enforcement methodology.

Findings:

Progress towards outcome achievement:

The Beyond Enforcement theory of change informed the design of three USAID projects in Africa. Independent of Wildlife TRAPS, IUCN and IIED vetted the theory of change with communities in Africa to clarify how people think they are affecting the drivers of illegal wildlife trade. With IUCN and IIED, Wildlife TRAPS convened two workshops to build the evidence base for the theory of change and further refine it.

Key informant suggested outcomes:

- Make substantive policy reforms at the national level in key countries to enable communities to have a greater role in and benefit from wildlife management.

- Increase representation of communities in high-level forums for policymaking on illegal wildlife trade (global and regional conferences and CITES are the most important).
- Support communities to mobilize and organize among themselves to enable political will to translate into action. Set up a funding stream to sponsor community participation in meetings. Build communities' capacity to network and organize.

Assessment Question #2: Are There Particular Factors or Conditions That Have Impeded Progress or Facilitated Success in Achieving Project Outcomes?

Key informant interviews and surveys surfaced several factors that facilitated or impeded progress to date. These factors span project funding, management, implementation, and the context within which it operates. Major themes are identified and discussed below.

The PIO funding mechanism and the way in which it is managed have enabled the flexibility needed to respond to the rapidly changing landscape of wildlife crime through innovative approaches and partnerships.

Nearly all key informants acknowledged an enormous benefit afforded to Wildlife TRAPS through its funding as a PIO agreement. This mechanism facilitates rapid deployment and redirection of funds, and thus enables the flexibility, experimentation, and risk taking needed for project success. While the funding mechanism has enabled project success, it is the way in which USAID has managed the agreement and the strong, collaborative relationship between USAID and TRAFFIC that have driven Wildlife TRAPS' progress and accomplishments. Bringing innovative approaches and non-traditional partnerships into the fight against wildlife trafficking requires out-of-the-box thinking and the latitude to fail in some of the attempts to do so. USAID has managed Wildlife TRAPS with a "very light rein," which has emboldened TRAFFIC to pursue untried approaches and uncertain, but potentially valuable, relationships. For this, key informants in all sectors in which Wildlife TRAPS is engaged have applauded USAID's leadership and courage to take the risks necessary to catalyze action at the scale and of the scope needed to effectively stop wildlife crime.

"[A previous] project I was asked to comment on had more specific and measurable deliverables. It was easier to tick boxes to evaluate. However, I feel that, arguably, this type of project, while harder to evaluate, is much more effective than projects that are designed around box-ticking. I think it's a brave model for USAID to follow but it's working. Some things will fail completely, but the things that will work will have a great legacy."

– Dr. Rob Ogden, Programme Director,
TRACE Wildlife Forensics Network

TRAFFIC's staff, expertise, and stature in the global community of individuals and organizations combating wildlife crime have been key to project progress.

Project Lead Nick Ahlers' collaborative and collegial nature, deep understanding of the issues, and responsiveness to stakeholder requests and rapidly unfolding opportunities were acknowledged repeatedly in interviews and surveys. He is considered by most key informants to be a major factor in the project's success. Other TRAFFIC staff were lauded for their expertise, accessibility to stakeholders, and collaborative mindset. TRAFFIC as a whole is well respected, is considered a thought leader and neutral voice in the global dialogue on wildlife crime and has established relationships with numerous stakeholders involved in efforts to reduce wildlife crime. It is considered a strong implementing partner. A few key informants shared their sense that TRAFFIC's success in implementing Wildlife TRAPS is driven by the personalities and specific skill sets of particular individuals rather than the organization having a deep bench in a set of core capacities. To the extent this is true, concerns were raised about TRAFFIC's capacity to maintain its level of success in implementing Wildlife TRAPS should there be a change in personnel or if project needs require time and expertise that exceed that currently available from critical personnel.

Increased communication of what the project has done and is doing in each thematic area, and the implications for ongoing and future work, may increase further stakeholder action. Most key informants mentioned that their primary source of information about Wildlife TRAPS activities was through conversations with Nick Ahlers and, secondarily, through presentations made by TRAFFIC staff. Some noted their difficulty in finding project information and products online. Nearly all informants felt they did not have a comprehensive picture of all the project is doing in all thematic areas and what has been accomplished. Some, notably mission staff, have a strong desire to better understand the full scope of Wildlife TRAPS activities, how all the pieces fit together, and what it all adds up to for each thematic area. With this deeper understanding, missions felt they would be in a better position to leverage project resources and achievements through their programming. As one informant commented, “in the absence of knowing what is there, it’s hard to know what and how we can use what’s been done.” It was noted that the annual reports provide a lot of detail but are “overwhelming” and “difficult to follow.” It is felt that a more concerted effort to communicate project activities and outcomes, and the implications of the work of Wildlife TRAPS for others’ work in combating wildlife crime, would expand the project’s catalytic effect and impacts.

Uncooperative behaviors among stakeholders have sometimes impeded collaboration and undermined progress. Interviews revealed that uncooperative behaviors by some individuals in all sectors in which Wildlife TRAPS works are a reality and can inhibit the collaborations needed to reduce wildlife crime. These behaviors have included territoriality and competitiveness by NGO personnel about partner relationships and areas of work, reluctance of scientists to share data and methodologies, and unwillingness or hesitancy of government officials and industry to engage due to concerns about perceived blame for their role in wildlife trafficking. Many informants underscored that it is an individual rather than their organization or institution that may be uncooperative. As such, a seeming lack of cooperation from an organization or institution can often be transcended through improved trust afforded by personal relationships with the individual or with others in their organization or institution. The collaborative nature of Project Lead, Nick Ahlers, and the general perception of TRAFFIC as a neutral, evidence-driven, NGO have gone a long way in building necessary bridges.

Factors beyond project control have hampered progress. As with any project, there may be laws, institutional processes, or unforeseen developments that constrain or delay project operations. For Wildlife TRAPS, these include restrictions imposed by the Leahy Act and inherent delays in product-review processes. Also, the unforeseen but welcome expansion in project funding and duration created an unanticipated need for project support staff. Hiring a dedicated communications person became critical when the project was expanded to five and then seven years. Also, in hindsight, having a monitoring and evaluation specialist to support the project would have been valuable.

Assessment Question #3: What Evidence Exists to Date of the Ability of Wildlife TRAPS to Influence or Catalyze the Actions of Others in Combating Wildlife Trafficking?

The intent of this assessment question is to explore the extent to which Wildlife TRAPS’ activities have influenced the nature (e.g., partners involved, stakeholders’ roles, species or geographies prioritized, type of actions taken, how actions are implemented, etc.) of stakeholder actions to combat wildlife trafficking and the degree to which that influence has resulted in or catalyzed new partnerships or new directions for stakeholder work. In Key Result 2, the percent of Wildlife TRAPS’ direct-engagement activities that were Wildlife TRAPS-advised is used as an indicator of the level of influence the project exerts. This assessment question considers broader evidence of Wildlife TRAPS’ influence.

Wildlife TRAPS’ influence on stakeholder action is in part evidenced by its success in achieving the outcomes defined for the key results in its theory of change within its manageable interest:

- Stakeholder use of the assessment reports (Key Result 1);
- The level of influence the project exerted through its direct-engagement activities (Key Result 2);

- Prioritized actions defined through CAP workshops or other collaborative activities (Key Result 3);
- Stakeholder implementation of priority actions defined through a CAP-workshop process (Key Result 4);
- Strengthened stakeholder networks (Key Result 5); and
- Stakeholder use of or participation in project-provided trainings, materials, professional development opportunities, and mechanisms to enable network collaboration and communication (Key Result 6).

This evidence is detailed under Assessment Question #1 and will not be reiterated here. Rather, a high-level summary of the general nature and scope of the influence of Wildlife TRAPS is provided based on this data and further input from key informants. In assessing progress in achieving Key Result 4 under Assessment Question #1, evidence of the catalytic effect of Wildlife TRAPS was limited to evidence that stakeholders implemented collaboratively defined priority actions without project support. For this assessment question, broader evidence is provided from key informant input on how Wildlife TRAPS has catalyzed new partnerships or directions (new priorities, new stakeholder role, etc.) for their work.

Determining whether a given stakeholder action was influenced or catalyzed by Wildlife TRAPS involves issues of interpretation (i.e., was this a new action, partnership, or role for a stakeholder?) and attribution (i.e., were changes in aspects of stakeholder action the result of Wildlife TRAPS activities?). As such, this analysis can only suggest the scope and nature of the project’s influence and catalytic effect.

Influence. Through its many activities and products, Wildlife TRAPS is influencing what stakeholders are doing to reduce wildlife trafficking, how they are doing it, and with whom they are working. The technical information and expertise it has provided through assessments and other resources have been useful to many stakeholders in improving understanding of the background and context for an issue, establishing priorities for their work, refining strategic approaches, improving the effectiveness of their work, and identifying opportunities for collaboration. Wildlife TRAPS’ efforts to involve new stakeholders and build and strengthen connections between stakeholders has led to new and stronger collaborations within countries, between regions, and across continents, and also across the diverse sectors that interface with wildlife crime. In addition, the Project Lead was invited to serve on an advisory committee or working group in other stakeholder organizations, notably the Anti-Money Laundering Expert Group led by Prince Charles’ International Sustainability Unit and the Advisory Committee of WCO-INAMA.

However, many key informants did not know that the TRAFFIC personnel they were working with, resources they were using, or activities they were involved in were part of a project called Wildlife TRAPS. Consequently, there is little recognition, beyond among those directly involved in project management and implementation, of the influence that the Wildlife TRAPS project has had. Furthermore, because many project activities have been integrated to varying degrees into TRAFFIC’s various work streams, it is difficult to differentiate the influence of Wildlife TRAPS versus that of TRAFFIC or other TRAFFIC projects (e.g., ROUTES).

Catalytic effect. Exactly what characterizes a catalytic effect of Wildlife TRAPS has not been explicitly defined by the project, and there has not been a systematic approach to capture those catalytic effects. In this assessment, catalytic effects are considered (1) actions implemented by stakeholders without project support (funding, staff time, or staff travel) that build on project work streams (CAP-defined priorities, new priority work areas), and (2) activities and events that key informants relayed were precipitated by the activities of Wildlife TRAPS. These catalytic effects are provided below.

- In the Transportation Sector, there is much evidence of the catalytic effect of Wildlife TRAPS:
 - An industry participant in the CAP workshop called the workshop a “pivotal meeting” as it helped overcome hesitancy to become involved; there was no sense of blame but rather a focus on positive things they could do to curb wildlife trafficking.
 - As a result of the traction developed with the transport industry at the CAP workshop, USAID launched ROUTES, a new activity specifically focused on working with the transport industry to reduce trafficking.

- o As mentioned under Result 4, there are both companies and industry associations undertaking independent activities to reduce transport of illegal wildlife and wildlife products.
- o As a result of work with Wildlife TRAPS and TRAFFIC, wildlife trafficking training has been incorporated or is being piloted for incorporation into the training programs of both international and country-specific freight forwarder associations.
- In Wildlife Forensics, Wildlife TRAPS has catalyzed new opportunities for collaboration, new Asia-Africa relationships, and capacity building for forensic scientists:
 - o Although the CAP workshop was focused on mechanisms to internationalize RhODIS® for use in individual profiling of rhinoceros, it resulted in stakeholders identifying many other areas for their collaboration and priority action.
 - o As a result of networking at the wildlife forensics CAP workshop, Malaysian forensic scientists enlisted the aid of South African scientists to analyze rhino horns for origin identification.
 - o As mentioned under Result 4, independent of Wildlife TRAPS, TRACE colleague Dr. Ross McEwing participated in meetings with and contributed to a 4-day training for forensics colleagues in Hong Kong.
- In Law Enforcement, Wildlife TRAPS catalyzed effective international enforcement collaboration and Africa-Asia efforts to conserve the South African abalone:
 - o Wildlife TRAPS sponsored Asia-based customs officials to participate in a training offered in partnership with WCO-INAMA and CITES in Namibia which was designed to develop an operational plan for enforcement collaboration between Africa and Asia. Two customs officials who attended the training made a successful ivory seizure in Bangkok as result of the operational plan developed in training.
 - o Several key informants cited the Wildlife TRAPS-supported assessments of the illegal trade in South African Abalone and related project activities as the catalyst for the development of a proposal by the South African government for a CITES III listing for the species, trainings for South African custom officials in species identification funded by the Endangered Wildlife Trust, and trade monitoring discussions with South Africa and Chinese authorities.
- In the Financial Sector, with funding by Wildlife TRAPS, the Royal United Services Institute (RUSI) formed the bank-led Financial Institution Task Force on Illegal Wildlife Trade to continue the work of Prince Charles' International Sustainability Unit on Anti-Money Laundering. The Task Force will work to establish a set of commitments for signature by participating financial institutions, as well as proposed actions to be taken in support of those commitments. A key informant noted that the Task Force would not have been created without Wildlife TRAPS support.
- In Demand Reduction, key informants considered Wildlife TRAPS catalytic effect in demand reduction a “work in progress,” but noted that the CAP workshop was “groundbreaking” and the “largest of its kind” in bringing together diverse stakeholders. It was considered instrumental in bringing social and behavioral science into the broad dialogue around demand reduction and increasing the appetite for its application. The workshop led to Wildlife TRAPS investment in several resources to support stakeholder action that, as of end of Q4 FY2017, have been broadly used: Wildlife Consumer Behavior Change Toolkit (50,000 visits), SBCC Community of Practice platform (121 active participants), and SBCC monthly newsletters (278 subscribers).
- In Community Engagement, Wildlife TRAPS has influenced the dialogue and catalyzed efforts to advance the Beyond Enforcement theory of change.
 - o IIED published an analysis of evidence for the assumptions in the Beyond Enforcement theory of change.¹⁵
 - o The Wildlife TRAPS Project Lead participated in the development of a Broad Agency Announcement (BAA) to combat wildlife crime in the South Africa region. Through his participation, the BAA was

informed by the Beyond Enforcement theory of change and has now been procured. Two other cooperative agreements in Africa have been informed by the Beyond Enforcement framework.

- o A key informant shared that the Beyond Enforcement theory of change was presented and discussed at Wildlife TRAPS-sponsored conferences in Vietnam and Cameroon though attendees were not always able to understand or use it well. Wildlife TRAPS was, however, helpful in engaging local leaders and decision makers in the issues surrounding community engagement in wildlife crime at those conferences.

Assessment Question #4: Are There Particular Factors or Conditions That Have Impeded or Facilitated the Ability of Wildlife TRAPS to Influence or Catalyze the Actions of Others in Combating Wildlife Trafficking?

The increasing global resonance of wildlife trafficking as an issue created an enabling environment for Wildlife TRAPS. As the project launched, awareness of wildlife trafficking as a global crisis was growing outside of the biodiversity conservation community due to media and government attention. This growing awareness led to increasing recognition of the potential interfaces between illegal wildlife trade and business sectors such as transportation and banking and the need for those sectors to become involved in combating this criminal activity. As one key informant relayed, this recognition “helps TRAPS to fall on fertile ears.” The timing of the project has thus helped facilitate its ability to influence and catalyze the actions of both traditional and new actors in reducing wildlife trafficking.

The collaborative nature of TRAFFIC staff and the perception of TRAFFIC as a neutral voice have engendered trusting relationships with stakeholders and increased their willingness to engage with Wildlife TRAPS. As mentioned under Assessment Question #2, Wildlife TRAPS project staff, and TRAFFIC broadly, have made strong strides in building and strengthening the stakeholder community engaged in combating wildlife trafficking. Nick Ahlers is referred to repeatedly as a “bridge builder” and TRAFFIC as a whole is recognized for its ability to build constructive dialogue among diverse stakeholders and around contentious issues. One informant noted, however, that TRAFFIC’s efforts may be insufficient to engage needed stakeholder organizations to “come under the big tent” because of skepticism in some government agencies of the role of NGOs in the fight against wildlife trafficking, and territoriality and competitiveness among NGOs. Along similar lines, another informant thought that Wildlife TRAPS might have greater impact if major stakeholders (e.g., INTERPOL, WCO) were engaged to assist in network building and inform the strategic direction of the project.

Having a collaboratively defined list of priority actions may not be enough to influence and catalyze stakeholders to take action. As was noted in Result 4, several key informants acknowledged the great value in bringing people together to discuss and focus shared priorities, while also recognizing there is a challenge in keeping the momentum going and in translating commitments into action. This suggests that perhaps a list of collaboratively defined priority actions may not necessarily be a shared action agenda. Continued dialogue is key to socializing and refining the list of priority actions, reinforcing commitments, and supporting, motivating, and acknowledging stakeholder action. Influential stakeholders could play an important role in doing this but that may not be enough. It might be valuable for Wildlife TRAPS to reconnect in some way with the participants in the CAP workshops to solicit refinements in the list of priority actions, surface any activities they may have implemented to advance the priority actions and lessons learned, reaffirm stakeholder commitment to action, and explore ways to support them. One informant suggested that formation of thematic area working groups might be a way to strengthen networks, such a body could also drive the transformation of a list of priority action into a shared action agenda.

¹⁵ Booker, F. and D. Roe. 2017. *First Line of Defence? A review of evidence on the effectiveness of engaging communities to tackle illegal wildlife trade*. IIED, London.

The broad scope of Wildlife TRAPS was necessary at its outset and enabled rapid progress in engaging new stakeholders and identifying new opportunities to restrict criminal activities, but a more targeted focus going forward may lead to a greater final project impact. One key informant noted that illegal wildlife trafficking involves a “complicated web of actors, players, issues, countries, and value chains” and felt that Wildlife TRAPS is “so big and involves so much that a healthy dose of realism is needed” as the “ambition of the project itself may impede it.” Other key informants echoed this need for strategic focus going forward to ensure that the project’s impact is “more than the sum of its parts.” In other words, instead of advancing efforts to reduce wildlife crime on a broad array of fronts, the project should focus on those fronts where it has the greatest potential to effect change in its remaining time. Key informants acknowledged the need for Wildlife TRAPS at its outset to explore all aspects of wildlife trafficking between Africa and Asia to understand how wildlife trafficking is manifested in different sectors, and to identify and leverage opportunities to engage with any sector. They noted, however, that there are now many more actors involved in the fight against wildlife trafficking and suggested that rethinking Wildlife TRAPS’ niche may be in order with a focus on particular aspects of a value chain, specific capacities to be built, or explicit stakeholder networks. Some key informants felt that a tightened focus on creating synergies to combat wildlife trafficking between Africa and Asia would be valuable but encouraged project management to take a step back and reassess project focus in a deliberate way that, ideally, involved stakeholders within and beyond USAID. One informant suggested that having some iteration of a learning exercise (e.g., pause and reflect) could be very informative.

VI. CONCLUSIONS

Assessment Question #1

Considering the key results identified along the entire Wildlife TRAPS results chain (See Figure 2 on page 12), there is evidence that progress is being made on achieving the outcomes defined for all results, but the strength of that evidence varies across the key results. For Result 5, some means is needed to assess stakeholders' connectivity in the thematic-area networks and provide the evidence needed to fully demonstrate achievement of the outcome. Progress towards Result 7 is merely suggested by the quick and subjective readiness assessment undertaken by MI assessors. Outcomes for Result 8 should be refined based on stakeholder input and would benefit from better articulation of what success looks like. Wildlife TRAPS should define outcomes for the new work areas identified for collaborative action. Specific conclusions for each key result are given below.

- **Key Result 1:** The nine assessments produced through Wildlife TRAPS support have provided needed data and analysis and are used to inform and prioritize stakeholder work.
- **Key Result 2:** Wildlife TRAPS has participated extensively in the global dialogue on wildlife trafficking as an activity convener, co-convener, advisor, and participant. Wildlife TRAPS and TRAFFIC as a whole are greatly respected for their technical expertise and thought leadership. Wildlife TRAPS has most frequently engaged with stakeholders as a technical advisor. Using that frequency as one measure of its influence on stakeholder activities, Wildlife TRAPS influence has increased since project launch, but data are insufficient to tell whether its influence continues to increase. There is little recognition among key informants of Wildlife TRAPS as a project; rather, its influence is expressed through the thought leadership and relationships of the staff in the organizations (USAID and TRAFFIC) implementing it.
- **Key Result 3:** Wildlife TRAPS has prioritized actions in four thematic areas by convening CAP workshops and has collaboratively identified five new work areas in four thematic areas for priority action. The CAP-workshop process was considered valuable to several workshop participants in raising the awareness of wildlife trafficking issues; building trust and relationships; and sharing knowledge, expertise, and ideas among diverse stakeholders. Key informants noted the importance of using a collaborative process to define shared priorities and generate a general sense of commitment, though some workshop participants had hoped for more focused sets of recommended explicit activities rather than recommendations for general types of action.
- **Key Result 4:** The majority of priority CWT actions defined through the CAP-workshop processes in four thematic areas have been implemented through activities of Wildlife TRAPS and stakeholders. A significant majority of those activities were accomplished through Wildlife TRAPS' work plans though there is evidence that stakeholders are implementing some activities independent of Wildlife TRAPS. The limited evidence to date for catalyzed implementation of priority actions may be due, at least in part, to the lack of a systematic effort by the project to capture these catalytic effects. That evidence is now only being learned opportunistically. It is not appropriate to categorize activities implemented through Pathway B as activities catalyzed by Wildlife TRAPS. Several key informants noted the challenge in maintaining the momentum generated at a CAP workshop so that commitment to action becomes action.
- **Key Result 5:** Wildlife TRAPS has been valuable in building networks with and within governments, civil society, and industry. It has overcome the skepticism that some government agencies have of the value of NGOs in efforts to combat wildlife trafficking. Wildlife TRAPS' planned stakeholder-mapping exercises would provide evidence, not available now, of how and to what degree it has strengthened the networks of stakeholders in each thematic area and whether it is engaging all critical key stakeholders (a concern raised by one key informant). Questions were raised as to whether the IUCN network is being adequately leveraged.
- **Key Result 6:** Wildlife TRAPS has provided a range of trainings, materials, professional development opportunities, and mechanisms to support collaboration and communication of stakeholders. Trainings to law enforcement and the transportation sector were the most frequently provided resource.

Among all the resources provided, key informants specifically noted the value of the Wildlife Behavior Change Toolkit and the sponsorship of Asian and African forensic scientists to attend workshops and conferences. There was an expressed need for Wildlife TRAPS to more broadly share the materials it has produced and make them easier to find online.

- **Key Result 7:** Based on a rapid and subjective assessment of the status of the conditions that the Wildlife TRAPS theory of change assumes will lead to sustainable, action-taking networks, there is reason to be optimistic or cautiously optimistic that the networks in the Transportation Sector, Financial Sector, Demand Reduction, Wildlife Forensics, and Community Engagement can be sustained and will undertake actions to reduce wildlife trafficking beyond the life of Wildlife TRAPS.
- **Key Result 8:** Although the outcomes defined for each thematic area were considered tentative during development of the revised monitoring framework for Wildlife TRAPS because there were uncertainties about their feasibility and appropriateness, there has been at least some progress made in achieving most of the defined outcomes in all thematic areas. Much of this progress is around building the skills needed by specific actors to achieve the desired outcomes, but in some cases the outcome itself is beginning to be achieved. Stakeholder suggestions for desired outcomes generally aligned with the tentative outcomes or expanded upon them. The one exception is Community Engagement, where the suggested outcomes go far beyond the output-focused draft outcome. The draft cross-thematic outcomes are redundant with the outcomes of Result 4.

Assessment Question #2

- The PIO mechanism used to fund Wildlife TRAPS, and the spirit in which it is implemented and managed, provides the flexibility to rapidly respond to emerging opportunities; pilot innovative approaches; and pursue uncertain, but potentially valuable, relationships to combat wildlife trafficking.
- TRAFFIC's staff, expertise, and stature in the global community working to reduce illegal wildlife trade have given it influence to shape priority actions, mobilize and catalyze stakeholders to take action, and build the stakeholder networks needed for sustained action in combating wildlife trafficking. Much of that influence is due to the particular skills and personalities of its individual staff.
- There is widespread acknowledgement that a great deal of exciting work is underway, but multiple stakeholders not directly involved in project implementation or management expressed difficulty in keeping abreast of all Wildlife TRAPS is doing and what it has achieved in each thematic area, and how its work could inform their own ongoing and future work. There is a strongly expressed need for Wildlife TRAPS to make a "more concerted effort" to communicate project activities and accomplishments, as well as the implications of its work for the efforts of others in reducing illegal wildlife trade.
- Lack of cooperation on the part of some stakeholders is a reality and has sometimes impeded collaboration and undermined progress. However, the collaborative nature of the Project Lead, Nick Ahlers, and the general perception of TRAFFIC as a neutral, evidence-driven NGO has allowed TRAFFIC to build trust with individuals and organizations.
- As in any project, there have been factors beyond Wildlife TRAPS' control that have hampered progress. Laws (e.g., the Leahy Act's time-consuming requirements for vetting participants in advance of training) and inherent delays in product-review processes have constrained or delayed project operations and progress. The welcome but unforeseen expansion in the funding and duration of the project created unanticipated needs for project support staff.

Assessment Question #3

- Through its many activities and products, Wildlife TRAPS is influencing what stakeholders are doing to reduce wildlife trafficking, how they are doing it, and with whom they are working. Its influence on stakeholder action is in large part evidenced by its success in achieving the outcomes defined for the key results in its theory of change. There is, however, little recognition of the influence of Wildlife TRAPS as a project. The work of Wildlife TRAPS, ROUTES, and TRAFFIC are co-mingled in the minds of many.

- Wildlife TRAPS' catalytic effect is evidenced in most thematic areas and is growing. Wildlife TRAPS has catalyzed new partnerships, commitments, stakeholder actions, and projects. Most notable is the successful ivory seizure made in Bangkok in 2017 by two customs officials as a result of their implementing an operational plan for enhanced working relationships between African and Asian enforcement personnel that was developed in a Wildlife TRAPS training.
- Key informant interviews were a rich source of information on activities catalyzed by Wildlife TRAPS, and a more comprehensive canvassing of stakeholders would be valuable.

Assessment Question #4

- When Wildlife TRAPS was launched, awareness of wildlife trafficking as a global crisis was growing outside of the biodiversity conservation community due to media and government attention. The global community increasingly recognizes potential interfaces between illegal wildlife trade and business sectors such as transportation and banking, and the need for business sectors to engage in combating this criminal activity. This has created an enabling environment for Wildlife TRAPS to influence and catalyze the actions of both traditional and new actors in reducing wildlife trafficking.
- The collaborative nature of TRAFFIC staff and the perception of TRAFFIC as a neutral voice have engendered trusting relationships with stakeholders and increased their willingness to engage with Wildlife TRAPS. One key informant cautioned, however, that despite TRAFFIC's great skill and success in bridge building, it alone may not be able to exert the influence needed to engage certain stakeholders.
- Although collaborative priority-setting exercises such as CAP workshops are critical, continued collective engagement of workshop participants might be needed to maintain momentum and translate commitment into action.
- Wildlife TRAPS operates on many fronts in the fight against illegal wildlife trade and has accomplished a great deal on those fronts. The landscape of actors involved in efforts to combat wildlife trafficking has changed dramatically since the project started. Multiple key informants suggest that as Wildlife TRAPS enters its final years, it may be timely to reassess its niche and tighten focus in those areas where it has the greatest potential to effect change in its remaining time.

Further Conclusions

- In its innovative approach to effecting catalytic change, Wildlife TRAPS is one of the first projects of its kind to be funded by E3/FAB. As such, it offers the opportunity to identify elements in its design or implementation that might be useful to consider replicating in future projects with a similar vision. Three elements in particular stand out for this consideration. First, having a flexible funding mechanism that is managed to allow experimentation and failure has been important in Wildlife TRAPS' success to date. Second, Wildlife TRAPS' three-phase design¹⁶ was time-consuming but important given the complex and rapidly changing nature of wildlife trafficking, and the recognition that new approaches were needed to achieve impact at the scale demanded by the problem. Lastly, although this cannot be easily replicated but can be aspired to, the importance of having project staff and an implementing partner that are natural collaborators and perceived as not having their own agenda cannot be overemphasized.
- The vision of Wildlife TRAPS, to catalyze and position networks of multi-sectoral stakeholders to work together to solve the large and complex problem of wildlife trafficking, bears many similarities to that of initiatives designed for collective impact. Collective impact is the "commitment of a group of important actors from different sectors to a common agenda for solving a specific social problem."¹⁷ Collective impact initiatives are focused on effecting the systemic change needed to address large-scale social and environmental challenges. They require that "fundors support a long-term process of social change

without identifying any particular solution in advance. They must be willing to let grantees steer the work and have the patience to stay with an initiative for years, recognizing that social change can come from the gradual improvement of an entire system over time, not just from a single breakthrough by an individual organization."¹⁸ Five conditions, identified through research and affirmed through the implementation of both privately and publicly funded projects, characterize successful collective impact initiatives:

1. **Common agenda** – Participants have a shared vision for change based on a common understanding of the problem and a joint approach to solving it through agreed-upon actions;
2. **Shared measurement systems** – Having agreement on how success will be measured and reported is essential to advancing a common agenda and enabling adaptive management;
3. **Mutually reinforcing activities** – Participants undertake the actions at which they excel in a way that supports and is coordinated with the actions of others;
4. **Continuous communication** – Ongoing communication among participants is necessary to build mutual trust, develop a common vocabulary, and develop meaningful and feasible measurement systems; and
5. **Support from a dedicated "backbone" organization** – Dedicated staff to support and manage the initiative through facilitation, and project and data management.

Although Wildlife TRAPS does not reflect all the characteristics of a collective impact project, consideration of how creating the five conditions for collective impact might position Wildlife TRAPS for even greater impact could perhaps inform the continued evolution of the project. This is further explored under Recommendations.

¹⁶ The three phases are: Phase I – Assessment and Priority Setting, Phase II – Collaborative Action Planning, Phase III – Review and Respond (i.e., implementation of collaboratively defined priority actions). See the Introduction on page 8 for further discussion.

¹⁷ Kania, J. and M. Kramer. 2011. "Collective Impact." *Stanford Social Innovation Review*, Winter 2011: 36-41.

¹⁸ Ibid.

VII. RECOMMENDATIONS

Reassess and refine as necessary the strategic focus of Wildlife TRAPS as it nears completion.

- With the completion of this assessment and with less than two years to go before Wildlife TRAPS ends, it may be timely to reconsider where Wildlife TRAPS should focus its efforts to have the potential to effect the greatest change.
- Key informants suggested a focus on areas where there is a less-crowded landscape of actors (e.g., strengthening linkages between Africa and Asia). Other possibilities include a focus on strengthening and enabling the stakeholder networks for those thematic areas that show greatest potential to become sustainable by project's end or on thematic-area outcomes that have shown good progress and with a more focused effort could be achieved by project's end.
- Consider conducting a pause-and-reflect exercise with a small subset of key stakeholders (including USAID missions) to review assessment findings, obtain a more comprehensive picture of what has been accomplished to date, identify lessons learned, and inform strategic focus of the project going forward.
- Consider involving missions (especially those that already contributed funds to Wildlife TRAPS but also others with significant investment from other sources in combating wildlife crime) more extensively in annual work planning to continue to refine strategic focus and project implementation as Wildlife TRAPS draw to a close.

Frame stakeholder discussions and project communications around Wildlife TRAPS' intended outcomes, and increase overall communication of project activities, outputs, and outcomes.

- Although explicit outcome statements for Wildlife TRAPS' work have only been articulated through this assessment process, those outcomes are encompassed in what the project set out to accomplish: (1) engaging stakeholders in multiple sectors, (2) increasing stakeholder awareness and understanding of the issues associated with wildlife trafficking, (3) identifying and implementing priority actions and priority work areas for stakeholder action, and (4) positioning stakeholders for continued action beyond the life of Wildlife TRAPS. It is not clear to what extent stakeholders in each thematic area are aware of these intended project outcomes, and of thematic area-specific outcomes that have been identified more recently.

Even at this late stage in the project's life, there is value in increasing communication of Wildlife TRAPS' intended outcomes to stakeholders to provide a framework for them to better understand the rationale for Wildlife TRAPS's various and diverse activities and, perhaps more importantly, to better understand how their work intersects or can intersect the work of Wildlife TRAPS and carry it forward. Thus, when planning activities with stakeholders or providing project updates to stakeholders, consider linking activities and results achieved in any thematic area to the project's intended outcomes for that thematic area. At a minimum, convey linkages to the implementation of collaboratively defined priority actions (Key Result 4), the building of a sustainable network for continued action to reduce illegal wildlife trade (Key Result 7), and the achievement of thematic-area specific outcomes (Key Result 8).

- Related to the above, project work plans and annual reports should ideally be structured in a way that clearly links planned activities and results achieved to the intended outcomes articulated in the project's theory of change. Although it may not be time or cost-efficient to revise the structure of Wildlife TRAPS' work plans and annual reports at this juncture, consider at least organizing these documents by thematic area and structuring the content for each around assessments completed, priority actions implemented, resources provided, progress towards network building, and progress towards thematic-area specific outcomes.
- Provide periodic updates to mission staff (not just those that contributed funding to Wildlife TRAPS) on project activities, results achieved, lessons learned, and the implications of those results for their work. Per above, frame those updates around Wildlife TRAPS' intended outcomes. This could perhaps be done through E3/FAB's regularly convened calls with missions working on wildlife crime issues.

- Make project-developed resources and project information easy to find and accessible online. Consider maintaining a regularly updated webpage on TRAFFIC.org and/or USAID's Biodiversity Conservation Gateway for the Wildlife TRAPS project that provides links to assessments, other resources developed with project funds, summaries of project activities, press releases, etc.

Develop the identity of Wildlife TRAPS as a project with a vision and goals separate from other TRAFFIC and stakeholder initiatives and better socialize with stakeholders.

- The need to differentiate Wildlife TRAPS from other projects is not about enabling the attribution of credit for achievements but rather about the value a distinct identity or brand could provide in coalescing stakeholders around its broader vision. If stakeholders collectively understand that Wildlife TRAPS is about finding and supporting innovative and multi-sectoral approaches to reduce wildlife crime, they have the context to think about what new relationships and approaches could be brought to bear. As one key informant put it, Wildlife TRAPS is the "Shark Tank" for innovation in combating wildlife trafficking. MI assessors acknowledge that project staff are exploring possibilities for innovation and new approaches in all conversations with stakeholders, but if stakeholders know that everyone has been engaged in similar conversations, it opens the door for more collective discussion among stakeholders or conversations between different sets of stakeholders to brainstorm new approaches and partnerships to reduce illegal wildlife trade. CAP workshops provided a forum for such collective brainstorming but the workshops are done, and the collective conversation needs to continue.
- Some sort of branding of the lists of priority actions that emerged from the CAP workshops may also help with the challenge discussed earlier in moving commitments to action to actual action. The comment made by one key informant that they were motivated by their sense of obligation as a signatory to a set of priority actions defined by another entity suggests that feeling part of a larger, recognized movement may be strong motivation for taking action. To facilitate continued stakeholder efforts to advance the identified priority actions post-Wildlife TRAPS, it may be more effective if the lists of priority actions are identified as products resulting from USAID activities (in partnership with some set of key stakeholder organizations) rather than from Wildlife TRAPS specifically.
- Differentiate the work of Wildlife TRAPS and ROUTES. These two projects implemented by TRAFFIC share many of the same outcomes and they jointly implement some activities. While it is critical that projects leverage and reinforce each other, it is also important to avoid redundancy.

Assess whether there are characteristics of collective impact initiatives that would be useful to incorporate into Wildlife TRAPS.

Wildlife TRAPS seems to have similarities with other collective impact initiatives. The extent to which the five conditions identified for the success of collective impact initiatives are expressed in Wildlife TRAPS and the possibilities for strengthening those conditions are briefly explored below.

- **Common agenda.** Wildlife TRAPS has done much to build a common understanding among stakeholders of the magnitude and multi-sectoral nature of wildlife trafficking. Undoubtedly, most stakeholders have a vision for what needs to change, and those visions align broadly. The possible value in coalescing Wildlife TRAPS stakeholders around an explicit shared vision is discussed above. While Wildlife TRAPS has enabled the collaborative definition of needed actions through its CAP workshops, it is questionable whether these lists of action constitute a shared agenda. There may be opportunities for Wildlife TRAPS to further motivate stakeholders to implement and refine jointly defined actions by reengagement of the stakeholders that crafted the priority lists either directly or through thematic area-specific stakeholder working groups.
- **Shared measurement systems.** It is likely that there is little appetite among stakeholders to adopt new monitoring and/or reporting responsibilities. It might be useful to have conversations with stakeholders about how they measure and report success and identify areas of overlap or alignment. There might be opportunities to socialize USAID's [Combating Wildlife Crime Toolkit](#) among stakeholders.

- **Mutually reinforcing activities.** Wildlife TRAPS' frequent advisory role to stakeholders enables synergies rather than overlaps in stakeholder actions, but several stakeholders expressed a need for understanding the bigger picture of who is doing what across the landscape of actors. Here again, a network mapping or other analysis could be useful.
- **Continuous communication.** This condition is focused on the need for continuous communication among stakeholders. Wildlife TRAPS convenes, advises, and participates in many meetings that involve a broad array of stakeholders; indeed, it has been the most frequent activity it has engaged in to date. For the purposes of reinforcing a shared vision and implementing shared action agendas to reduce illegal wildlife trade, it might be useful to find ways that stakeholders in different thematic areas can communicate and discuss their respective action agendas and desired outcomes.
- **Dedicated staff to support and manage the project.** Wildlife TRAPS project staff fulfill this role.

Implement a systematic approach to monitoring project outputs and outcomes aligned with the revised monitoring framework, and regularly review progress to extract lessons learned and inform adaptive management.

- Complete the network analyses of stakeholders in each thematic area in which Wildlife TRAPS will continue to work to inform further stakeholder-engagement activities and to provide a baseline to assess progress in achieving further network growth and strengthening. It is essential that the network analyses include the strength and nature of the relationships among stakeholders not just that of relationships between stakeholders and Wildlife TRAPS. Once baselines are established, collect the necessary data going forward to repeat the analyses at the end of the project. Given the changing landscape of global efforts to combat wildlife trafficking, consider assessing whether all key stakeholders have been identified in each thematic area and are (or will be) appropriately engaged. With less than two years remaining for Wildlife TRAPS implementation, there may not be sufficient time to complete baseline and end-of-project network analyses in any, let alone all, of the thematic areas. This would be a significant missed opportunity, and some effort should be made, perhaps through consultation with select stakeholders, to assess if all key stakeholders have been identified and the extent that stakeholders are linked to each other.
- Implement a more systematic and robust process for compiling and reporting data on project outputs and outcomes that is structured around the revised Wildlife TRAPS Monitoring Framework (Annex A). The data compilation workbook developed for this assessment could be used as a tool for continued capture of project outputs and outcomes though it requires redundant data entry on multiple worksheets. Ideally, a basic relational database should be developed (e.g., with Microsoft Access) through which a single form with fields for all desired data could be completed for each activity undertaken by the project. At this stage in Wildlife TRAPS implementation, however, it is unlikely that such a database can be created. For reporting of project outputs and outcomes, quarterly and annual reports should be structured to align with the revised monitoring framework as discussed above.
- Undertake proactive efforts to identify catalytic effects and to capture the broader influence of Wildlife TRAPS.
 - Consider conducting online surveys of participants in the four CAP workshops (or some subset thereof) to determine: (1) if and how the priority actions identified are informing their work to reduce wildlife trafficking; (2) what, if any, identified priority actions they have implemented; (3) what new partnerships resulted from their participation in a CAP workshop; and (4) what new or revised priority actions are warranted.
 - Develop and maintain a simple outcome log in which project personnel record any information gleaned from conversations, presentations heard, documents, etc., that indicate a stakeholder is using project-developed resources, implementing priority actions, building on relationships initiated through project activities, and/or achieving intended project outcomes. This information is valuable in itself, even if largely anecdotal, but also identifies stakeholders with whom project personnel could have a follow-up conversation to explore the full scope and nature of the project's influence and catalytic effect.

Refine the project monitoring framework based on findings of this assessment and continue to refine as the project evolves.

Based on the use of the revised monitoring framework in this assessment and the assessment findings, the following revisions to the project monitoring framework are recommended:

- **Key Result 1** – Add indicators for assessment dissemination metrics; remove the current indicator that simply confirms if a communications plan is in place.
- **Key Result 4** – Remove Pathway B as an indicator of the catalytic effect of Wildlife TRAPS.
- **Key Result 5** – Key stakeholders have been identified among stakeholders already engaged with the project and so having an outcome that key stakeholders will be engaged in each thematic area is not meaningful. Remove that phrase from the outcome statement. If additional key stakeholders that have not yet been engaged are identified through some sort of network analysis, the outcome statement would be meaningful and useful.
- **Key Result 8** – Refine thematic-area specific outcomes to reflect new work areas and key informants' perspectives on desired outcomes. The current cross-thematic outcome is redundant with that for Key Result 4. Consider an outcome focused on the percentage of priority actions completed in each thematic area or the number or diversity of stakeholders involved in implementation. Alternatively, focus on implementing activities for actions that stakeholders have not worked on to date.

ANNEX A: DETAILED WILDLIFE TRAPS REVISED MONITORING FRAMEWORK

The outcome statement(s) for each key result in the Wildlife TRAPS results chain (See Figure 2 on page 12), indicator(s) for each outcome statement, and disaggregates for each indicator are provided in the table below. Outcome statements and indicators that were identified as tentative during development of the monitoring framework are so noted in blue font. Indicators and disaggregates for which data was not available for this assessment but should be collected as possible going forward are noted in red font. For this assessment, unless explicitly defined for a given outcome statement, evidence is considered to be any indication of progress towards the desired outcome.

Key Result	Outcome Statement(s)	Indicator(s)	Disaggregate(s)
1. Needs for CWT action identified and disseminated	(1) Throughout the project, Wildlife TRAPS is responsive* to the needs of the global community for information to direct action in combating wildlife trafficking. <i>*Responsive is defined as: collects and analyzes needed data and makes information available through multiple channels.</i>	(1a) Evidence of Wildlife TRAPS responsiveness = # assessments completed that identify needed CWT actions (1b) Communications plan for assessments in place [Y/N] (1c) Communications plan being implemented as planned [Y/N]	
2. Stakeholders engaged with and influenced by Wildlife TRAPS	(2) Wildlife TRAPS convenes and participates in the global dialogue on wildlife trafficking such that there is evidence* that Wildlife TRAPS is increasingly influencing the activities of stakeholders in combating wildlife trafficking. <i>*Evidence of Wildlife TRAPS' increasing influence is an increasing proportion of Wildlife TRAPS-advised activities amongst all stakeholder-engagement activities in which Wildlife TRAPS is involved.</i>	(2a) # Wildlife TRAPS-convened* activities (2b) # Wildlife TRAPS-co-convened** activities (2c) # Wildlife TRAPS-advised*** activities (2d) # Wildlife TRAPS-participated**** activities For each activity: (2e) # participants (2f) # stakeholder organizations <i>*Wildlife TRAPS-convened activity is an activity for which Wildlife TRAPS had primary control in agenda development, selection of participants, and also was the primary funder of needed direct monetary support. **Wildlife TRAPS-co-convened activity is an activity for which Wildlife TRAPS had shared control in agenda development, selection of participants, and also was a primary funder of direct monetary support. ***Wildlife TRAPS-advised activity is an activity for which Wildlife TRAPS provided technical leadership, contributed to but did not lead agenda development, and did not contribute direct monetary support (i.e., no funding beyond staff time and travel expenses). ****Wildlife TRAPS-participated activity is an activity in which Wildlife TRAPS was involved solely as a participant. Wildlife TRAPS was not in role of providing technical leadership; made minor, if any, contributions to agenda development; and did not contribute direct monetary support (i.e., no funding beyond staff time and travel expenses).</i>	(2a-d) Type of activity (see Box 3 on page 24) (2a-d) Thematic area (2a-d) FY (2a-d) Work plan activity [Y/N] (2a-d) Type of Wildlife TRAPS support (staff time, staff travel, direct monetary support) (2e) Sex of activity participants (2f) Stakeholder organizations engaged
3. Needed CWT actions are prioritized by stakeholders	(3.1) By the end of the project, Wildlife TRAPS has convened a CAP workshop in at least four thematic areas that result in published recommendations of priority actions to combat wildlife trafficking. (3.2) Throughout the project, new work areas for priority CWT action are initiated with stakeholders outside of a CAP process in response to emerging issues and opportunities.	(3.1a) # thematic areas in which a CAP workshop was convened that resulted in published recommendations of priority actions to combat wildlife trafficking (3.2a) # new workstreams for priority CWT action initiated	All indicators: • Thematic area • FY of CAP workshop or initiation of new work area
4. Priority CWT actions are implemented	(4.1) Throughout Wildlife TRAPS, priority CWT actions* are being implemented (A) through Wildlife TRAPS annual work plans, (B) as a result of action prioritization, and funded** through Wildlife TRAPS but not included in Wildlife TRAPS work plans, and (C) as a result of action prioritization, but not funded through Wildlife TRAPS. <i>*Priority CWT actions are those collaboratively defined by stakeholders in a given thematic area through a CAP workshop or other process. **Wildlife TRAPS funding includes Wildlife TRAPS staff time and travel as well as direct monetary support.</i> (4.2) By the end of the project, there is evidence*** of Wildlife TRAPS' increasing catalytic effect on implementation of priority CWT actions* by others. <i>***Evidence of Wildlife TRAPS' increasing catalytic effect is an increasing proportion of all implemented priority CWT actions that are implemented as a result of TRAPS action prioritization (Pathways B and C above) rather than through the workplan (Pathway A above).</i> TENTATIVE – not all actions implemented through Pathway B may be evidence of catalytic effect.	(4.1a, 4.2a) # actions implemented through Wildlife TRAPS annual work plans (4.1b, 4.2b) # actions implemented as a result of action prioritization and funded through Wildlife TRAPS, but not included in Wildlife TRAPS work plan (4.1c, 4.2c) # actions implemented as a result of action prioritization but not funded through Wildlife TRAPS	All indicators: • Thematic area • Priority CWT action implemented • FY • Type of Wildlife TRAPS influence (See Box 2 on page 23) • Type of Wildlife TRAPS support (staff time, staff travel, direct monetary support, no support) • Implementing organization(s)

Key Result	Outcome Statement(s)	Indicator(s)	Disaggregate(s)
5. Key stakeholders in each Wildlife TRAPS thematic area are engaged in CWT activities with Wildlife TRAPS and influencing others in their respective networks	(5) By the end of the project, key* stakeholders in each thematic area are engaged in CWT activities with Wildlife TRAPS and there is evidence** that they are increasing the number and connectivity of others in their respective networks that are engaging in CWT. <i>*Key stakeholders are individuals and entities with high influence in their respective sector (e.g., industry associations, regulatory bodies, champions in thematic area, strategic partners).</i> <i>**Evidence will be metrics of # network linkages and connectivity.</i> TENTATIVE – explicit metrics will be defined after network mapping and analysis protocols are established.	For each thematic area: (5a) # key stakeholders engaged in each thematic area (5b) # stakeholder organizations in each thematic-area network (5c) # of linkages amongst organizations in each thematic-area network (5d) strength of linkages amongst organizations in each thematic-area network TENTATIVE – indicators will be finalized after network mapping and analysis protocols are established.	All indicators: • Thematic area • FY of network mapping and analysis
6. Stakeholders enabled to implement needed CWT actions	By the end of the project, in each thematic area (as appropriate): (6.1) thematic area-specific trainings have been offered and key stakeholders have participated; (6.2) thematic area-specific materials* for improved practice are available, and being used by key stakeholders; (6.3) thematic area-specific professional development opportunities** are available, and being used by key stakeholders; and (6.4) mechanism(s)*** in place for stakeholders in the thematic area network to communicate and collaborate and being used by key stakeholders. <i>*Materials include guides, toolkits, typologies, modules, webinars, standard operational procedures.</i> <i>**Professional development opportunities include mentoring, peer assists, expert roundtables, conference attendance, piloting new technologies, learning exchanges.</i> <i>***Mechanisms include virtual communities of practice, task forces, information-exchange platforms, etc.</i>	For each thematic area: (6.1a) # thematic area-specific trainings offered (6.1b) # key stakeholder organizations participating in a given training (6.2a) # thematic area-specific resources made available to stakeholders (6.2b) # key stakeholder organizations using* (or taking advantage of) the available resources <i>*Evidence of use could be downloads of an electronic document, hits to a website, participation in a webinar, etc.</i> (6.3a) # thematic area-specific professional development opportunities made available to stakeholders (6.3b) # key stakeholder organizations participating in a professional development activity (6.4a) # thematic-area specific mechanisms in place to enable stakeholders to communicate and collaborate (6.4b) # key stakeholder organizations engaged in a networking mechanism	All indicators: FY (6.2a, 6.3a, 6.4a) Type of materials, professional development opportunities, and networking mechanism provided (6.1b, 6.2b, 6.3b, 6.4b) Key stakeholders using or participating in each resource
7. Stakeholder networks in each Wildlife TRAPS thematic area are sustainable and continue to take action to reduce wildlife trafficking	(7) By the end of the project, member(s) of stakeholder networks in each thematic area are planning or implementing CWT actions that continue or expand upon Wildlife TRAPS work plan activities and are doing so without funding* from Wildlife TRAPS. <i>*Wildlife TRAPS funding includes Wildlife TRAPS staff time and travel as well as direct monetary support.</i>	For each thematic area: (7a) # stakeholder organizations in each thematic area that are planning or implementing (without Wildlife TRAPS funding) CWT actions that continue or expand upon Wildlife TRAPS work plan activities	• Thematic area • FY of stakeholder planning or implementation • Stakeholder organizations planning or implementing CWT actions that continue or expand upon Wildlife TRAPS work plan activities
8. Desired outcomes from CWT actions achieved	TENTATIVE – All outcome statements, indicators, and disaggregates for desired outcomes for each thematic area and cross-thematically are considered tentative pending assessment findings and key informant input.		
	<u>Cross-thematic area:</u> By the end of the project, in each thematic area: (XC8.1) all prioritized* CWT actions that have been implemented through Wildlife TRAPS annual work plans are completed**; (XC8.2) all prioritized* CWT actions that have been implemented with Wildlife TRAPS funding but were not included in Wildlife TRAPS annual work plans are completed** or show evidence of being near completion**; and (XC8.3) some prioritized* CWT actions that have been implemented without Wildlife TRAPS funding are near completion**. <i>*Prioritized CWT actions are those collaboratively defined by stakeholders in a given thematic area through a CAP workshop or other process.</i> <i>**A prioritized action is considered complete when the output (e.g., protocol defined, decision made, etc.) identified in the stated action is finalized. When a prioritized action is to undertake an ongoing process or activity, it will be considered complete when the process or activity is initiated and there is evidence that it will be sustained.</i>	(XC8.1a) # prioritized actions completed that have been implemented through Wildlife TRAPS annual work plans (XC8.2a) # prioritized actions completed or nearing completion that have been implemented with Wildlife TRAPS funding but were not included in TRAPS annual work plans (XC8.3a) # prioritized actions completed or nearing completion that have been implemented without TRAPS funding	All indicators: • Thematic area • FY action completed • Type of Wildlife TRAPS influence (see Box 2 on page 23) • Type of Wildlife TRAPS support (staff time, staff travel, direct monetary support, no support) • Implementing organization(s)
	<u>Financial Sector:</u> By the end of the project, (FIN8.1) international financial institutions improve systems to enable better reporting and investigation of wildlife crime offenders between financial institutions and investigative and asset recovery units; and (FIN8.2) countries' abilities to seize and recover assets from middlemen and kingpins are improved.	(FIN8.1a) Evidence* that systems are improved in accordance with global guidelines <i>*Evidence will be action(s) taken by the Illegal Wildlife Trade Financial Institution Task Force</i> (FIN8.2a) Seizure and recovery of assets	(FIN8.1a) FY of action(s) taken by the Illegal Wildlife Trade Financial Institution Task Force (FIN8.1a) Type of systems improved (FIN8.2a) FY of asset seizure or recovery (FIN8.2a) Countries seizing or recovering assets

Key Result	Outcome Statement(s)	Indicator(s)	Disaggregate(s)
NOTE: Transportation sector outcomes and indicators derived from the ROUTES MEL plan.	Transportation Sector: By the end of the project, (TR8.1) wildlife trafficking will be incorporated into select industry standards, practices, and protocols; (TR8.2) awareness of wildlife transport laws, policies, and industry guidelines will be increased in targeted transport sector audiences; (TR8.3) targeted transport sector companies and ports have amended their training programs to address gaps in staff knowledge in detecting and reporting of wildlife trafficking incidents; and (TR8.4) targeted transport sector companies have the internal mechanisms, protocols, and systems in place needed for personnel to report wildlife trafficking incidents.	(TR8.1a) Evidence that wildlife trafficking is being incorporated into select industry standards, practices, protocols (TR8.1b) Evidence that systems are being developed for transport sector players to report incidents of wildlife trafficking (TR8.2a) Evidence that awareness of wildlife transport law, policies, and industry guidelines is increased in targeted transport sector audiences (TR8.3a) Evidence that targeted transport sector companies and ports are amending their training programs to address gaps in staff knowledge in detecting and reporting of wildlife trafficking (TR8.4a) Evidence that targeted transport sector companies and ports are putting in place the internal mechanisms, protocols, and systems needed for personnel to report wildlife trafficking incidents	All indicators: • FY of evidence provided • Transport sector actors involved
	Demand Reduction: By the end of the project, (DR8.1) messaging for target audiences identified for future focus is improved; and (DR8.2) there is evidence of reduced demand for illegal products.	(DR8.1a) # targeted audiences for which improved messages has been developed (DR8.2a) Evidence of reduced demand for illegal wildlife products	Indicator DR8.1a: • FY message developed • Type of audience • Country/geography of audience • Species or type of illegal wildlife product focused on Indicator DR8.2a: • FY of evidence • Type of market or consumer • Species or type of illegal wildlife product
	Law Enforcement: By the end of the project, (LE8.1) NIAP countries in Central Africa will have improved compliance and transparency with the CITES process; (LE8.2) cross-border and trans-continental coordination in wildlife crime investigations among NIAP countries in Central Africa will be improved; (LE8.3) in enforcement agencies in NIAP countries in Central Africa, critical capacity gaps in (a) data and information sharing, (b) specialized enforcement techniques, and (c) stockpile management, will be filled; (LE8.4) multi-agency units will be in place at X ports to strengthen port transparency, screening, and security; and (LE8.5) in at least one jurisdiction where judiciary training was provided as a result of Wildlife TRAPS action prioritization, there is evidence of increased effectiveness in the prosecution of wildlife crime cases.	(LE8.1a) Evidence that NIAP countries in Central Africa have improved compliance and transparency with the CITES process (LE8.2a) Evidence that cross-border and trans-continental coordination in wildlife crime investigations among NIAP countries in Central Africa is improved (LE8.3a) Evidence that critical capacity gaps in data and information sharing are filled in enforcement agencies in NIAP countries in Central Africa (LE8.3b) Evidence that critical capacity gaps in specialized enforcement techniques are filled in enforcement agencies in NIAP countries in Central Africa (LE8.3c) Evidence that critical capacity gaps in stockpile management are filled in enforcement agencies in NIAP countries in Central Africa (LE8.4a) # ports where active multi-agency units are in place (LE8.5a) Evidence that wildlife crime cases are being prosecuted more effectively	All indicators: • FY of data • NIAP countries involved (LE8.3a-c) Enforcement agencies with enhanced capacity (LE8.4a) Port
	Wildlife Forensics: By the end of the project, (FOR8.1) a robust and scientifically compliant reference sample database for species in trade is developed; and (FOR8.2) uptake and utilization of forensic science in law enforcement efforts is improved.	(FOR8.1a) A robust and scientifically compliant reference sample database for species in trade is developed [Y/N] (FOR8.2a) # countries with active crime scene investigation units (FOR8.2b) # countries with active forensic labs (FOR8.2c) # cases involving large-scale seizures of illegal wildlife products that employed forensic analyses	For FOR8.1a: • Species in database • FY species added to database (FOR8.2a-c) Countries (FOR8.2a-b) FY with active investigation units or forensic labs in operation (FOR8.2c) Species or illegal wildlife product seized
	Community Engagement: (CE8.1) Throughout the project, there is an increasing number of projects developed using the Beyond Enforcement methodology.	(CE8.1a) # projects designed explicitly around and referencing the Beyond Enforcement Theory of Change	• Implementing organization • Funding organization • Project status

ANNEX B: KEY INFORMANT INTERVIEW AND SURVEY QUESTIONS

Three sets of questions are provided below as subsections of this Annex:

Annex B.1 Interview Questions for Key Informants from External Stakeholder Organizations (not USAID or TRAFFIC)

Annex B.2 Interview Questions for USAID and TRAFFIC Key Informants

Annex B.3 Survey Questions for Key Informants from USAID Missions that Contributed Funding to Wildlife TRAPS

Annex B.1 Interview Questions for Key Informants from External Stakeholder Organizations (not USAID or TRAFFIC)

Questions 1-6 – for all interviewees

1. Please describe your current position and how your work relates to or intersects TRAFFIC's work, or to efforts to combat wildlife trafficking generally?
2. Are you aware of any assessments or reports that TRAFFIC has produced on any aspect of the status and trends in trans-continental illegal wildlife trade between Africa and Asia? If so, how did you become aware of the assessment(s)?
3. Have the findings of any assessment informed or influenced your work or the work of your organization? How? If not, why?
4. In your various meetings related to combating wildlife trafficking, how often do you come across TRAFFIC personnel? What were their roles in those meetings (i.e., convener, presenter, co-participant, etc.)? Did your interaction with TRAFFIC personnel lead to any follow-up actions or activities? To what extent, do you consider TRAFFIC personnel as thought leaders?
5. TRAFFIC, through the Wildlife TRAPS Project, has identified six thematic areas for its work: Financial Sector, Transportation Sector, Demand Reduction, Law Enforcement, Wildlife Forensics, Community Engagement. You have been identified as working in [*thematic area*]. Would you consider yourself or your organization a stakeholder in this or any of these areas?
6. [*Ask following for each thematic area with which the interviewee is associated*]
Through your interaction with TRAFFIC, have you engaged or are you seeking to engage with others in the network? Has working with TRAFFIC helped you to find others who want to achieve your objectives, or to consider new or revised objectives? Do you have any thoughts on how that network could be strengthened?

Questions 7-10, Set A – for interviewees in thematic areas for which there was a CAP workshop

7. TRAFFIC convened a Collaborative Action Planning workshop in which stakeholders in [*identify thematic area relevant to interviewee*] identified and prioritized actions to combat wildlife trafficking - [*provide name of workshop*]
 - a. *If interviewee or their organization participated in a workshop, confirm:* We understand you or another person in your organization participated in that workshop. Is that correct?
 - b. *If interviewee or their organization did not participate in a workshop, ask:* Are you aware of the recommendations that emerged from this workshop? If so, how did you become aware of its recommendations?

8. *If interviewee is aware of the priority actions, ask:* Have they informed or influenced your work or the work of your organization? Have they specifically catalyzed actions or activities you have undertaken? If so, with whom are you working and how is that work funded? What is the current status of that work?
9. Through the efforts of TRAFFIC working with partners, an array of trainings, products (e.g., documents, toolkits, better practice guidelines, webinars, websites), and professional development opportunities have been made available in different thematic areas. Are you aware of any of these resources relevant to the thematic area in which you work? If so, have you used/accessed them in any way? If so, have they been helpful to your work and in what way? What additional resources would be helpful to your work?
10. Thinking more about the prioritized actions to combat wildlife trafficking in your thematic area, what is your sense that they are catalyzing work across the network of stakeholders outside of your organization? What opportunities and challenges do you see to increasing efforts by more stakeholders to accomplish those priority actions?

Questions 7-10, Set B – for interviewees in thematic areas for which there was no CAP workshop or identified list of priority actions for reference in the assessment

7. In your view, how has TRAFFIC contributed to efforts to identify and prioritize actions to combat wildlife trafficking to be undertaken by stakeholders in your thematic area?
8. Have these efforts by TRAFFIC informed or influenced your work or the work of your organization? Have they specifically catalyzed actions or activities you have undertaken? If so, with whom are you working and how is that work funded? What is the current status of that work?
9. Through the efforts of TRAFFIC working with partners, an array of trainings, products (e.g., documents, toolkits, better practice guidelines, webinars, websites), and professional development opportunities have been made available in different thematic areas. Are you aware of any of these resources? If so, have you used/accessed them in any way? If so, have they been helpful to your work and in what way? What additional resources would be helpful to your work?
10. Thinking more about TRAFFIC's efforts to prioritize actions to combat wildlife trafficking in your thematic area, what is your sense that they are catalyzing work across the network of stakeholders outside of your organization? What opportunities and challenges do you see to increasing efforts by more stakeholders to accomplish collaboratively defined priority actions?

Questions 11-12 – for all interviewees

11. In your thematic area, what is the most important outcome you hope to see achieved within the next 3-5 years to reduce wildlife trafficking between Africa and Asia? What is needed to make that happen?
12. Thank you! Do have any further thoughts you'd like to share?

Annex B.2 Interview Questions for USAID and TRAFFIC Key Informants

1. Please describe your current role and responsibilities in the management and implementation of Wildlife TRAPS (e.g., *advisor, oversight/high-level decision making, implementation responsibility, etc.*).

Wildlife TRAPS is described as an effort is to “achieve a transformation in the ability and impact of priority international stakeholders to tackle wildlife trafficking between Africa and Asia.” In your view,

2. What transformation in stakeholder impact is needed to meaningfully reduce wildlife trafficking between Africa and Asia?
3. What transformation in stakeholder ability is needed to achieve the impact above?
4. What does success look like for Wildlife TRAPS when it ends in 2020?

To achieve this transformation, the Wildlife TRAPS project has three objectives:

- To improve understanding of the status of and trends in trans-continental illegal wildlife trade, with a focus on trade routes for threatened species trafficked between Africa and Asia;
- To increase international collaborations around actions to reduce and control illegal wildlife trade between Africa and Asia; and
- To identify, inform, and facilitate the efforts of national government and inter-governmental, NGOs and private sector collaborators affected by illegal wildlife trafficking between Africa and Asia, in implementing effective strategies to combat it.

Considering each of these objectives in turn,

5. What is your assessment of the progress made to date relative to what you think is needed for project success?
6. What do you consider the most notable achievement(s) to date?
7. What factors or conditions have facilitated success in achieving the objective? *Consider different types of partners, activities undertaken, implementation context, etc.*
8. What factors or conditions have impeded progress in achieving the objective? *Consider different types of partners, activities undertaken, implementation context, etc.*

Through its efforts to accomplish its objectives, it is envisioned that Wildlife TRAPS will broadly influence the CWT work of stakeholders engaged and, specifically, to catalyze stakeholders to undertake priority CWT actions that have been defined collaboratively through Wildlife TRAPS.

9. What evidence do you see of the influence and/or catalytic effect of Wildlife TRAPS activities?
10. What factors or conditions have enhanced the extent to which Wildlife TRAPS activities have influenced and/or catalyzed the actions of others in combating wildlife trafficking? *Consider different types of partners, activities undertaken, implementation context, etc.*
11. What factors or conditions have limited the extent to which Wildlife TRAPS activities have influenced and/or catalyzed the actions of others in combating wildlife trafficking? *Consider different types of partners, activities undertaken, implementation context, etc.*
12. Beyond continuing to work on its current objectives, what other activities could Wildlife TRAPS undertake to expand its influence and catalytic effect?
13. Wildlife TRAPS is implemented by IUCN, a public international organization. In your view, how has this funding mechanism facilitated or impeded TRAPS progress?
14. What aspects of project implementation and administration facilitated or impeded the scope and rate of its progress? *Consider staffing, reporting structure, etc.*
15. How well conceived was the three-phase approach? *Please elaborate.*
16. What aspects of the Wildlife TRAPS project might you consider worth replicating in future USAID efforts?

Annex B.3 Survey Questions for Key Informants from USAID Missions that Contributed Funding to Wildlife TRAPS

1. What activity or assessment did your mission finance?
2. Are you satisfied with the quality and timeliness of the activity or assessment? Why or why not?
3. Were you invited to participate in the planning or implementation of the activity or assessment? Do you believe your participation was valued?

4. Did you have opportunity to provide feedback on proceedings or reports? Do you believe your feedback was valued?
5. What other Wildlife TRAPS activities or products has your mission used?
6. How have Wildlife TRAPS product(s) or activity(ies) influenced mission programming? Were there any new insights that changed approach or scope?
7. How have the product(s) or activity(ies) advanced broader CWT objectives? Have any stakeholders used the product(s) or activity(ies) to inform their work?
8. Are there other thoughts you would like to share?

ANNEX C: LIST OF KEY INFORMANTS

Name	Title	Organization
Nick Ahlers	Project Lead	TRAFFIC/Wildlife TRAPS
Gayle Burgess	Behavioral Change Coordinator	TRAFFIC
Paul Butler	Senior Vice President, Founder and President Emeritus	RARE
Rosemary Cooney	Chair	IUCN Sustainable Use and Livelihoods Specialist Group
James Compton	Senior Director, Asia	TRAFFIC
Linden Coppell	Head of Sustainability	Etihad Airways
Marco Foddi	Project Manager	WCO-INAMA
Tom Keatinge	Director	RUSI Centre for Financial Crime and Security Studies
Mikala Lauridsen	Senior Counter Wildlife Trafficking/ Conservation Advisor	USAID/Kenya and East Africa
Alastair McNeilage	CARPE Senior Technical Advisor	USAID/DRC/CARPE
Javier Montano	Global Coordinator, CWC Regional Coordinator, CCP	UNODC
Rob Ogden	Program Director	TRACE Network
Doreen Robinson	Regional Chief, Environment and Energy Team	USAID/Southern Africa
Mary Rowen	Wildlife TRAPS co-manager	USAID E3/FAB
Frankie Thomas Sitam	Forensic Scientist	National Wildlife Forensic Laboratory in Malaysia
Andy Tobiason	Wildlife TRAPS co-manager	USAID E3/FAB
Liu Yuan	Demand Reduction Programme and Communications Officer	CITES Secretariat

ANNEX D: COLLABORATIVELY DEFINED PRIORITY ACTIONS

The priority actions to combat wildlife trafficking that were collaboratively defined by participants of the four CAP workshops co-convened by Wildlife TRAPS are provided. The structure and text of the lists of priority actions are copied verbatim from the referenced source documents except use of American English spelling of words is used throughout for consistency across lists. Numbering of priority actions was added for assessment purposes.

Financial Sector

No CAP workshop.

Transportation Sector

Source document:

TRAFFIC. 2015. "Key Actions for the Future" in *Countering Illegal Wildlife Trade: Collaborative Actions along Transportation and Supply Chains Consultative Workshop*. Workshop Report, pp. 14-16.

- Tr-1. International Air Transport Association (IATA)
 - Tr-1.1. Encourage information sharing for Workshop outcomes, facts and figures on wildlife trafficking
 - Tr-1.2. Engage with Airports Council International (ACI) and other industry associations to raise wildlife trafficking as a priority issue
 - Tr-1.3. Promote training modules
- Tr-1. Airlines
 - Tr-1.1. Outreach and awareness raising to passengers through e.g., inflight magazines and videos, Public Service Announcements (PSAs), inclusion of wildlife products among forbidden items, pre-flight check-in questionnaire, and targeted messages in e-tickets
 - Tr-1.2. Outreach to air associations, Airline Operators Committees (AOC) and airport authorities to raise awareness of wildlife trafficking issues
 - Tr-1.3. Help NGOs and other organizations to understand better ground operations and where most people are traveling to, hubs, percentage of passengers in various regions for development of more customized material and tools
 - Tr-1.4. Provide tailored training to employees, including subcontracted ground handling agents
 - Tr-1.5. Provide customs with advance information and pre-arrival manifest of passengers/cargo/courier for more targeted risk assessment
 - Tr-1.6. Understand and apply irregular "red flag" patterns (e.g., unusual routing or large irregular passenger luggage to trigger more thorough screening); info sharing with other agencies and partners
 - Tr-1.7. Take risk-based approach: know your clients
 - Tr-1.8. Adopt a common standard for airline screening procedures (e.g., check booking and declaration of cargo; government and agency checks such as customs, quarantine; use of X-Rays)
- Tr-2. FIATA – IFCBA – Logistics & Customs Brokers
 - Tr-2.1. Promote awareness among member associations and within individual companies through, for example, information dissemination, and expert talks
 - Tr-2.2. Help NGOs and other organizations to understand better ground operations to develop more targeted material
 - Tr-2.3. Incorporate illegal wildlife trade into existing trainings for the industry associations and their individual members (modular – go to resources/content/delivery separately)

- Tr-2.4. Provide tailored training to employees including warehouse workers (ground level)
- Tr-2.5. Take risk-based approach: know your clients
- Tr-2.6. Disseminate and apply irregular “red flag” patterns e.g., unusual routing and use of cash for large or expensive transport transaction, to trigger more thorough screening and info sharing with other relevant agencies and partners
- Tr-2.7. Support WCO and other experts in the development of guidelines outlining, for example, problematic areas and “red flags” that might need attention to improve internal processes and legal sensitization
- Tr-2.8. Include illegal wildlife as one of other illicit commodities in industry codes of conduct
- Tr-3. NGOs
 - To airlines and other transport and logistics companies:
 - Tr-3.1. Work closely with airlines to develop better targeted messaging and customized material
 - Tr-3.2. Develop joint advertising campaigns in airports
 - Tr-3.3. Provide content for passenger awareness materials
 - Tr-3.4. Provide technical input and advice for internal employees’ awareness through existing channels including training material, websites, newsletters, staff rooms, and with code-share partners
 - To shipping companies, postal services and express couriers:
 - Tr-3.5. Learn more about their supply chain system to tailor training and information to the appropriate people or intervention points
 - To customs:
 - Tr-3.6. Contribute technical content (e.g. on commonly traded species, species identification tools, routes) to adapt existing training courses or develop new modules to include illegal wildlife trade
 - Tr-3.7. Deliver refresher courses
 - Tr-3.8. Share intelligence and promote collaboration between customs administrations
 - Other actions:
 - Tr-3.9. Assist companies with “where to go to” for information and tools
 - Tr-3.10. Fundraising – air passengers donation initiatives such as “Change for good”
 - Tr-3.11. Catalyze new partnerships and convene networking opportunities
- Tr-5. Governments
 - TR-5.1. Promote simple and strong messaging to industry
 - TR-5.2. “Tusk free ports” campaign focusing at strengthening controls at the start of the supply chain
 - TR-5.3. Support development and implementation of national toolkits and enforcement
 - TR-5.4. Donor coordination and mobilize funding to support fight against wildlife crime
 - TR-5.5. Mainstream wildlife trade issues into transport/customs regulatory frameworks and best practices
 - TR-5.6. Use convening power to promote multilateral solutions and diplomatic engagement for more effective implementation of existing international agreements such as CITES
 - TR-5.7. Partnerships with private sector – such as USAID’s Reducing Opportunities for Unlawful Transport of Endangered Species (ROUTES) new effort to partner with industry to improve identification and detection of illegal wildlife in transportation supply chains
 - TR-5.8. Government to government and inter-departmental approach

- Tr-6. Customs Administrations and WCO
 - TR-6.1. Make customs areas at airports & ports available free of charge for display of signboards
 - TR-6.2. Work with airlines to develop in-flight passenger awareness on customs regulations
 - TR-6.3. Provide industry with simple indicators to cargo, freight, and handling companies for more tailored risk assessment
 - TR-6.4. Develop and deliver joint trainings utilizing complementary expertise across sectors including actors along supply chain (WCO, CITES, NGOs, industry)
 - TR-6.5. Prioritize geographic areas for capacity building
 - TR-6.6. Enforcement and information sharing with industry
 - TR-6.7. Creation of alert systems for controlled deliveries

Demand Reduction

Source document:

TRAFFIC. 2016. “Next steps” in *Changing Behaviour to Reduce Demand for Illegal Wildlife Products*. Workshop Proceedings, pp. 24-25.

- DR-1. Research
 - DR-1.1. Develop a suite of harmonized or standardized approaches to research to inform conservation related or demand reduction-related initiatives.
 - DR-1.2. Do research on less iconic species (pangolin and totoaba noted)
- DR-2. Infusing behavioral change approaches and sharing other types of expertise
 - DR-2.1. Share expertise on behavior change, market dynamics, consumer insight
 - DR-2.2. Set up further discussions to deepen the CoP’s understanding around specific issues related to behavior change and buyer profiling.
 - DR-2.3. Convene expert roundtables to fill specific knowledge gaps and foster good practice in social and behavioral change communications and approaches
 - DR-2.4. Make contacts through the Wildlife Consumer Behavior Change Toolkit
- DR-3. Sharing information and developing skills
 - DR-3.1. Share information and lessons learned from the workshop with delegates’ own organizations and broader professional connections
 - DR-3.2. Contribute technical input and knowledge resources to extend the functionality of the Wildlife Consumer Behavior Change Toolkit
 - DR-3.3. Build embedded Virtual Networking/Twinning and Mentoring hub in the Toolkit
 - DR-3.4. Build video platform featuring short interviews with experts in the Toolkit
 - DR-3.5. Build a discussion and debate section in the Toolkit
 - DR-3.6. Develop a graphic guide cartoon for the Toolkit
 - DR-3.7. Convene series of topic-specific webinar sessions
- DR-4. Catalyzing collaborations and innovative partnerships
 - DR-4.1. NGOs and advertising companies work more with each other and government agencies, as well as to reach out to personal contacts to tap into additional expertise
 - DR-4.2. Pursue public-private partnerships (e.g., liquor manufacturer proposed to explore the potential to develop alternative gifting options)

DR-4.3. Organize side events at high-profile conferences coming up later in 2016 such CITES CoP, the IUCN World Conservation Congress, and the Vietnam conference on Illegal Wildlife Trade (the third in the London Conference series).

DR-5. Funding opportunities

DR-5.1. Donor agencies provide well-targeted funding to support elements highlighted in the action plans.

DR-6. Policy

DR-6.1. CITES Management Authority to push forward dissemination and better integration of demand reduction strategies across government's work

DR-6.2. Provide feedback on CITES documents (e.g., draft Resolution on Demand Reduction strategies to combat illegal trade in CITES-listed species)

DR-6.3. Provide input into other background papers prepared for international conferences and relevant fora

DR-7. TRAFFIC to continue convening and supporting the 'Community of Practice':

DR-7.1. Convene Expert Roundtables on key issues and discussion groups

DR-7.2. Provide Masterclasses on social and behavioral change methodologies

DR-7.3. Develop best practice 'typologies' in monitoring and evaluation

DR-7.4. Host and facilitate community engagement in the Wildlife Consumer Behavioural Change Toolkit

Law Enforcement - NIAPS

Source document:

Nkoke, S.C, C.P. Ngeh, and N. Ahlers. 2016. "Recommendations and Essential Next Steps" in *Workshop Proceedings: Sub-Regional Action Planning to Strengthen Regional Collaboration. Support of the Implementation of National Ivory Action Plans (NIAPs) in Central Africa*, pp. 10, 27.

LEN-1. Integrate and fully articulate NIAPs into national conservation strategies and activities covered within national budgets; work with partners to identify financial sources while continuing to carry out activities financed by partners as currently practiced

LEN-2. Countries advised to consider using the African Elephant Fund which was endorsed and adopted by CITES

LEN-3. Establish platforms for national and regional collaboration to permit discussions and actions across different State agencies beyond those responsible for nature and wildlife conservation, such as administration, finance, defense, and judiciary; nationally, these platforms or national coordination units are to be coordinated by wildlife authorities and NIAP focal points while regionally the coordination units would be hosted by COMIFAC or ECCAS depending on the activity

LEN-4. Build capacity on intelligence gathering techniques. This action was highly recommended due to the lack of progress with investigations

LEN-5. Establish functional and effective interstate operational anti-poaching and anti-trafficking brigades capable of carrying out activities in the different countries with the support of COMIFAC and ECCAS

LEN-6. Sensitize the general public and also specific groups through the creation of protocols of accord with transporters (syndicates, airline, maritime companies, etc.) that could also permit the seizure of wildlife products especially ivory and the equipment used in the contraband activities

Wildlife Forensics

Source document (included bolded text as presented below):

McEwing, R. and N. Ahlers. 2017. "Recommendations and Essential Next Steps" in *RhODIS® (Rhino DNA index system). Collaborative Action Planning Workshop Proceedings*, p. 10.

WF-1. The **analysis from DNA profiling of rhinoceros horn needs to be better utilized as a law enforcement tool**. Currently, the results from analyzing seized rhinoceros horn samples are not being disseminated effectively to inform trade data analysis or law enforcement investigations outside of South Africa. This highlights a lack of engagement, or developed network, to properly disseminate this information in the appropriate format for enforcement agencies or trade monitoring agencies to actively utilize such data. **Efforts should be made to ensure that RhODIS data is actively disseminated**, where and when appropriate, to relevant monitoring and enforcement organizations and reports made documenting trade patterns to the CITES Secretariat.

WF-2. An **internationally standardized DNA species identification test for all rhinoceros species needs to be developed**. The initial stage of identifying whether a suspected rhinoceros horn is actually from a rhinoceros, and if so, determining the rhinoceros species, so that the appropriate DNA profiling panel can be used to ascertain if the profile matches a carcass from the database. A mitochondrial cytochrome b gene test is the most useful and efforts should be made to develop a standardized system.

WF-3. The **RhODIS DNA system for Black and White rhinoceros needs further validation**. To ensure compliance with the legal systems in countries other than South Africa, additional validation requirements need to be addressed. Efforts should be made to **rapidly publish the required validation data** so the RhODIS system can be utilized as widely as possible.

WF-4. As a pilot study under a four year GEF-UNDP rhinoceros program (2012–2016), an Environmental Forensic Section at the South Africa Police was established to develop police capacity for wildlife DNA forensic testing. A **decision as to whether this section will be maintained**, and to what extent it will manage the DNA testing, logistics and dissemination of rhinoceros DNA testing, is key to ongoing international testing and dissemination.

WF-5. A **DNA profiling system for the Greater One-Horned Rhinoceros, also known as the Indian rhinoceros, needs to be developed**. As poaching and illegal trade is common in this species, and with a differing sentencing response in relation to animals poached within and outside national parks, the development of a DNA-based individual identification technique could assist with enforcement operation in range countries of this species.

WF-6. A **mechanism to expedite the international transfer of samples from CITES-listed species for enforcement testing purposes needs to be developed**. The inherent complexity of moving samples internationally for enforcement testing purposes presents challenges when DNA testing needs to be carried out rapidly. Efforts should be made to work with CITES to develop mechanisms where certain sample types can be fast tracked through the CITES process for the purposes of enhancing an illegal wildlife trade investigation.

WF-7. Other **forensic techniques to aid enforcement of the illegal rhinoceros horn trade require evaluation**. Although DNA can be a powerful technique in wildlife crime investigation the technique can also be narrow in scope. Additional forensic techniques that can provide more information in relation to the perpetrators of crime should be investigated to add additional tools for enforcement officers to address illegal rhinoceros horn trade.

Community Engagement

No CAP workshop.



U.S. Agency for International Development
1300 Pennsylvania Avenue, NW
Washington, D.C. 20523
Tel: (202) 712-0000
Fax: (202) 216-3524
www.usaid.gov/biodiversity